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# EFSA Consolidated Annual Activity Report 2020

Adopted at the Management Board meeting held in virtual modality on 25 March 2021  
For EFSA's Management Board

[NOT SIGNED]

Raymond O'Rourke  
Chair of the Management Board



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## Legend

Status <sup>1</sup>	Symbol	Threshold
<b>Over-achieved</b>	●	Actual/Target more than <b>105%</b>
<b>Achieved</b>	●	Actual/Target between <b>95.1%</b> and <b>105%</b>
<b>Partially achieved</b>	●	Actual/Target between <b>75.1%</b> and <b>95%</b>
<b>Not achieved</b>	●	Actual/Target less or equal than <b>75%</b>
<b>N/A</b>	●	Indicator not measured

<sup>1</sup> In case of indicators not planned to be measured in 2020 (e.g.: frequency of measurement is not annual), their most recent result is showed in the "ACTUAL 2020" column and the most recent status has been carried over to 2020. By contrast, in case of indicators that were expected to be measured in 2020 but for which the measurement is not available, their most recent result is showed in the "ACTUAL 2020" column but their performance has not been considered (and their status is marked in grey).

## List of abbreviations

<b>AF</b>	EFSA Advisory Forum
<b>AHAW Panel</b>	EFSA Panel on Animal Health and Welfare
<b>AI</b>	Artificial Intelligence
<b>ALPHA</b>	EFSA Animal and Plant Health Unit
<b>AMR</b>	antimicrobial resistance
<b>AMU</b>	EFSA Assessment and Methodological Support Unit
<b>ANSES</b>	Agence nationale de sécurité sanitaire de l'alimentation, de l'environnement et du travail <sup>2</sup>
<b>APDESK</b>	EFSA Applications Desk Unit
<b>ART</b>	Architecture Transformation Programme
<b>ASF</b>	African Swine Fever
<b>BfR</b>	Bundesinstitut für Risikobewertung <sup>3</sup>
<b>BIOCONTAM</b>	EFSA Biological Hazards and Contaminants Unit
<b>BPA</b>	Bisphenol A
<b>BSE</b>	Bovine Spongiform Encephalopathy
<b>BUS</b>	Business Services Department
<b>BVL</b>	Bundesamt für Verbraucherschutz und Lebensmittelsicherheit <sup>4</sup>
<b>CoI</b>	Conflict of Interest
<b>CORSER</b>	EFSA Corporate Services Unit
<b>CRA</b>	Cumulative Risk Assessment
<b>DATA</b>	EFSA Evidence Management Unit
<b>DG SANTE</b>	Directorate-General for Health and Food Safety
<b>DoI</b>	Declaration of Interest
<b>doi</b>	digital object identifier
<b>DRVs</b>	Dietary Reference Values
<b>EC</b>	European Commission
<b>ECDC</b>	European Centre for Disease Prevention and Control
<b>ECHA</b>	European Chemicals Agency
<b>EFSA</b>	European Food Safety Authority
<b>EMA</b>	European Medicines Agency
<b>EMAS</b>	Eco-Management Audit Scheme certification
<b>EMP</b>	Expertise Management Programme
<b>ENCO</b>	EFSA Engagement and Cooperation Unit
<b>ENP</b>	European Neighbourhood Policy
<b>EU</b>	European Union
<b>EUAN</b>	EU Agencies Network
<b>FAO</b>	Food and Agriculture Organisation of the United Nations
<b>FCM</b>	Food Contact Materials
<b>FEED</b>	EFSA Feed Unit
<b>FIP</b>	EFSA Food Ingredients and Packaging Unit
<b>FTE</b>	full-time staff equivalent

<sup>2</sup> The French Agency for Food, Environmental and Occupational Health & Safety.

<sup>3</sup> The German Federal Institute for Risk Assessment.

<sup>4</sup> The German Federal Office of Consumer Protection and Food Safety.

<b>GMO</b>	Genetically Modified Organism / EFSA GMO Unit
<b>IAS</b>	Internal Audit Service of the European Commission
<b>IPA</b>	Instrument for pre-accession assistance (abbreviation used for the "pre-accession" countries).
<b>IUCLID</b>	International Uniform Chemical Information Database
<b>JRC</b>	Joint Research Centre
<b>LA</b>	EFSA Legal and Regulatory Affairs Unit
<b>MB</b>	EFSA Management Board
<b>MRL</b>	Maximum Residue Level
<b>MS</b>	Member States
<b>NUTRI</b>	EFSA Nutrition Unit
<b>OECD</b>	Organisation for Economic Co-operation and Development
<b>OHSAS</b>	Occupational Health and Safety Assessment Series
<b>OIE</b>	World Organization for Animal Health
<b>PRES</b>	Pesticide residues Unit
<b>PREV</b>	Pesticide peer review Unit
<b>RA</b>	Risk assessment
<b>RAMPRO</b>	Risk Assessment Methodologies Programme
<b>RASA</b>	EFSA Risk Assessment and Scientific Assistance Department
<b>REPRO</b>	EFSA Scientific Evaluation of Regulated Products Department
<b>SC</b>	EFSA Scientific Committee
<b>SCER</b>	EFSA Scientific Committee and Emerging Risks Unit
<b>SEA</b>	Stakeholder Engagement Approach
<b>SOP</b>	Standard Operating Procedure
<b>TR</b>	Transparency Regulation
<b>TS</b>	Transformation Services
<b>TSE</b>	Transmissible Spongiform Encephalopathy
<b>TTC</b>	Threshold of Toxicological Concern
<b>UK</b>	United Kingdom
<b>WG</b>	Working Group



# Foreword

draft



# Introduction

What a year! When the first European cases of SARS-CoV-2 were reported in Lombardy, around 100km from EFSA's headquarters in Parma, everything changed. In February, when the Italian government introduced restrictions on movement and economic activity and started closing schools, it was clear that something dramatic was unfolding, and we responded accordingly.

We introduced mandatory homeworking for all staff, cancelled all physical meetings and missions, and allowed staff to request special leave of up to 25% of working hours to balance family responsibilities and work duties. A year on, and homeworking and virtual meetings are still the norm.

When the crisis hit, it was a shock but EFSA coped. In fact we did more than cope. The work plan for 2020 was implemented and targets mostly achieved, with only a slight fall in productivity. Around 600 outputs were produced through 697 scientific questions closed across all areas; less than the initial plan of 780 but in line with the updated forecast of around 710 questions provided in the Performance report in October.

So out of adversity we achieved something extraordinary. I want to thank everyone who helped to ensure that EFSA survived this severe and unprecedented test, particularly the "backroom" staff who don't always get the recognition they deserve – the IT staff who made sure EFSA stayed connected throughout the crisis; the human resources team, who reached out to and supported their colleagues, many of who found themselves scattered and isolated; the internal communications team, who stepped up to the challenge with continuous updates and news on the staff portal and, incredibly, managed to organise online all-staff meetings and *aperitivi!* There are countless others.

This is the context in which our scientists – staff and external – continued to generate outstanding work that helped risk managers to safeguard the food produced, processed and consumed across Europe. We launched a major campaign to raise awareness of African swine fever among farmers and other groups in south-east Europe. Our animal health team produced a number of reports and assessments on avian influenza, which in 2020 emerged once again as a threat in Europe, and worked with our sister agency, the European Centre for Disease Prevention and Control, to investigate the significance and possible consequences of SARS-CoV-2 outbreaks in mink farms.

Our plant health specialists continued to deliver important outputs on high-risk plants and provide training and other assistance to Member States in the increasingly important area of plant pest surveillance. In nutrition, we completed our first assessment of an insect-derived food product, a landmark that generated huge media interest across Europe.

In parallel with all this activity, and despite the difficult circumstances, EFSA forged ahead with preparations for the implementation of the Transparency Regulation in March 2021. This will revolutionise many aspects of our work and, we hope, bring European citizens closer to the world of risk assessment and food safety. It's been a lot of effort, but we are convinced it has been a worthwhile investment that will bring major benefits in the years ahead.

In the year that our Scientific Committee held its 100<sup>th</sup> meeting, we were desperately saddened to lose one of our founding fathers, Vittorio Silano, who chaired the Committee for nearly 10 years and was still giving his all for EFSA up to few days before he died. He will be greatly missed by everyone in the EFSA family.

We welcomed a new chair of the Management Board, Raymond O'Rourke, who succeeded Jaana Husu-Kallio after her term of office expired. Janna filled the position with great distinction for a number of years and she departs with our thanks.

These are just the "headlines". You will find the full story of 2020 in the following pages.

*Bernhard Url, Executive Director*

# Management Board assessment

draft

# Executive Summary

## EFSA in brief

### Mission

The European Food Safety Authority (EFSA) is an integral part of the EU's food safety system. As outlined in its founding regulation (Regulation (EC) No 178/2002), the Authority's mission is to contribute to the safety of the EU food and feed chain, mainly by:

- providing EU risk managers with independent, up-to-date and fit-for-purpose scientific advice on questions related to food and feed safety, animal health and welfare, plant health, nutrition and environmental issues specific to the above<sup>(5)</sup>;
- communicating to the public on its outputs and the information on which they are based;
- developing and applying uniform methodologies for fit-for-purpose scientific advice on questions related to food safety;
- collecting and analysing data to allow the identification, characterisation and monitoring of current risks that have a direct or indirect impact on food safety;
- cooperating with Member States, institutional partners and other interested parties/stakeholders<sup>(6)</sup> in the EU to promote coherent advice and increase trust in the EU food safety system;
- identifying emerging risks to food safety and contributing to a high level of protection of human life and health.

### Vision

Trusted science for safe food.

### General context

EFSA is operating in a much-changed landscape that brings additional pressures but also exciting opportunities. In its initial plan for 2020, EFSA included the preparations for the implementation of the Transparency Regulation in March 2021, aiming at developing new processes, reviewing staff structure, and leveraging its technology and information management capabilities. The ultimate goal of these changes is to broaden stakeholder engagement in the early stages of the risk assessment process and allow EFSA to reach the unexplored expertise of the wider scientific community. The opportunities of increasing the transparency of EFSA's work, and improving the quality of the studies submitted for the authorisation of regulated products aim to reinforce trust in EFSA and to make risk assessments more robust and reliable.

In parallel, EFSA's Strategy 2027 was under development, with a thorough environment scan analysis performed supporting the focus for the coming years to address in the context of EFSA's mandate, the priorities of the European Commission – particularly the European Green Deal and Sustainable Development Goals.

Plans for 2020 inevitably were delayed as EFSA, like the other organisations, had to respond to the new reality of the SARS-COV-2 pandemic. On the 25<sup>th</sup> of February 2020 the Italian Government introduced restriction measures, such as limitations on movement and closure of schools and non-essential businesses, in several areas of the country, including the Parma province.

<sup>(5)</sup> The phrase 'food safety' is used throughout the document as shorthand for 'food and feed safety, animal health and welfare, plant health, nutrition and environmental issues specific to the above'.

<sup>(6)</sup> As defined in EFSA's founding regulation (Regulation (EC) No 178/2002), Article 3(13).



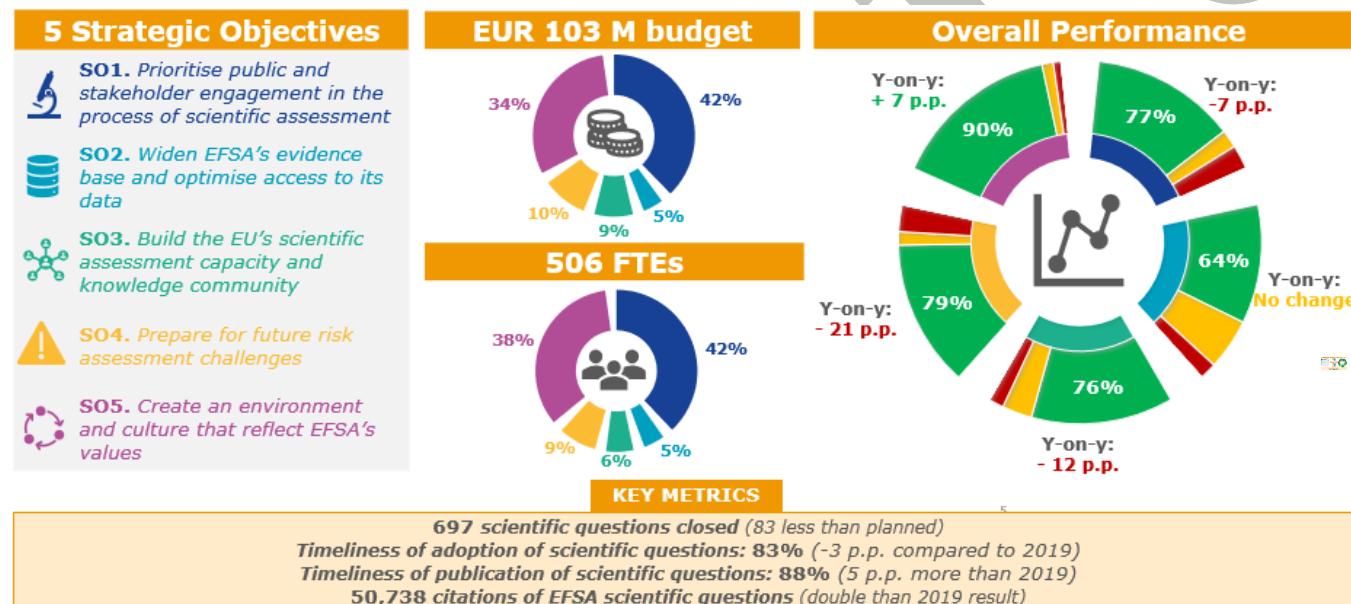
EFSA had the systems and technology in place to switch from a physical to a digital working environment early enough and adapted its priorities. High priority tasks, such as the scientific work planned for 2020 and the preparations for the implementation of the Transparency Regulation were safeguarded, while the Strategy definition process was paused, benefiting from an additional “changing context analysis” performed in 2020 to take on board changes stemming from the EU policies adopted in the meantime, and the impacts of the pandemic to the normal way of working.

## Performance overview – The year in brief

This sudden change of logistic arrangements had an impact on staff availability and productivity with EFSA estimating a loss of 3% of its FTEs capacity between the 16<sup>th</sup> of March and the 30<sup>th</sup> of April 2020.

Overall, EFSA forecasted in April 2020 that the impact of the SARS-CoV-2 outbreak would have accounted for a reduction of 15% of the Authority's internal/external resource availability, and therefore of the annual work programme output. This situation led EFSA's Management Team to run a prioritisation exercise in order to safeguard its core business, as well as to ensure the implementation of the new legal provisions in the General Food Law, which will enter into force on the 27<sup>th</sup> of March 2021.

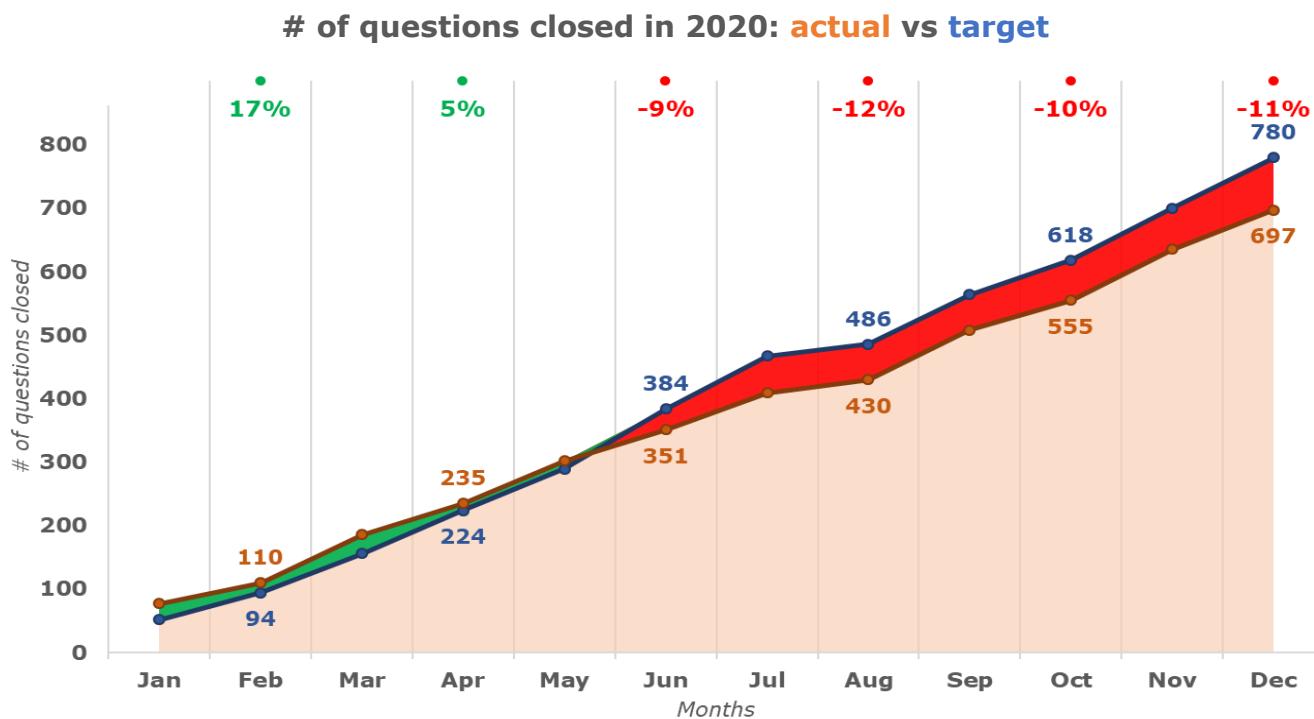
### Overview of EFSA performance in 2020



**Figure 1.** Overview of EFSA performance in 2020

The impact of the pandemic is visible on the performance registered in EFSA's 5 Strategic Objectives (figure 1), which overall registered a decrease year-on-year. The biggest negative difference is registered in the **Strategic Objective 4**, coherent with the decision of EFSA to deprioritise development activities to funnel resources into its core business. A y-on-y decrease was registered also in the **Strategic Objective 3** and in the **Strategic Objective 1**: the nature of the activities carried out in these areas, which rely also on the availability of external inputs, played a role in this overall performance but EFSA was successful in limiting the negative impact of the pandemic. Finally, the **Strategic Objective 2** posted the same result of 2019, due to the limited impact of the SARS-CoV-2 on this area, whilst the **Strategic Objective 5** registered a y-on-y increase, also due to the work carried out to support staff to ensure seamless business continuity of EFSA operations, as well as thanks to the positive results posted by the indicators monitoring budget and human resources.

Looking at the performance of EFSA's core business at year-end, in 2020 a total of 697 scientific questions were closed across all areas, 83<sup>(7)</sup> less than the initial plan of 780 but in line with the updated forecast of around 710 that was put forward in October. As shown in figure 2, a positive start of the year (+17% compared to the plan in February) was followed by a progressive slowdown, with the effects of the SARS-CoV-2 becoming evident around May and remaining stable in the last six months of the year. The positive performance between January and April is also due to the fact that the majority of the questions closed in that period were already at an advanced stage when the pandemic hit Europe.



**Figure 2.** Questions closed in 2020: actual vs target

Among the most notable achievements, there is the continuous work carried out in the context of the **African Swine Fever (ASF)**, with EFSA launching a major campaign to raise awareness on this deadly viral disease of pigs and wild boar. EFSA also continued its work on **Avian Influenza (AI)**, carried out in cooperation with the European Centre for Disease Prevention and Control (ECDC) and the EU reference laboratory on avian influenza, ensuring regular monitoring on the presence of this disease and also calling for continued surveillance and enforced measures at national level.

Further notable achievements were reached in the area of novel foods, with the **first assessment of a proposed insect-derived food product**, dried yellow mealworm (*Tenebrio molitor larva*), and in the area of plant health, with the work carried out on the **evaluation of high-risk plants**, which gathered pace in 2020 with 13 dossiers fully evaluated, an effort that well fit into the spirit and the initiatives that took place in the context of the International Year of Plant Health.

EFSA also finalised, in collaboration with ECDC, the **European Union Summary Report on Antimicrobial Resistance in zoonotic and indicator bacteria from humans, animals and food** in 2017/2018, highlighting how *Salmonella* and *Campylobacter* are becoming increasingly resistant to one of the antibiotics of choice for treating infections caused by these bacteria.

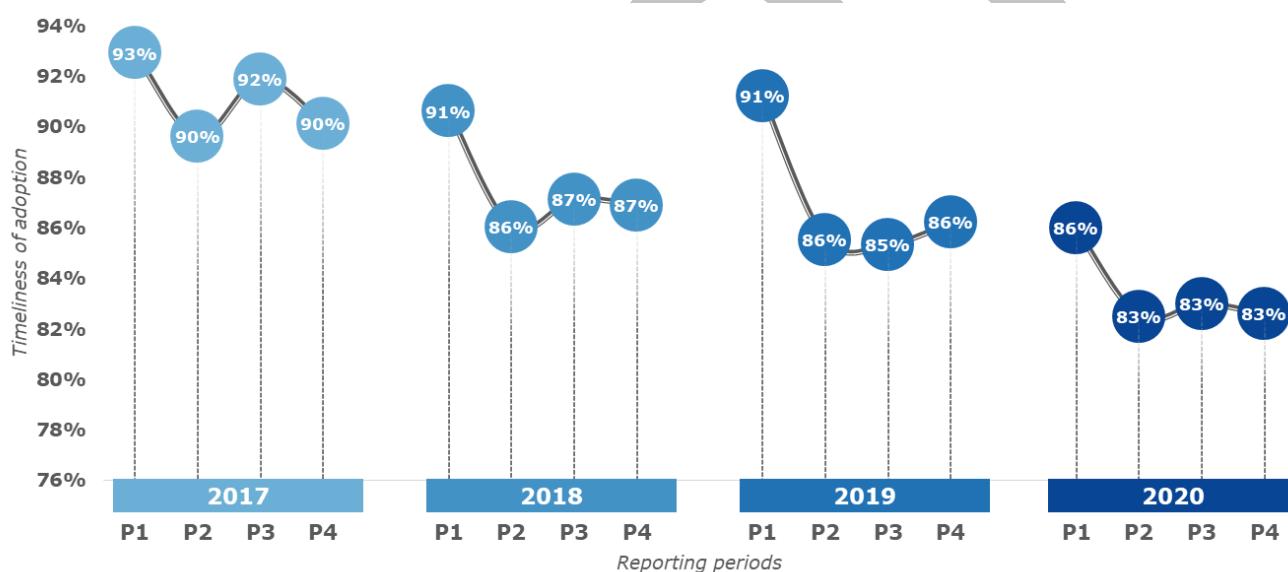
<sup>7</sup> It is to be noted that an important part of the deviation between actual and plan is due to the postponement, in agreement with DG SANTE, of the meeting on the Codex Committee on Pesticide Residues, which had an impact on around 60 questions that were expected to be delivered in 2020 and that were postponed to 2021. Without this occurrence, the negative difference between actual and target would have been of less than 20 questions, mainly in the Strategic Objective 4.

The collaboration with the Dutch National Institute for Public Health and the Environment (RIVM), led to the finalisation of two pilot assessments - one considering chronic effects on the thyroid system and the other acute effects on the nervous system- on the **risks posed to humans by residues of multiple pesticides in food**.

Finally, EFSA also gave its support in topics related to the **SARS-CoV-2** virus, first issuing a statement about the lack of evidence that food is a source or transmission route for SARS-CoV-2, and then contributing to a rapid assessment on the risks to human health from the new SARS-CoV-2 variants related to mink, published in November by ECDC. Additional work started at the end of 2020, together with ECDC, to provide assistance to the European Commission on the revision and update of the measures put in place by Member States to counteract the challenges posed by the epidemiological situation of SARS-CoV-2 in mink and other animals of the family *Mustalidae*. The other key metric on EFSA's core business, the timeliness of adoption of scientific questions, closed the year at 82.6%. 2020 started by registering a year-on-year decrease (86% vs 90% in P1), possibly linked to the switch to virtual working conditions, as well as to delays in receiving data from applicants, which added up to the already documented issues of increased workload (large batches of work and the arrival of several new tasks since 2017), the increased complexity of EFSA's Risk Assessment (on the data and information to be processed, on the methodological rigour to be applied and the multidisciplinary and/or novelty of the issues to be addressed) and the need for greater transparency and engagement with society<sup>8</sup>.

From the second reporting period onwards, the index stabilised around the 83% mark, a couple of percentage points below the results registered in the past two years but following a similar trend.

**Timeliness of adoption over the years (2017-2020)**

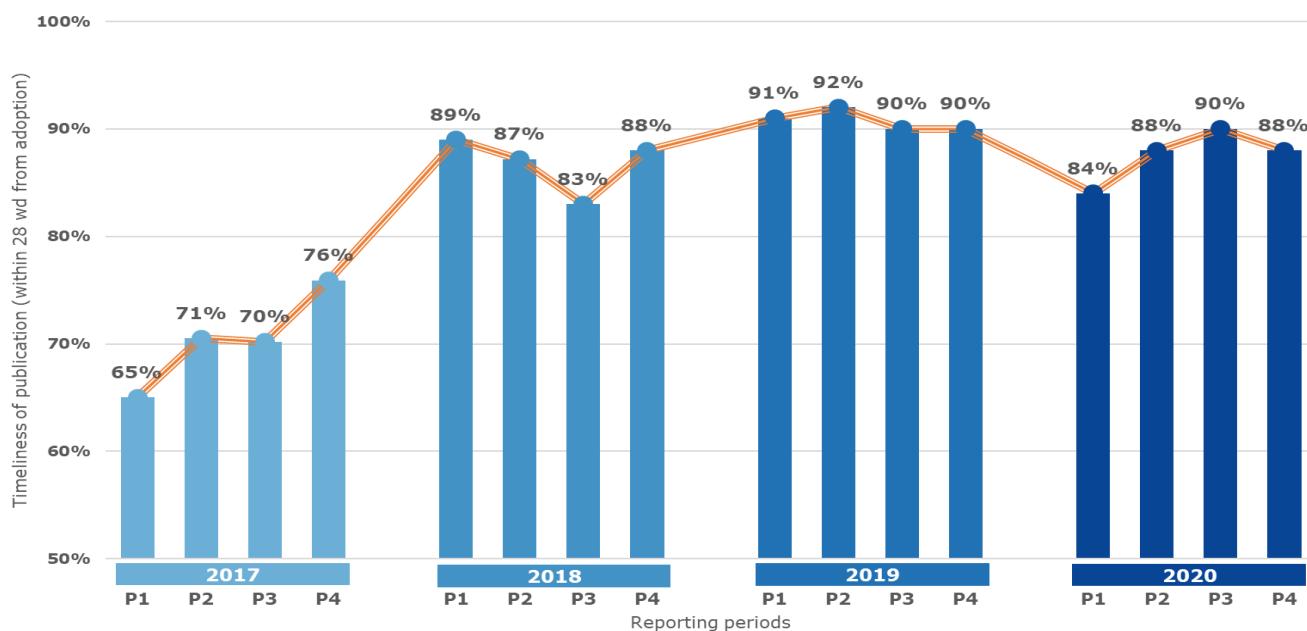


**Figure 3.** Timeliness of adoption over the years (2017-2020)

Overall, EFSA was able to safeguard its core business, registering only minor deviations in the two key metrics that measure the production of scientific outputs. Very positive results were registered in the area of communication of findings, with the timeliness of publication on the EFSA Journal that posted above-the-target results, in line with the positive performance registered in the past two years (figure 4).

<sup>8</sup> More detailed information are available in the EFSA Single Programming Document 2021-2023 (*Human and Financial resources – outlook chapter*)

## Progression of timeliness of publication in the EFSA Journal (2017-2020)



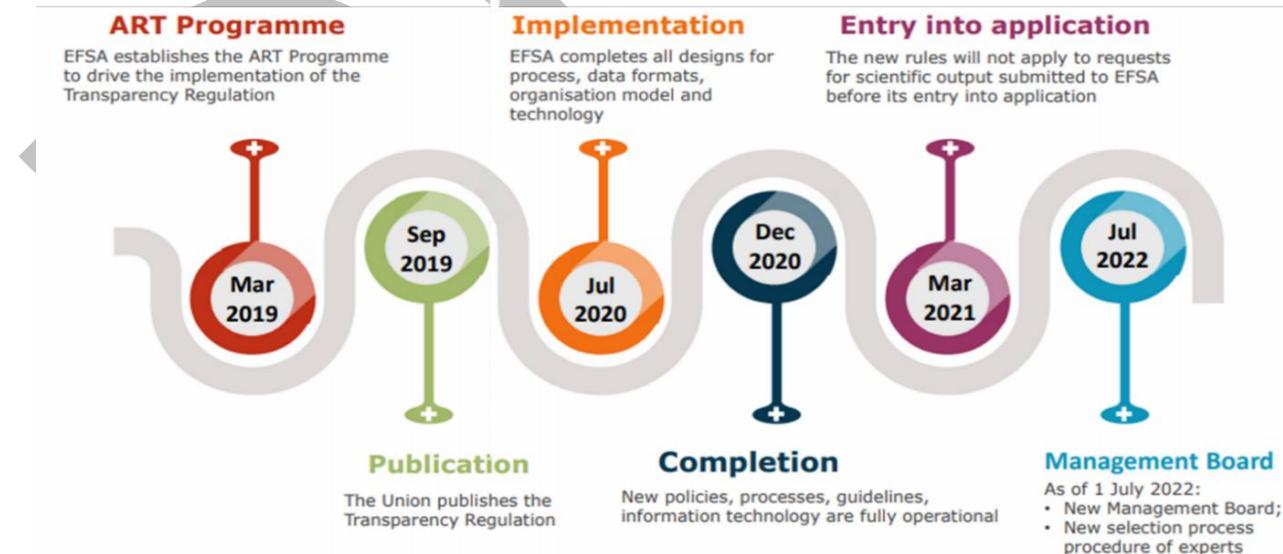
**Figure 4.** Progression of timeliness of publication in the EFSA Journal (2017-2020)

Finally, in 2020 the number of citation of EFSA's scientific outputs registered a significant increase, with more than 50,000 citations recorded, more than twice the number registered in 2019, also thanks to the inclusion of the EFSA Journal in important abstract and citation databases.

### Preparation for Transparency Regulation

In 2020, the ART Programme (the umbrella under which the 4 projects delivering TR-related measures are placed) entered its implementation phase, to prepare the Authority for the requirements of the Transparency Regulation, which will enter into force on the 27<sup>th</sup> of March 2021.

### Transparency Regulation's initial roadmap



**Figure 5.** Transparency Regulation's initial roadmap

Due to the impact of SARS-CoV-2, EFSA decided to focus its efforts on delivering mandatory activities, such as new processes for Proactive Disclosure of Evidence, Confidentiality Assessment, and Notification of Studies, postponing or scaling down activities initially planned to be completed by end



2020, namely the complete review of the EFSA Process Architecture and the definition of a new organisational structure.

The ART Programme closed the year on track against the updated plan, reporting significant progress in all projects. This includes important milestones such as the set-up of new processes to carry out the mandatory activities introduced by the Transparency Regulation and the adoption of the Practical Arrangements (PAs), which detail how the new rules and measures specified in the Transparency Regulation will operate in practice, thus helping stakeholders to better understand how the new processes and tools affect them. The PAs, which cover areas such as proactive transparency, confidentiality, notification of studies, pre-submission advice and consultation of third parties, as well as the processing of applications for access to documents held by EFSA, were drafted following extensive consultation with stakeholders, the European Commission and EU Member States.

### ***Budgetary Implementation***

On the 13th of May 2020, EFSA achieved a clean discharge from the European Parliament on the implementation of the 2018 budget, confirming ex-post that the implementation of EFSA's budget was in accordance with relevant rules and principles of sound financial management. EFSA also ensured the timely follow up of the EU Parliament observations.

The 2020 performance of the budgetary indicators registered excellent results, in line with (in case of the commitment execution – 100%) or close (in case of the payment execution – 88.4%) to the plan, thus setting the basis for another positive assessment of EFSA's management of financial resources. It is worth highlighting that in August 2020, EFSA implemented a budget amendment, via the European Commission global transfer procedure, by reducing the commitment and payment budget by € 5.0 million in 2020, to counter the impact of SARS-CoV-2 on EFSA's expenditures.

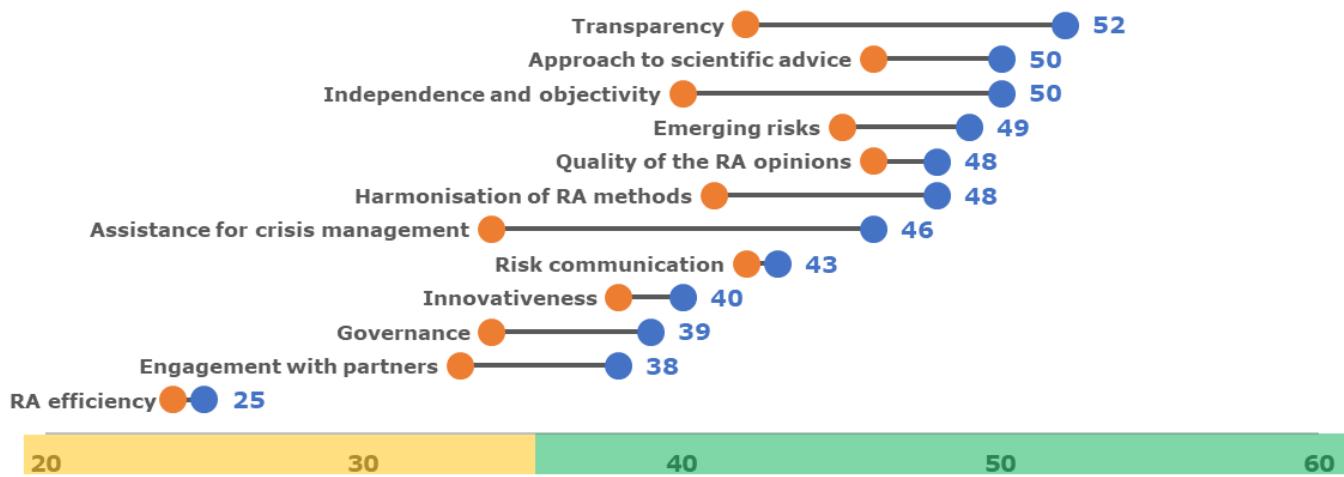
### ***EFSA's Reputation***

In 2020, EFSA carried out its second *Reputation Barometer* study, aiming at measuring the Authority's reputation amongst interested parties across the European Union. The study, which is a follow up of the first Reputation Barometer carried out in 2017, is a useful tool for assessing performance across the range of EFSA's activities and identifying areas of concerns where EFSA needs to strengthen its efforts. The report has informed the way EFSA interacts with its interested parties, to ensure that it continues to meet their expectations in the future.

Based on 112 replies, EFSA's reputation was either stable or registered an increase from 2017 results in all 12 attributes analysed, with harmonisation of risk assessment methods, transparency, independence and objectivity, and assistance for crisis management registering the highest improvement study-on-study. Moreover, 11 out of the 12 attributes have fallen into the "positive" spectrum (score of 35 or higher).



## Reputation Barometer scores by attribute (2017 vs 2020)



**Figure 6** Reputation Barometer scores by attribute

### Key conclusions (Part I, II and III)

Overall, EFSA was able to safeguard its core business; a total of 697 scientific questions were closed across all areas, 83 less than the initial plan of 780 but in line with the updated forecast in October. Very positive results were registered in the area of communication of findings, with the timeliness of publication on the EFSA Journal keeping the positive performance registered in the past two years.

EFSA addresses all accepted audit recommendations by proportionate action plans and monitors their implementation regularly. EFSA's implementation of audit recommendations is in general assessed as positive, auditors find EFSA's actions appropriate and do not report any improper delays.

EFSA assessed its internal control systems for the reporting year and concluded that overall, all internal control components and principles were present and functioning as intended. In addition, measures will be taken to further strengthen the management of sensitive information, the EFSA process architecture, the process management methodology and risk management & internal control following the Transparency Regulation funds reflection.

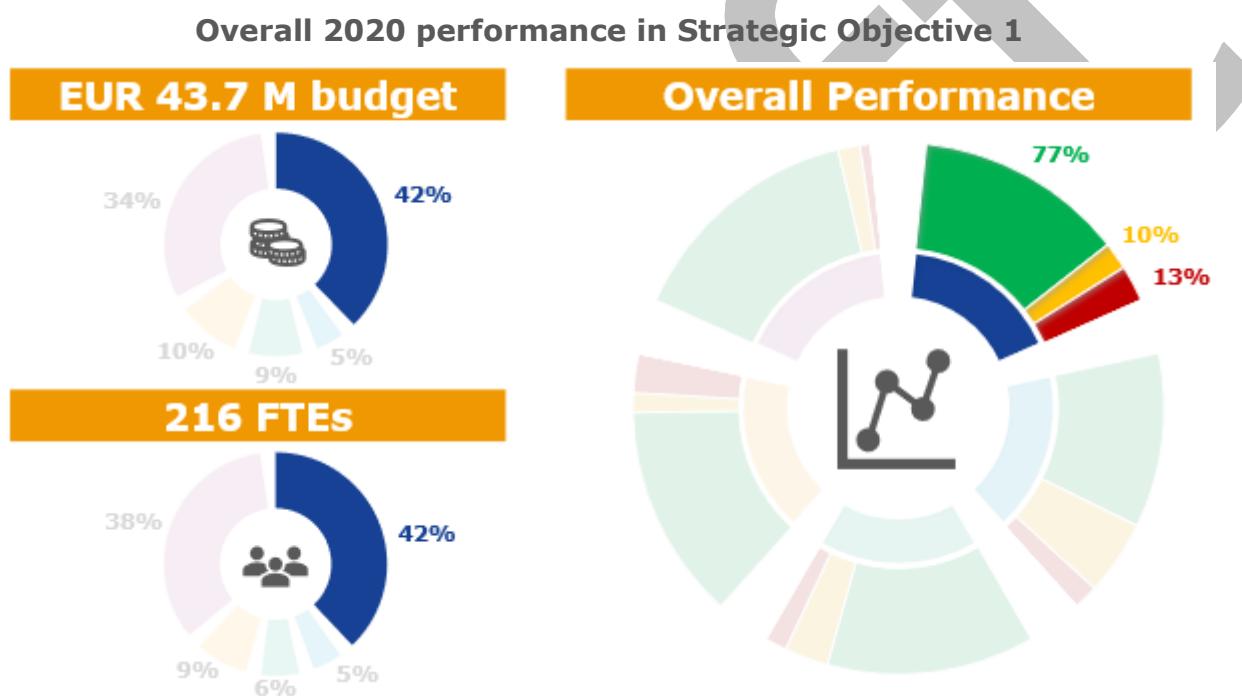
In conclusion, management has reasonable assurance that, overall, suitable controls are in place and working as intended; risks are being appropriately monitored and mitigated; and necessary corrective action is being implemented.



# Part I. Achievements of the year

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

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



**Figure 7.** Overall 2020 performance in Strategic Objective 1

Looking at the overall performance of the KPIs in the Strategic Objective 1, 77% of the measured indicators reached or surpassed their initial targets, a performance below the results from 2019 (when 84% of the measured KPIs were on track) but still satisfactory, considering the impact that the SARS-CoV-2 had on EFSA's operations during the year.

In terms of input invested in SO1, 216 FTEs were planned in 2020, about 20 FTEs more in absolute terms compared to the actual performance in 2019 but registering no difference in relative terms on EFSA's overall FTEs (42% vs 42%) when the additional posts received in the context of the new Transparency Regulation are taken into account.

In terms of budgetary inputs, € 43.68 million were invested in 2020 (around € 4 million more than the plan of € 40.46 million).

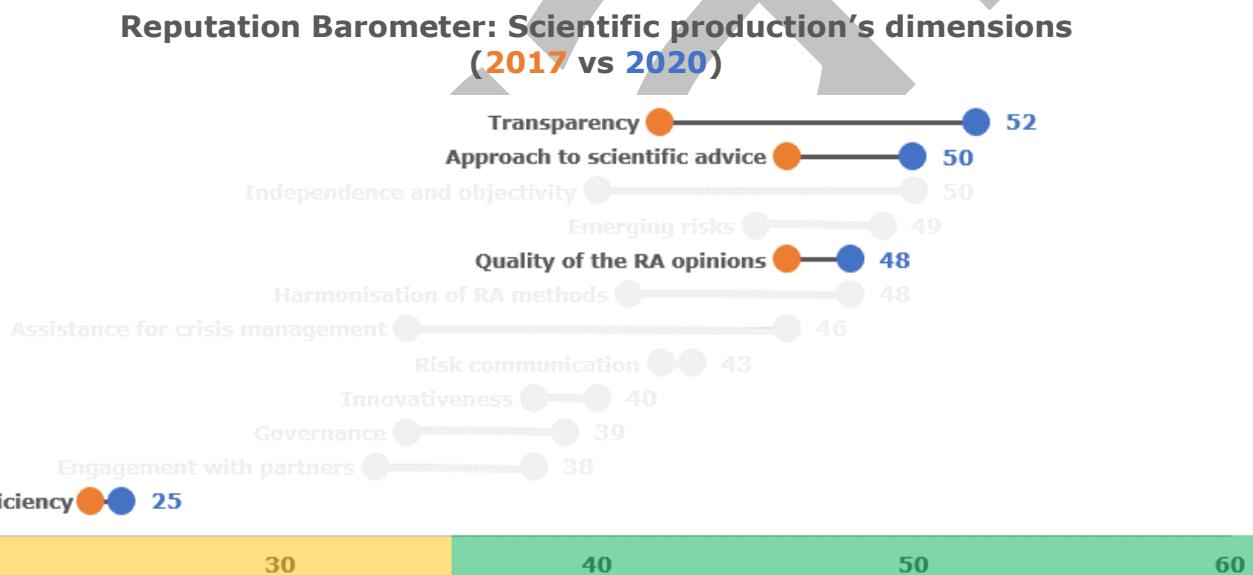
### 1.1. Fit-for-purpose scientific production

The comprehensive bi-annual survey that EFSA carries out with its interested parties was not launched this year, with the next edition being planned in 2021 (see table 1 for 2019's results).

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

KPI	Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> Increased satisfaction of stakeholders regarding EFSA's scientific outputs (for Commission/Member State risk managers and stakeholders) and the scientific assessment process				
Satisfaction via feedback surveys: positive and relative qualitative improvement (with regards to follow-up actions)	Risk managers (EC/MS)	81.6% (2017)	N/A in 2020	<b>86.6% (2019)</b> 
	Stakeholders	74.7% (2017)	N/A in 2020	<b>78.1% (2019)</b> 
	Applicants	78.3% (2017)	N/A in 2020	<b>78.6% (2019)</b> 

However, in 2020 EFSA collected feedback from some of its interested parties through the Reputation Barometer, with the survey showing results overall consistent with the ones achieved in 2017 for all the three dimensions related to the scientific production. More in detail, the dimension of *RA Efficiency* remained in the neutral area, whilst the dimensions of *Quality of the RA opinions*, *Approach to Scientific advice*, and *Transparency* remained in the positive area and among the five top-scoring dimensions (figure 8). To be noted how the dimension of *Transparency* registered one of the biggest increases study-on-study, in line with the efforts made by EFSA during its Strategy 2020 and the more recent developments in the context of the Transparency regulation.



**Figure 8.** Reputation Barometer: Scientific production's dimensions

Another source of feedback for EFSA's scientific production is the annual exercise carried out with DG SANTE. The 2019/2020 customer feedback exercise was finalised at the beginning of 2020, and the closing report was shared with EFSA's and SANTE's senior management. As per previous exercises, the overall feedback received was positive, with some areas for improvement also identified.

Praise was given by both sides to the good collaboration and communication which contributes to the delivery of high-quality scientific opinions. The readiness of both parts to discuss and negotiate deadlines, highlighting a mutual understanding of priorities and workload was also considered very beneficial.



### 1.1.1. General risk assessment

In the area of general risk assessment, EFSA received about 200 questions and closed 209 in total (194 through scientific outputs and technical reports and 15 through external reports), below the initial plan of 279 questions<sup>9</sup> (see table 2 and figure 8), but higher than the results in 2019 (195) and 2018 (171).

It is worth highlighting that the deviation registered in 2020 is almost exclusively explained by the decision of EFSA, in agreement with DG SANTE, to postpone to 2021 the adoption of about 60 questions linked to the scientific report to derive a common EU position in the Codex meeting (CCPR), since the meeting itself was cancelled. The final number of questions closed is also coherent with the assessment done in May 2020, when around 70 questions were presenting risks of not being finalised in 2020, as expected, due to the SARS-CoV-2 outbreak.

Additional details on questions closed per Unit and food sector area can be found in Annex I Core business statistics (a) Questions closed in 2020.

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

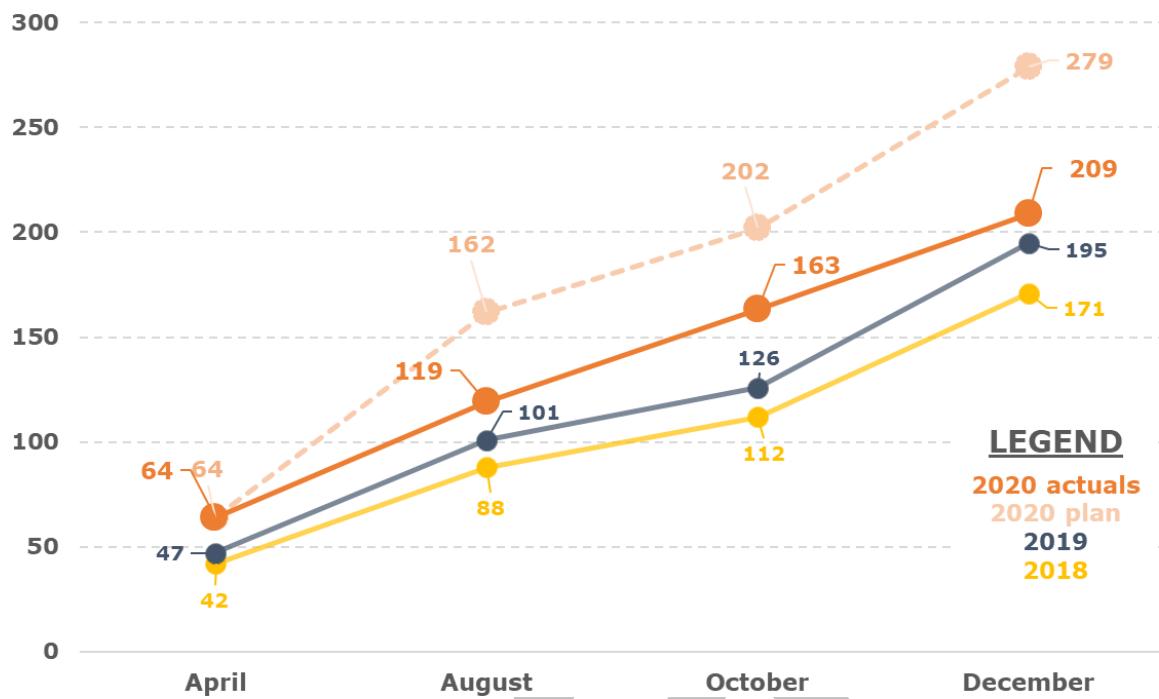
ACTIVITY - OUTPUT INDICATORS				
General risk assessment				
Indicator	Executed 2019	Target 2020	Executed 2020	Status
Number of questions delivered for scientific outputs and technical reports	182	265	<b>194</b>	<span style="color: red;">●</span>
Number of questions delivered for 'other publications' (external reports, event reports)	13	14	<b>15</b>	<span style="color: blue;">○</span>
Proportion of scientific/technical questions adopted within deadline	95.6%	100%	<b>98%</b>	<span style="color: green;">○</span>

In terms of **timeliness of adoption**, the result can be considered on track, at 97.9% versus a target of 100%.

<sup>9</sup> The expected number of questions to be closed in 2020 in the general risk assessment area has increased compared to the previous year mainly as a result of a technical adjustment implemented to properly reflect the architecture of EFSA's processes. Specifically, questions closed in relation to the following processes have been shifted from regulated products to general risk assessment: the advice on recommendations of the Joint FAO/WHO one pesticide residue (JMPR) and on the proposed Codex MRLs for discussion at CCPR meeting; the Annual Report on Pesticides Residues; the assessment of the risks related to MRLs; the technical assistance provided by EFSA for the approval of active substances)



**# of question closed in general risk assessment area  
(2020 actuals vs 2020 plan vs 2019 actuals vs 2018 actuals)**



**Figure 9.** Question closed in General Risk Assessment area

The following achievements can be highlighted in the specific areas of work:

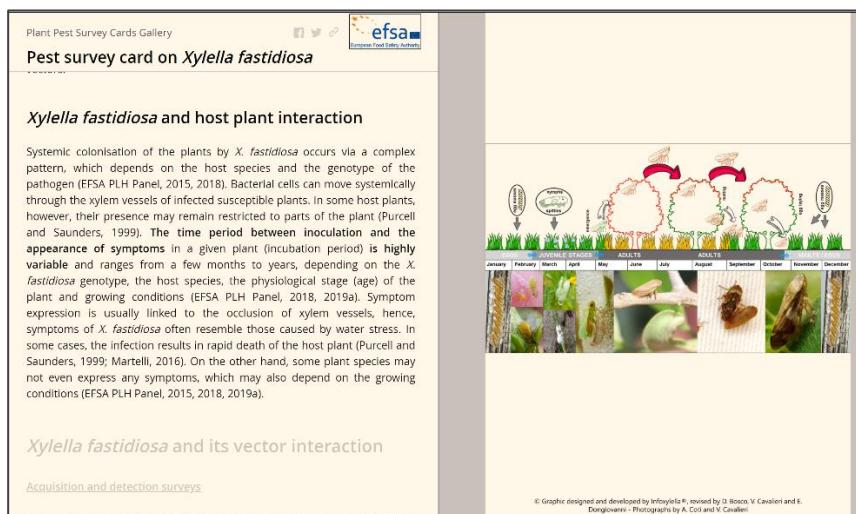
#### Plant health

2020 marked the international year of plant health, and EFSA undertook initiatives to highlight the work it is doing with its partners to combat plant pests and protect Europe's cultivated and wild plants. A special [website](#) was launched, as further explained in the section "Enhanced Outreach of Communication", which provides information on activities aimed at raising awareness about plant health in Europe and beyond. Amongst these, a series of plant health webinars was launched. This included a webinar on "Horizon scanning for plant health" that was organised to present the work EFSA is doing, in collaboration with the European Commission's Joint Research Centre (JRC) and EU Member States, regarding the monitoring of the media and scientific literature worldwide, which feeds the media and scientific monitoring newsletters published monthly in the EFSA Journal.

The website also presents the on-going work on the evaluation of high-risk plants dossiers, which increased its pace in 2020 compared to 2019, with 27 dossiers received and 13 fully evaluated during the year. The number of questions closed is still slightly below the plan, mainly due to a number of stop-the-clock instances which delayed the finalisation of the evaluation. In light of this, EFSA also organised webinars for applicants on how to prepare a dossier and held post-submission meetings with applicants to address clarification needs, so to improve the dossier quality and enhance discussion with stakeholders.

Work continued also for plant pests survey cards: in addition to the delivery of the pest survey cards technical reports, EFSA started their digitalisation and published them as “[story maps](#)” on the EFSA website. They have been designed in an easy-to-use interactive and smartphone-compatible format, and are part of a plant [pest surveillance toolkit](#), which consists of pest-specific documents, and also includes general survey guidelines and information on appropriate software.

Also, the *Xylella* host plants database was updated, following a comprehensive search of the latest scientific literature and notifications to the EU’s plant health interception service Europhyt together with the results from the already mentioned EFSA’s own horizon-scanning activities. 37 new plant species have been identified as hosts of the *Xylella fastidiosa* pathogen, bringing the total number of plant species currently comprised in the list to 595.



**Figure 10.** Plant pest survey card

## Animal health

EFSA continued its work on the risks related to Rift Valley fever and the assessment of EU surveillance and control measures, and finalised and published 3 opinions on the topic.

Further work was carried out with regards to African Swine Fever (ASF): in December 2020 EFSA finalised an opinion on the assessment of the control measures for ASF. This output belongs to a series of opinions where control measures against diseases included in the Category A list according to Regulation (EU) 2016/ 429 on transmissible animal diseases ('Animal Health Law') are being assessed. EFSA and the AHAW Panel of experts reviewed the effectiveness of: (i) clinical and laboratory sampling procedures, (ii) monitoring period and (iii) the minimum radius of the protection and surveillance zone, and the minimum length of time the measures should be applied in these zones. Several scenarios for which these control measures had to be assessed were designed and agreed prior to the start of the assessment, and recommendations for each of the scenarios were provided to support the European Commission in the drafting of further pieces of legislation.

A public consultation was held in 2020 on a draft data section of the “Scientific opinion on Risk assessment of African swine fever and the ability of products or materials to present a risk to transmit ASF virus”. This draft section lists data on the ability of ASF virus to survive and remain viable in different matrices and information on matrix production/processing parameters that allow to understand if the production/processing of the matrix would allow the virus to remain viable. Comments from interested parties will contribute to the final opinion to be finalised in 2021.

EFSA also continued monitoring Avian Influenza (AI) by producing, together with the European Centre for Disease Prevention and Control (ECDC) and the EU reference laboratory on avian influenza, quarterly updates on the presence of avian influenza in Europe and around the world. In addition, a further update was published in November to highlight risks and call for continued surveillance and enforced measures at national level to prevent AI from spreading.

EFSA contributed to a rapid assessment of the risks to human health from the new SARS-CoV-2 variants related to mink. The assessment, published in November by the European Centre for Disease Prevention and Control (ECDC), contains a number of recommendations aimed at protecting public health. Additional work started at the end of 2020, together with ECDC, to provide assistance to the European Commission on the revision and update of the measures put in place by Member States to

counteract the challenges posed by the epidemiological situation of SARS-CoV-2 in mink and other animals of the family *Mustalidae*.

### Animal welfare

EFSA continued its work to provide the scientific basis for the review by the European Commission of the current provisions on animal welfare in the context of the Farm to Fork strategy. Two opinions were finalised in 2020 to assess the welfare of pigs and cattle at slaughter, which follow the previous assessments on poultry and rabbit. The scientific opinions on slaughter, which also propose measures to prevent and correct the hazards, are based on the latest available scientific knowledge and are being developed in consultation with animal welfare experts from EU Member States.

In the same context, EFSA finalised 2 opinions on the welfare of cattle and pigs during killing for purposes other than slaughter, which identify the welfare consequences of hazards to which animals can be exposed and propose mitigation measures to minimise such consequences.

### Biological hazards

EFSA has developed a tool to help food business operators decide when to apply the 'use by' or 'best before' date to their products, which, by providing clear information on date marking on food products, is aimed to help reduce food waste in the EU, while continuing to ensure food safety. The tool is structured as a decision tree with a series of questions to be answered by the food business operators to help them decide whether a 'use by' or 'best before' date is required. Questions range from whether date marking requirements for a food category are already regulated by legislation, whether a product undergoes any treatment to eliminate hazards, whether it is handled again before packaging, its characteristics and storage conditions. Experts also reviewed the factors that need to be considered by food business operators to set a shelf-life date – the period during which a foodstuff will remain safe and/or of suitable quality for consumption while the packaging is intact and it is stored as instructed.

The work on *Listeria* continued, with the assessment of the risks to public health from contamination of vegetables that are blanched – scalded in hot water or steam for a short time – before they are frozen. In the opinion, EFSA's experts identified relevant control activities that food business operators can implement to lower the risks of contamination of frozen vegetables.

### Chemical hazards

EFSA finalised a number of opinions on chemical hazards in food. Among the advice provided to risk managers, the risks to human health arising from the presence of PFAS substances in food was assessed and the threshold – a group tolerable weekly intake (TWI) of 4.4 nanograms per kilogram of body weight per week – was established. The opinion also addresses the feedback received from scientific organisations, citizens, and competent authorities in Member States during a two-month consultation. EFSA also assessed the public health risks of Ochratoxin A in food and of Glycoalkaloids in potatoes, in both cases again consulting interested parties on the draft opinion.

The "Report for 2018 on the results from the monitoring of veterinary medicinal product residues and other substances in live animals and animal products" was finalised and published, showing high rates of compliance with recommended safety levels in the European Union. A total of 657,818 samples were checked by 28 EU Member States. The data are available on EFSA's curated open repository Knowledge Junction.

The work on BPA progressed, however at a slower pace because of the effects of SARS-CoV-2 crisis, causing a slight postponement of the deadline for the finalisation of the evaluation.

### Zoonoses, TSE and antimicrobial resistance monitoring

The European Union Summary Report on Antimicrobial Resistance in zoonotic and indicator bacteria from humans, animals and food in 2017/2018 was finalised as planned in collaboration with ECDC. The report, which looks at the status of antimicrobial resistance in bacteria affecting humans, animals and food, concludes that *Salmonella* and *Campylobacter* are becoming increasingly resistant to ciprofloxacin, one of the antibiotics of choice for treating infections caused by these bacteria, but also presents some positive trends in the animal sector. Key outcome indicators that help EU Member



States assess their progress in reducing the use of antimicrobials and combatting antimicrobial resistance are also included in the document.

The European Union summary report on surveillance for the presence of transmissible spongiform encephalopathies (TSE) in 2019 was also published in 2020, while the finalisation of the European Union One Health 2018 Zoonoses Report was postponed to early 2021—because of the SARS-CoV-2 outbreak.

## Urgent response

### Biological hazards

Two joint EFSA-ECDC rapid outbreak assessments were carried out in 2020: the third update on *Salmonella Enteritidis* infections linked to eggs, and on *Salmonella Typhimurium* and *S. Anatum* infections linked to Brazil nuts. In addition to this, EFSA finalised 6 Joint Notification Summary Reports during the year: *Salmonella* Dublin outbreak linked to raw milk cheese; *Listeria monocytogenes* infections linked to salmon products from Lithuania; *Listeria monocytogenes* infections linked to salmon products from Lithuania - update; *Listeria monocytogenes* infections linked to salmon products from Poland, France and possibly Germany; *Salmonella Agona* linked to frozen kebab products; *Salmonella Enteritidis* infections possibly linked to poultry products.

### Nutrition

EFSA published a virtual issue on Foods for infants and young children in the EFSA Journal, compiling a broad range of scientific outputs in the area of infants and young children, such as the safety assessment of infant and/or follow-on formulae, the appropriate age range of introduction of complementary feeding, as well as substances that may be added to (such as additives) or unintentionally present in (such as contaminants) foods consumed by infants and young children. The issue includes 119 EFSA outputs organized into nine sections in chronological order.

This is an area of great interest to the scientific community and the wider public. For this reason, the virtual issue is expected to be updated once per year to ease accessibility for interested parties.

### 1.1.2. Regulated products

In the area of regulated products, EFSA received about 400 applications, slightly above those received in 2019 (384), and closed a total of 424 questions<sup>10</sup> (422 through scientific outputs and technical reports and 2 through external reports), a result which is in line with the plan of 421 questions (see table 3 and figure 10). Note that this is below the results of 2019 (546) and 2018 (524)<sup>11</sup>.

The number of questions closed in the area of regulated products is to be considered particularly positive given that a potential shortfall of up to 60 questions was identified in the Impact Assessment in May 2020. The final performance reflects the fact that in some cases the risks initially foreseen did not materialise or were efficiently mitigated, by putting less urgent activities on hold.

Additional details on questions closed by Unit and food sector area can be found in Annex I Core business statistics (a) Questions closed in 2020.

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

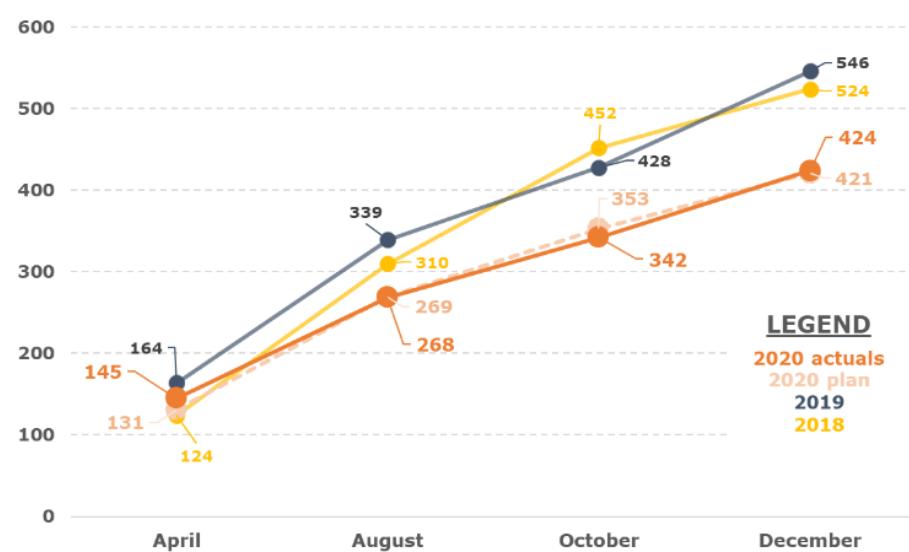
<sup>11</sup> As already mentioned above, the expected number of questions to be closed in 2020 for regulated products has decreased compared to the previous year mainly as a result of a technical adjustment implemented to properly reflect the architecture of EFSA's processes.



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

ACTIVITY - OUTPUT INDICATORS				
Regulated products evaluation				
Indicator	Executed 2019	Target 2020	Executed 2020	Status
Number of questions delivered for scientific outputs and technical reports	541	417	422	<span style="color: green;">○</span>
Number of questions delivered for 'other publications' (external reports, event reports)	5	4	2	<span style="color: red;">○</span>
Number of questions in backlog in PRAS (Art. 12 only) delivered	48	28	33 <sup>12</sup>	<span style="color: blue;">○</span>
Proportion of scientific/technical questions adopted within deadline	82.8%	90%	76%	<span style="color: yellow;">○</span>

**# of questions closed in the regulated products area  
(2020 actuals vs 2020 plan vs 2019 actuals vs 2018 actuals)**



**Figure 11.** Questions closed in the Regulated Products area

In terms of **timeliness of adoption**, the index stood at 75.6% (rather stable since April 2020), below the target of 90% and below the results of the past two years (82.8% in 2019 and 83.0% in 2018). This performance is due to increased workload, increased complexity, and the need for greater transparency and engagement with society that are impacting EFSA's work, as well as of the effect of the SARS-CoV-2 pandemic.

The following achievements can be highlighted in the specific areas of work:

<sup>12</sup> 18 closed via Reasoned Opinions, 3 via Conclusions, 12 via Statements of EFSA



## Novel foods

EFSA  @EFSA\_EU · Dec 21, 2020

EFSA has taken in more than 156 innovative food applications since January 2018, when the new  regulation on #NovelFoods came into effect. Our Wolfgang Gelbmann explains this & more in an interview with @POLITICOEurope.

Read the article:



From mealworms to 'miracle' berries, EU sees boom in novel food applications. More products have been submitted for approval since 2018 than in prior 14 years combined. [politico.eu](https://www.politico.eu)

**Figure 12** Novel foods on EFSA's twitter

gives an in-depth analysis of the main issues raised during the safety assessment of novel foods by EFSA during the past almost 18 years. The article discusses scientific challenges arising due to the heterogeneous nature and variable complexity of novel foods and contributes to a better understanding of the scientific requirements of the safety assessment process of these regulated products in the European Union.

## Feed additives

In the area of feed additives applications, the number of questions closed is above the plan and in line with that of 2019 (106 for 2019 vs 109 for 2020), confirming efficiency gains already observed in the past year. The timeliness of adoption is also stable compared to past years, due to the significant backlog and stock of on-going dossiers that EFSA is facing in this area. Despite the increased adoption rate, the backlog is reduced at a very slow pace, since the average annual number of new dossiers is about 100.

## Food ingredients and food contact materials

In the areas of food ingredients and food contact materials, some re-prioritisation took place, which reflects not only the impact of the SARS-CoV-2 crisis but also the re-directing of resources to on-going sensitive mandates (such as titanium dioxide, substances without a specific migration limit (SML), styrene, and the guidance on smoke flavourings). This caused a slight under-execution in some areas, namely flavourings and food contact materials. Similarly, delays occurred in the food additives area, where the finalisation of the re-evaluation of sweeteners had to be postponed, due to slowdown experienced by third parties in providing requested additional information. On the other hand, adoptions in the area of food enzymes remained stable compared to 2019.

## Pesticides

In the pesticides area, the reduction of the MRL Art. 12 bulk evaluation surpassed the target in 2020, with 33 questions closed. The MRL Art. 10 applications processes suffered more the impact of the SARS-CoV-2 outbreak, both in terms of reduced internal resources availability and of delays experienced by Member States and applicants, as already highlighted during the year (see performance report P1), with 48 questions closed as reasoned opinions against an initial target of 60. The timeliness of adoption for this process was quite low, mainly due to complexity issues, resulting in requests of additional clarifications from Evaluating Member States, as well as to additional workload linked to the preparation of TR implementation.

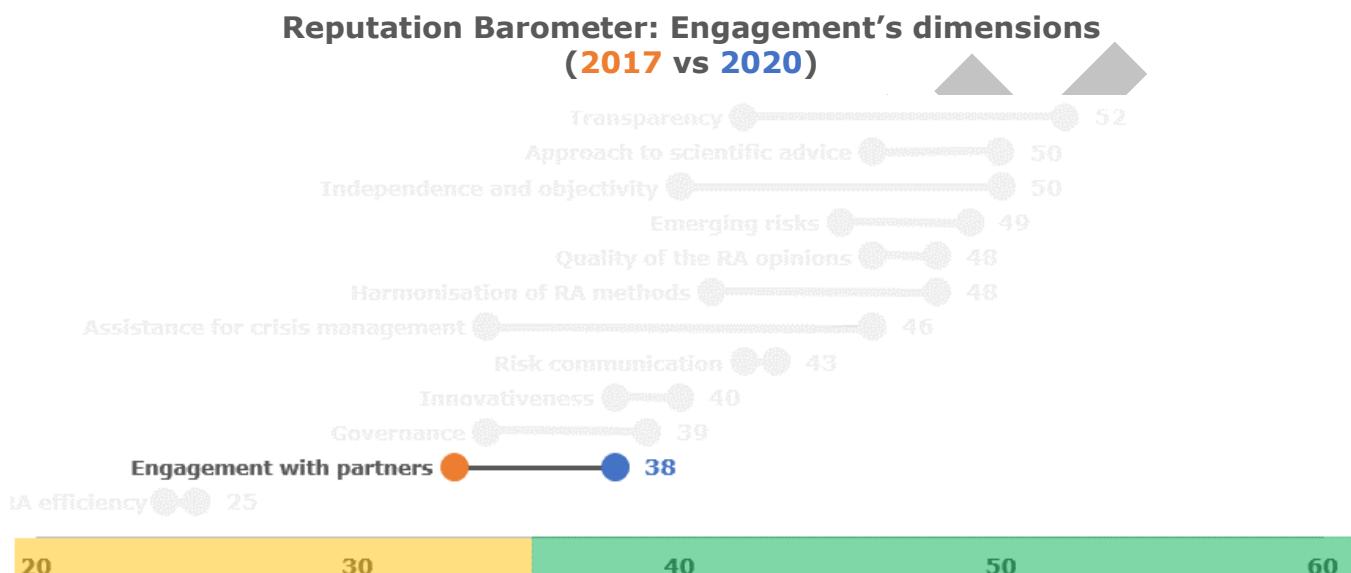
EFSA published the 2018 Annual Report on Pesticide Residues, including an integration of data visualisation dashboards. The data show that 95.5% of the 91,015 samples of food products analysed fell

below the maximum residue level (MRL) of pesticides. To further increase transparency, the raw data underpinning the report were published on the EFSA curated repository Knowledge Junction.

### 1.1.3. Increased engagement

#### With interested parties

Regarding EFSA's interested parties, a positive result emerged from the Reputation Barometer, with the dimension of "Engagement with partners" registering an increase of 5 points compared to the 2017's results but remaining in the neutral area (see figure 13).



**Figure 13.** Reputation Barometer: Engagement dimensions

Following the review of the Stakeholder Engagement Approach in 2019, which led to positive feedback from EFSA's stakeholders (table 4), in the second half of 2020 EFSA presented the plan on the Large-Scale Engagement (LSE) project. The project aims, through the definition of a new engagement framework, to evolve EFSA's current engagement mechanisms to meet the demand of the Transparency Regulation and feed into the EC's mandate on Risk Communication, as well as to create the right processes and tools to engage more effectively with our interested parties to improve the quality of our scientific outputs by ensuring access to the right data and expertise, but also increase trust in the risk assessment process. A pilot phase will be carried out to bring EFSA's engagement framework to the next level in view of the Strategy 2027.

**Table 4.** Outcome indicators for SO1 – Increased engagement of stakeholders in scientific activities

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Increased engagement of stakeholders in scientific activities					
Stakeholders engagement during public consultations and other stakeholders' engagement activities	Survey feedback from SEA-registered members on the effectiveness of EFSA's stakeholder engagement activities	Positive outcome (2019)	N/A in 2020	Positive Outcome (2019)	

In 2020, the pool of EFSA registered stakeholders counted 124 registered entities, a bit lower than the expected target for the year due to the impact of Brexit in this area, which led to nine stakeholders to be considered no longer eligible (table 5). However, the feedback from registered stakeholders



gathered via surveys launched after specific events<sup>13</sup>, was slightly above the target (93% vs 90%), with participants appreciating the efforts put in place by EFSA to counter the effects of the SARS-CoV-2 pandemic, as well as the EFSA's efforts in redesigning the Stakeholder Engagement process and the involvement of stakeholders in the process.

In this area, on the 6<sup>th</sup> of October 2020 EFSA held its "First meeting of the digital event series on the evolution of EFSA's engagement framework", which was attended by EFSA's registered stakeholders as well as by representatives of DG SANTE. During the event, EFSA presented the actions developed to take onboard the recommendations that were gathered at the Stakeholder Forum in 2019 and through the review of the Stakeholder Engagement Approach (SEA) 2016-2019. This approach will allow EFSA to gradually introduce the elements of the new engagement framework, to fulfil the requirements of the Transparency Regulation and meet the ambitions of the Strategy 2027 in the area of public engagement.

The commitment of EFSA in engaging its interested parties involves also the general public: during 2020, about 540 requests for information were received and processed through the Ask EFSA platform, around 100 less than 2019, likely due to the impact of the SARS-CoV-2 outbreak (as the number of requests received saw a reduction since March 2020). 99% of the request received were addressed within the established 15 working days (see table 5).

The areas that registered the highest interest were corporate issues, nutrition (especially in the area of health claims), and pesticides. Compared to 2019, there was a huge increase of queries related to biological hazards (also due to the fact that requests related to SARS-CoV-2 transmissibility via food or animals were placed in this category) and contaminants (mainly due to a lot of interest about EFSA's work on PFAS and process contaminants).

**Table 5.** Activity and outputs indicators for SO1 —Stakeholders' engagement

ACTIVITY - OUTPUT INDICATORS					
Communication and engagement					
Indicator	Executed 2019	Target 2020	Executed 2020	Status	
Number of stakeholder enquiries addressed within agreed deadlines	95%	95%	99%		
Percentage of positive feedback from engagement activities carried out with registered stakeholders	85%	90%	93%		
Total number of registered stakeholders	126	132	124		

In the same spirit of enhanced engagement in the development of EFSA outputs, 20 public consultations were launched, close to the initial target of 21; the slight under-execution can be explained with the postponement of the public consultation on the draft Scientific Committee opinion on the review of evidence for non-monotonic dose-responses, which was delayed to align with the assessment of BPA and phthalates (table 6).

<sup>13</sup> Feedback was gathered at two events: "NGO Roundtable", and "First meeting of the digital events series introducing the evolution of the engagement"



**Table 6.** Activity and Output indicators for SO1 – Increased engagement of stakeholders in scientific activities

ACTIVITY - OUTPUT INDICATORS					
Communication and engagement					
Indicator	Executed 2019	Target 2020	Executed 2020	Status	
Number of public consultations on EFSA outputs	16	21	<b>20</b>		

One area where EFSA has continued engaging with interested parties is bee health: in support of EFSA's work on developing a systems-based approach to the environmental risk assessment of multiple stressors in honeybees, exchanges with beekeepers and EU Bee Partnership members were conducted during the year, providing a societal outlook on the proposed approach. Integrated in the overall scientific opinion, insights covered areas of data sharing, use of technology, and involvement in the EU research agenda.

**Table 7.** Outcome indicators for SO1 – Increased engagement of stakeholders in scientific activities

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Increased engagement of stakeholders in scientific activities					
Stakeholders engagement during public consultations and other stakeholders' engagement activities	Number of contributions received – total and by stakeholder group	1,795 (2017)	2,441	<b>2,219<sup>14</sup> (2018)</b>	

### With applicants

Regarding the efforts put in place by EFSA to support its applicants during the submission and risk assessment process, 123 support initiatives were organised in 2020, a figure in line with the annual target of 127 and also higher than what registered in 2019 (116 support initiatives) (see table 8). Support was requested mainly in the areas of novel foods and feed additives applications (27% and 25% of requests respectively), followed by GMOs and food enzymes (10% both). The service most frequently requested by applicants remains the clarification teleconference during risk assessment, which covers 67.5%, followed by clarification teleconference during completeness check (14.6%).



**Figure 14.** Support to applicants

EFSA is measuring applicants' satisfaction specifically on regulated products opinions, via a dedicated survey addressed to single applicants after the adoption of the output (see table 8). The results (78%) were well above the target set for the year and above the result registered in 2019 (54%); however, the low response rate<sup>15</sup> does not allow EFSA to consider these results as fully representative. The

<sup>14</sup> The indicator could not be measured in 2020.

<sup>15</sup> Feedback based on 40 replies

indicator and measurement will be carefully considered in the context of the new performance framework of the EFSA Strategy 2027.

**Table 8.** Activity and output indicators for SO1 — Engagement with applicants

ACTIVITY - OUTPUT INDICATORS				
Regulated products evaluation				
Indicator	Executed 2019	Target 2020	Executed 2020	Status
Number of service catalogue activities with applicants (meetings, webinars, info sessions etc.)	116	127	<b>123</b>	
Percentage of positive feedback on regulated products opinions from applicants	55%	54%	<b>78%</b>	

Since the 30<sup>th</sup> of March 2020, EFSA has authorised the submission by electronic means of all technical dossiers of applications for regulated products to EFSA for scientific evaluation. This decision was taken in light of the measures and restrictions adopted by several Member States of the European Union and of EFSA's decision to adopt mandatory teleworking for all staff members following the SARS-CoV-2 outbreak, as this new scenario might have hampered attempts by applicants and institutions of submitting efficiently to EFSA information or packages related to their applications.

However, the complexity of the iterations among the Application Desk, scientific Units, and legal service for the checking of the completeness of dossiers, including scientific completeness, has determined the need to increase the internal standard time from 30 to 45 days.

Work has been carried out during the year also in relation to the update and revision of several guidance documents for regulated products, to be completed by the entry into force of TR, including the EFSA's Catalogue of support initiatives during the life cycle of applications for regulated products.

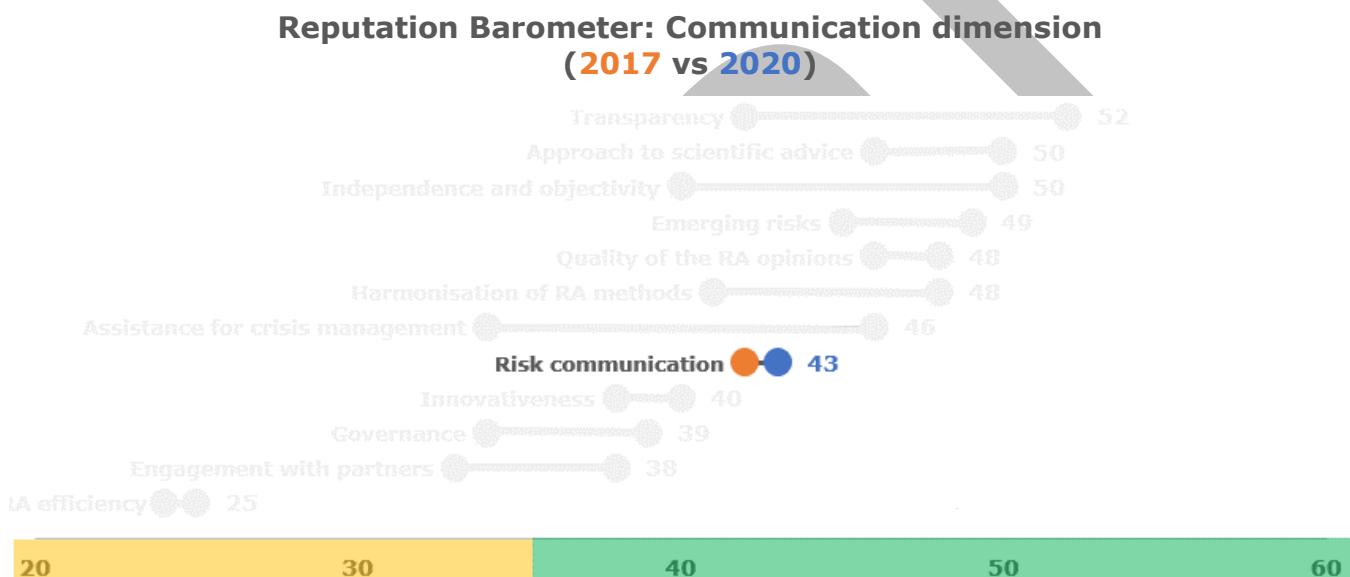
EFSA also held the annual roundtable with industry associations as online meeting on the 16th of September 2020. 25 associations participated, with four of them joining the roundtable for the first time, to discuss a number of topics, ranging from administrative matters to scientific and communication issues; a presentation from the European Commission on the Farm to Fork strategy was also delivered. 436 requests for information were received and processed during the year via the APDESK webform, a decrease of about 28% compared to 2019 (607), but in line with the trend until 2018 (435 in 2018). It should also be noted that in 2020, in order to face the re-prioritisation needs due to the impact of the SARS-CoV-19 outbreak, the standard timing of 15 days for replying to queries was frequently extended.

**Table 9.** Outcome indicators for SO1 – Full availability of documentation relevant to EFSA's scientific outputs

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> 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	N/A	N/A	N/A	
	Proportion of EFSA's scientific outputs <sup>16</sup> providing direct access (links) to datasets and metadata	11.8% (2018)	25%	39%	

## 1.2. Enhanced outreach of communication

The results coming from the Reputation Barometer showed that the perception of the interested parties about EFSA's Risk Communication has remained stable over time (43 in 2020 vs 42 in 2017) and on the positive side of the spectrum (figure 14).



**Figure 15** Reputation Barometer: Communication dimension

In early 2020, EFSA received a request to provide an assessment of risk communication theory and best practice to support a new provision introduced by the Transparency Regulation, a *General Plan on Risk Communication* (GPRC) for EU food safety. The GPRC should promote an integrated risk communication framework followed both by the risk assessors and the risk managers in a coherent and systematic manner both at Union and national level. Through its Social Research Methods and Advice WG, EFSA's social science experts and staff prepared a scientific report examining evidence from peer-reviewed and grey literature covering critical issues in EU food safety risk communication, such as increasing awareness and understanding of the roles of risk assessors and risk managers to enhance confidence in risk analysis, reducing the ambiguity of the difference in meaning between

<sup>16</sup> Scientific outputs published in EFSA Journal, excluding outputs linked to questions types public consultation, 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 and MRL Art 12, external scientific report and event report. The measurement is done through Knowledge Junction unique uploaded dois (digital object identifiers).



'hazard' and 'risk', and taking into account the risk perceptions of different audiences. The report was available for an open consultation by end of the year, scheduled for finalisation by the first quarter of 2021.

In 2020, the comprehensive bi-annual survey that EFSA carries out with its interested parties was not launched, with the next edition being planned in 2021 (see table 10 for 2019's results).

However, in line with a suggestion coming from the 2019 edition of the survey, and following a requirement of the Transparency Regulation that emphasises the need for EFSA and other EU bodies to be as clear and accessible as possible when communicating with the general public, in March 2020 EFSA launched the Spanish version of its website. This addition means that all essential information about EFSA, news stories and background materials are accessible in five languages, including Spanish, English, French, German and Italian.

The launch of a Spanish version of the website marks the beginning of the gradual introduction of full EU-24 multilingualism to EFSA's communications.

**Table 10** Intermediary impact indicators for SO1 – Satisfaction on communication tools and materials and media coverage

KPI	Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> Increased satisfaction of stakeholders regarding EFSA's scientific outputs (for Commission/Member State risk managers and stakeholders) and the scientific assessment process				
User satisfaction rating of communication tools and materials	Communication products 76.9% (2017)	N/A in 2020	<b>73.6% (2019)</b>	
Impact of media coverage (EFSA's coverage in the media, including the favourability of articles)	18 (2017)	5-25	<b>15</b>	

Overall, 2020 was a positive year for EFSA in the media, as demonstrated by the **media coverage index** (measuring the tone of media coverage mentioning EFSA), calculated by analysing articles that mentioned EFSA and its work in 2020. The index score remained in the neutral/slightly positive area for 2020, as per the target (Table 10).

With the SARS-CoV-2 outbreak getting the majority of the spotlight, wide positive coverage was registered in the first quarter in relation to EFSA's statement that there is no evidence that food is a source or transmission route for SARS-CoV-2, which was also the topic of several high-profile interviews organised with EFSA's Executive Director Bernhard Url and chief scientist Marta Hugas, prompting further media interest. Towards the end of the year, the news that a coronavirus variant had infected mink on farms in the EU, subsequently infecting humans, featured EFSA's contributions to an ECDC rapid risk assessment, as already mentioned in the general risk assessment section.

Positive coverage for EFSA was registered in connection to the publication of three scientific opinions of rabbit welfare, reported in major dailies, and to EFSA's conclusions on the risks posed by neonicotinoid insecticides to bees, among other topics.

A joint interview with EFSA's Executive Director Bernhard Url and ECHA's Executive Director Bjorn Hansen featured in EU newspaper *Politico*, focussing on the need for closer cooperation between the EU agencies pursuing public health objectives. and raised the importance of resources for EFSA. The

### EFSA goes Spanish



**Figure 16.** Launch of Spanish version of EFSA website



interview also shone a light on the efforts of EFSA and ECHA towards a ‘one substance one assessment’ approach.

In 2020 EFSA managed, as planned, to address 95% of the media enquiries in a timely manner (table 11).

**Table 11** Output indicators for SO1 – Communication and engagement

ACTIVITY - OUTPUT INDICATORS				
Communication and engagement				
Indicator	Executed 2019	Target 2020	Executed 2020	Status
Number of media enquiries addressed within agreed deadlines	95%	95%	<b>95%</b>	

In July 2019, EFSA commissioned the Eurobarometer study in all the EU Member States, examining issues such as interest in food safety, awareness, and risk perceptions as well as trust in different sources of information. As a follow up of this study, in 2020 EFSA added additional data coming from five out of seven EU pre-accession countries (Albania, Montenegro, North Macedonia, Serbia, and Turkey), marking another important milestone in the growing cooperation between pre-accession countries and EFSA.

In 2020, EFSA launched a wide-ranging communication campaign in South-Eastern Europe to raise awareness about African Swine Fever (ASF).

The campaign, which was carried out with competent authorities and interested parties throughout the region, was designed to provide hunters, farmers, and travellers with practical advice about how to stop the spread of the disease.

The campaign produced a suite of communication materials (all available through a dedicated website<sup>17</sup>) that were disseminated simultaneously to target audiences across nine countries using a combination of online, offline, direct, and indirect channels.



**Figure 17.** One of the posters created for the ASF campaign

EFSA plans to extend the campaign in 2021, building on the positive response from EFSA’s partners and interested parties about the support it offers national efforts to combat the disease.



range of food safety topics, with a focus on three key features of the EU food safety system:

**Figure 18.** World food safety Day – Q&A with Codex and EFSA

On 7<sup>th</sup> June 2020, EFSA celebrated the second World Food Safety Day (WFSD) together with its national, European and international partners, including the UN Codex Alimentarius, the Food and Agriculture Organization (FAO), and the World Health Organization (WHO). To mark this year’s WFSD, EFSA’s Executive Director Bernhard Url and Codex Alimentarius’s Secretary Tom Heilandt session, answering questions on a sustainable food systems and the shared responsibility of food safety.

<sup>17</sup> <https://www.efsa.europa.eu/en/StopASF/>



Another important communication activity was the launch of a dedicated website to mark the International Year of Plant Health (IYPH). The website, which has been updated throughout the year with news and information on the work EFSA is doing with its partners to combat plant pests and protect Europe's cultivated and wild plants, aimed at raising awareness about plant health in Europe and beyond.

### 1.2.1. *Communication of findings*

The perceived usefulness of the EFSA Journal remained very high (98% according to the survey run by EFSA Journal among its users), in line with the results registered in 2019 (also 98%).

**Table 12.** Intermediary impact indicators for SO1

KPI	Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> Increased satisfaction of stakeholders regarding EFSA's scientific outputs (for Commission/Member State risk managers and stakeholders) and the scientific assessment process				
User satisfaction rating of communication tools and materials	EFSA Journal	85% (2016)	> 80%	98% 

Since the full implementation of its enhanced publishing model, EFSA has increased its ability to publish its scientific outputs in a timely manner. In 2020, the publication of scientific outputs in the EFSA Journal took place within 28 working days in 88% of cases, a result higher than the target of 82.50% set for the year 2020 (table 13) and in line with the previous two years.

**Table 13.** Activity and outputs indicators for SO1 — Communication

ACTIVITY - OUTPUT INDICATORS				
Communication and engagement				
Indicator	Executed 2019	Target 2020	Executed 2020	Status
Proportion of scientific outputs delivered within 28 working days of adoption (%)	90%	82.5%	88% 	

The positive findings in the survey are translated into **increased visibility of EFSA's scientific outputs**. In 2020, the EFSA Journal registered almost 4 million views of its scientific outputs, a figure higher than the foreseen target of 3.6 million and higher than the figure registered in 2019 (3.5 million) and 2018 (3.1 million). Similar results were also registered for the number of downloads from the EFSA Journal (almost 3.5 million versus a target of 2.9 million) and for the number of citations (almost 51,500 vs a target of 21,000, see table 14).

**Table 14.** Outcome indicators for SO1 – Enhanced outreach of communication – EFSA Journal

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Enhanced outreach of communication					
Impact, visibility and discoverability of EFSA's scientific outputs	Access	3,162,974 (2018)	3,619,350	<b>3,942,420</b> 	
	Downloads	2,306,925 (2018)	2,940,000	<b>3,450,000</b> 	
	Citations	18,347 (2018)	21,525	<b>50,738</b> 	

These positive results are likely linked to the inclusion of the EFSA Journal in PubMed since April 2020, which, alongside last year's acceptance for indexing in Scopus and Expanded Science Citation Index, has created a good foundation for improving the visibility of EFSA's outputs.



### 1.2.2. Social media presence

EFSA's **social media presence** saw good results throughout 2020. Overall, the number of followers of the EFSA's social media accounts grew by around 33% year-on-year, reaching almost 160,000 followers overall. The number of interactions through social media also increased year-on-year, reaching the planned target. The annual figure on the traffic to EFSA web content promoted from social media in 2020 is not available due to a decision to change the tool we use to measure such figures. However, the numbers registered in P2 (which is reported in the table below) was very positive (71,102) and close to the yearly target (table 15).

**Table 15.** Outcome indicators for SO1 – Enhanced outreach of communication – Social media

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Enhanced outreach of communication					
Social media effectiveness	Increase followers from social media platforms	40,742 (2016)	132,053	<b>157,486</b>	
	Social interactions	14,881 (2016)	89,390	<b>89,205</b>	
	Traffic to EFSA web content from social media	63,464 (2016)	73,404	<b>71,102<sup>18</sup></b>	

Finally, in terms of online presence, EFSA closed the year with lower-than-planned results in terms of visits to the EFSA website (see table 16). The reason for this result is that in 2020 EFSA moved to a new IT system to ensure compliance with the General Data Protection Regulation (EU) 2016/679 (GDPR), which tracks visits only after the user's explicit consent.

Similarly, the indicator on the number of subscribers to online subscription products (such as newsletters and alerts) did not reach the planned target at year-end due to a clean-up of inactive users executed in December to increase compliance with data protection good practices and reduce costs. Before the clean-up, the overall number of subscribers was 36,508.

**Table 16.** Outcome indicators for SO1 – Enhanced outreach of communication – online products

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Enhanced outreach of communication					
	Traffic to EFSA's web content (web metrics): number of sessions	3,184,611 (2016)	5,499,072	<b>3,855,766</b>	
	Number of subscribers to online subscription products (newsletter and alerts)	33,934 (2016)	34,740	<b>19,482</b>	

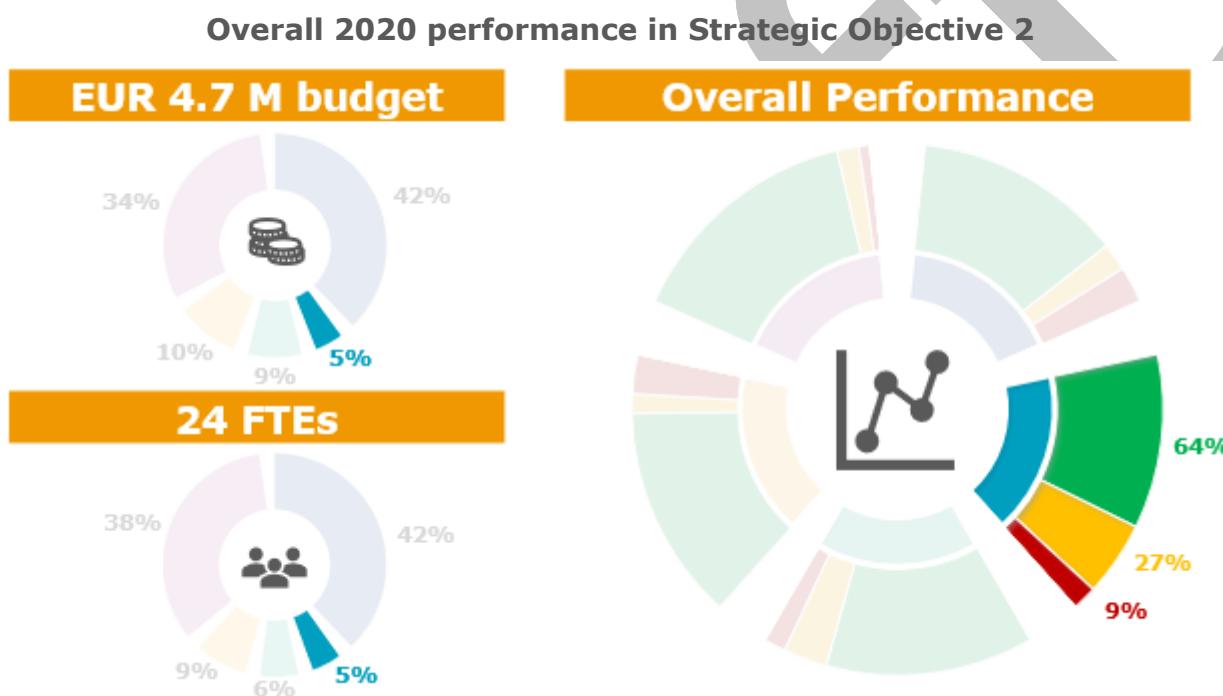
<sup>18</sup> Actual reported in from P2 (31/08/2020)



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

EFSA aims to enhance the quality of its outputs by giving direct access to data and promoting the development of collaborative platforms in Europe and internationally, as well as fostering data re-use and innovation. EFSA advocates openness by working with data providers and organisations and adopting open data concepts and standards, by gaining better access to, and making better use of, data from a wider evidence base that, where possible, follows international quality standards. In doing so, exploring the use of innovative sources of information, such as social media. By the end of 2020 more than 200 million chemical monitoring data were publicly accessible on the [IPChem](#) (European commission Information Platform for Chemical Monitoring) portal.

Adopting an open data approach has been a key objective of EFSA's 2020 strategy (SO2). Through a partnership with the JRC and DG ENV on the IPChem portal, EFSA greatly improved the discoverability of European chemical monitoring data for re-use by interested parties with some 200 million analytical records in the public domain on the IPChem portal. EFSA will expand its data coverage on IPChem through an automated publication process that was co-developed by EFSA and the JRC.



**Figure 19.** Overall 2020 performance in Strategic Objective 2

Looking at the overall performance of the KPIs in the Strategy Objective 2, 64% of the measured indicators reached or surpassed their initial targets, a performance in line with the results in 2019 (also 64%), showing how the work carried out in this area was only marginally impacted by the SARS-CoV-2 outbreak.

In terms of input invested in SO2, 24 FTEs were planned in 2020, +6 FTEs more in absolute terms compared to the actual performance in 2019 but registering no difference in relative terms on EFSA's overall FTEs (5% vs 4%) when the additional posts received in the context of the new Transparency Regulation are taken into account. In terms of budgetary inputs, € 4.68 million were invested in 2020, versus a plan of € 12.33 million but in line with last year's allocation of € 4.93 million.

No new data are available for what concerns the satisfaction of EFSA's interested parties in this area, as EFSA's comprehensive bi-annual survey will be launched in 2021 (see table 17 for 2019's results).



**Table 17.** Intermediary impact indicators for SO2

KPI	Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> 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)	N/A in 2020	<b>54.8% (2019)</b>	
Use and reuse of EFSA's accessible data and evidence	Data/evidence reused by stakeholders via citation/statistics	N/A	N/A	

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

EFSA is sharing its evidence in different domains, mainly through the **Scientific Data Warehouse** and the **Knowledge Junction platform**, the European Commission IPCheM Portal, and the Global Portal to Information on Chemical Substances ([eChemPortal](#)). In 2020, the number of registered users in the **Scientific Data Warehouse** increased to 1,125 (vs a target of 774, table 18) thanks to the roll-out of user-friendly dietary exposure tools using data from the Comprehensive Food Consumption Database.

A boost to wider data coverage was partially achieved from the work carried out in the context of the EFSA's EU Menu project (2011-2023): At the beginning of the year the project, which aims at gathering high-quality, harmonised data from Member States on food consumption, covering all age groups from three months to 74 years, released nine additional dietary surveys carried out in six countries – Austria, Belgium, Cyprus, Greece, the Netherlands and Slovenia. The surveys provide new information in all age groups covered by the EU Menu – infants, toddlers, children, adolescents, adults, the elderly, and special groups. For the first time, the statistics are broken down by gender. 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.

Regarding the **Knowledge Junction** platform (a curated, open repository for the exchange of evidence and supporting materials used in food and feed safety risk assessments), 397 digital objects (evidence) were uploaded to the platform in 2020.

**Table 18.** Outcome indicators for SO2 – Wider data coverage

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Wider data coverage					
User statistics from the data warehouse	421 (2017)	774	<b>1,125</b>		
Number of digital objects (evidence) uploaded to EFSA's open repository	500 (2017)	296	<b>397</b>		

Regarding the efforts in improving the accessibility of its data, EFSA published 9 publicly accessible data collections with no data aggregation from EFSA, in line with the plan, whilst the number of data collections dashboards/collections available was 20, as per plan (table 19). The data quality indicator

**New surveys boost food consumption database**



EFSA has expanded its food consumption database with a new batch of data collected under the EU Menu project.

**Figure 20.** EU Menu project



(timeliness) was at 80%, in line with the target. The indicator refers to all data sampled for the Annual European data collections from Chemical Monitoring and organisms.

In this area, particularly noteworthy was the update of EFSA's OpenFoodTox database carried out in March 2020, with the addition of over 150 substances, several of them included for multiple food/feed areas and populations, from an additional 200 scientific assessments.

**Table 19** Outcome indicators for SO2 - Improved access to data & Improved quality of data

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Improved access to data					
Data accessibility index	Number of publicly accessible data collections published with no data aggregation from EFSA	1 (2016)	9	9	
	Number of data collection dashboards/aggregates published	11 (2017)	20	20	
<b>Outcome:</b> Improved quality of data					
Data quality index		46% (2018)	80%	80%	

EFSA completed a migration to the (Azure) cloud of EFSA's scientific data warehouse, its R4EU models platform as well as its DCF (Data Collection Framework) web-based interface to transmit scientific data to EFSA (DAMA project). This aims to ensure the delivery of a comprehensive and scalable on-the-cloud infrastructure for data management and data analysis solutions in EFSA. In December 2020 EFSA started to implement the Transparency Regulation's security requirements.

Finally, the assessment done by EFSA on its **data interoperability capabilities** (using the EIF/IMM index<sup>19</sup>) registered no change compared to 2019, with the index remaining stable at 2.7. After a marked increase registered in 2019 (from 1.2 to 2.7), the postponement of a couple of activities to 2021 made not possible for EFSA to reach the target of stage of "maturity". EFSA remains on track to develop organization-wide standards for data interoperability, and to adopt a proactive, rather than reactive approach, when it comes to its ability to sharing of information and knowledge using its ICT systems. The aim is to reach a score of 3.1 by 2021 (see table 20).

**Table 20** Outcome indicators for SO2 - Increased standardisation and interoperability of data

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Increased standardisation and interoperability of data					
Share of regulated product areas covered by structured data	0	N/A	N/A		
Increased maturity data interoperability - EIF/IMM index	1.3 (2018)	3	2.7		

In terms of related EFSA scientific production, the number of questions closed in SO2 was 15, in line with the plan of 14 set out for 2020, despite a discrepancy in the type of questions closed (table 21). The timeliness of adoption was on track, at 100%.

The number of new tools developed, instead, was three, against a target of four, with the work planned on the Food Enzyme Intake Model (FEIM) postponed.

<sup>19</sup> European Interoperability framework for European public services/Interoperability maturity model. The index was drafted based on the European Interoperability Framework recommendations developed by the ISA2 programme (interoperability solutions for public administrations, businesses, and citizens). The index was calculated averaging the score registered by selected projects in a set of dimensions. The EIF/IMM index has 5 stages of maturity (1-Initial, 2-Managed, 3-Defined, 4-Quantitatively Managed, and 5-Optimising)

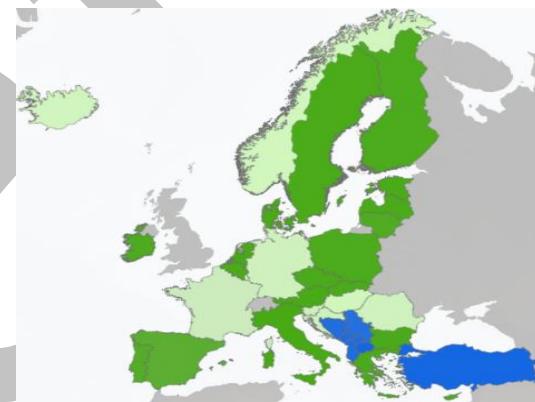
**Table 21.** Activity and output indicators for SO2

ACTIVITY - OUTPUT INDICATORS				
Indicator	Executed 2019	Target 2020	Executed 2020	Status
Number of questions delivered for scientific outputs and technical reports	5	3	<b>9</b>	
Number of questions delivered for 'other publications' (external reports, event reports)	4	11	<b>6</b>	
Proportion of scientific/technical questions adopted within deadline	80%	100%	<b>100%</b>	
Number of new tools	4	4	<b>3</b>	

Eight questions were closed in the context of the SIGMA project, which was set up in response to the need of Member States to simplify the data submission process to EFSA, and to increase the overall quality of the data by transforming them automatically from national to EFSA standards. On the 29<sup>th</sup> and on the 30<sup>th</sup> of June 2020, EFSA organised a SIGMA-EST African Swine Fever (ASF) workshop to illustrate and explain the new data collection strategy and related data models on animal population and laboratory data.

On the 3<sup>rd</sup> and 4<sup>th</sup> of November 2020, instead, EFSA organised a two-afternoon web workshop on the SIGMA African Swine Fever (ASF) data collection for four pre-accession countries (Kosovo<sup>20</sup>, Montenegro, North Macedonia and Serbia, which are now formally involved in the SIGMA project), plus Turkey as observer.

EFSA also performed a mapping of the 'data sources' on animal diseases in each pre-accession country. This activity aimed to identify the central competent authorities responsible for managing data on animal diseases and animal populations in each of these countries. The results of this activity are published as a technical report for each IPA<sup>21</sup> country, including 'Country Cards'.



**Figure 21.** African Swine Fever (ASF) data collection

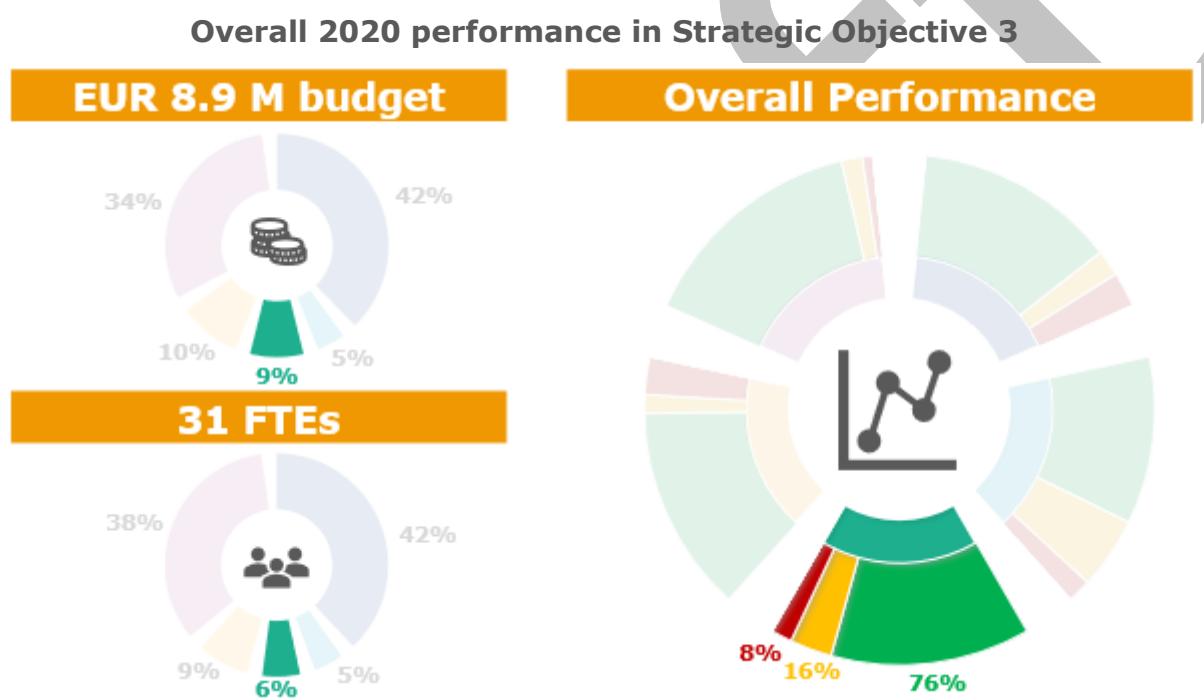
<sup>20</sup> This designation is without prejudice to positions on status and is in line with UNSCR 1244 and the ICJ Opinion on the Kosovo Declaration of Independence

<sup>21</sup> IPA: Instrument for pre-accession assistance (abbreviation used for the "pre-accession" countries)

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

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

Parallel to these, EFSA is advancing on discussions with the Member States (via the Advisory Forum) and EU Agencies to identify ways that will further expand scientific cooperation under partnership schemes and establish those as an effective, trusted and sustainable way to perform risk assessment.



**Figure 22.** Overall 2020 performance in Strategic Objective 3

Looking at the overall performance of the KPIs in the Strategy Objective 3, 76% of the measured indicators reached or surpassed their initial targets, performance below the result registered in 2019 (88%), as the work in this area was impacted by the SARS-CoV-2 pandemic, which caused some activities initially planned to be cancelled or postponed.

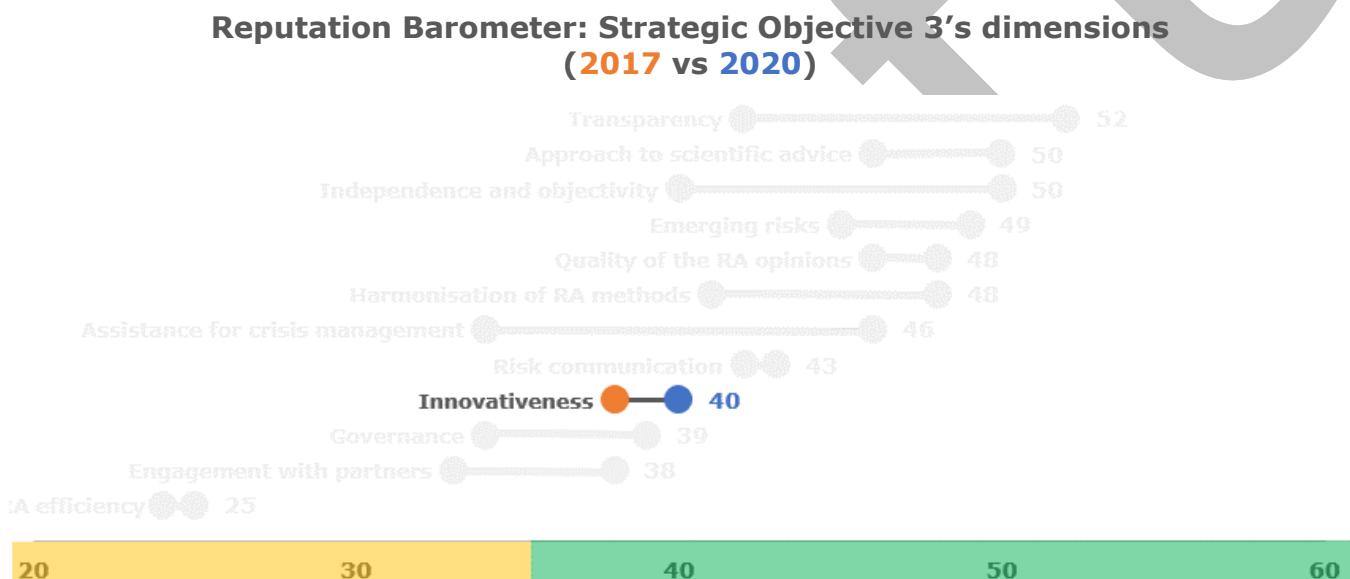
In terms of input invested in SO3, 31 FTEs were planned in 2020, the same amount that was invested in 2019, whilst in terms of budgetary inputs, € 8.91 million were invested in 2020, less than the initial plan of € 11.02 million but and more than the € 7.84 million that were employed in 2019.

The comprehensive bi-annual survey that EFSA runs with its interested parties was not launched this year, with the next edition being planned in 2021 (see table 22 for 2019's results).

**Table 22.** Intermediary impact indicators for SO3 – Satisfaction for capacity building and sharing of risk assessment capacity

KPI	Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> 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)	MS, EU, international, third country organisations	56.9% (2017)	N/A in 2020	<b>70.9% (2019)</b>
	Individual experts	72.0% (2017)	N/A in 2020	<b>58.8% (2019)</b>

The Reputation Barometer, however, touched upon one area related to the Strategic Objective 3, *Innovativeness*, which registered a small increase study-on-study.



**Figure 23.** Reputation Barometer: Strategic Objective 3's dimensions

### 3.1 Strengthen capacity building and capacity sharing

Cooperation activities are pivotal in order to make the best possible use of the expertise for scientific assessment available in the EU and worldwide and, in the area of **cooperation with the Member States**, the work with the Advisory Forum and the Focal Points is instrumental in the achievement of these results.

On the 1<sup>st</sup> and the 2<sup>nd</sup> of April, the 75<sup>th</sup> Advisory Forum meeting was held, for the first time fully in virtual mode. The meeting gathered more than 40 AF participants from 27 MS, 7 observer countries and the EC, as well as observers from JRC and EEA, with more than 80 participants each day. The meeting focused on the SARS-CoV-2 outbreak, the implementation of the Transparency Regulation (with particular focus on sustainability of risk assessment at EU level, and the development of a General Plan on Risk Communication), and included as well a thematic discussion on Environmental Risk Assessment (ERA).

Three additional Advisory Forums (1<sup>st</sup> and 2<sup>nd</sup> of July; 28<sup>th</sup> and 29<sup>th</sup> of October; 1<sup>st</sup> and 2<sup>nd</sup> of December) were held in 2020, again in virtual mode. In addition to regular standing items, reference to a thematic discussion on New Approach Methodologies (NAMs) with important input from JRC and ECHA;



a European Commission driven discussion on the Farm-to-Fork Strategy; and important updates on the review of the Focal Point network and EU Risk Assessment Agenda.

During 2020, several interactions kicked-off with MS partners in support of the implementation of the Transparency Regulation. A high-level meeting between EFSA, ANSES, BfR, DTU and RIVM was organised as a first step to look into challenges and success factors deriving from past and current cooperation frameworks, key drivers enabling “win-win” scenarios for all, and main challenges for successful partnerships. Reflections with Member States on the sustainability of risk assessment and specifically on partnerships continued to occur during the 2020 AF meetings. At the 77<sup>th</sup> AF meeting the plenary endorsed the concept of a long-term ecosystem approach to partnerships and the need to critically look and review existing cooperation networks (Focal Points, Article 36, EFSA’s Scientific Networks, the ISA scheme, and as well the activities of the AF in light of the future membership of MSs in EFSA’s MB) and as well existing capacity-building tools (e.g. EU-FORA Programme and Partnering Grants, among other).

Acknowledging the increasingly important contribution that partnerships can have in the risk assessment work, a new Advisory Forum Discussion Group was established in December 2020, to explore ways to increase Member State engagement in partnership schemes and improve the sustainability of the risk assessment system. While the main focus of this AF Group will be to provide advice on horizontal, cross-cutting aspects for a long-term vision for partnerships, it will also follow up closely and provide/receive feedback to/from other parallel streams of work impacting on its reflections, in particular the one setting a strategic sourcing framework as well as proposed improvement actions stemming from a recent survey to article 36 organisations.



**Figure 24.** EFSA-ANSES bilateral

On the 21<sup>st</sup> of April 2020, EFSA held its annual bilateral meeting with the senior management teams of ANSES (*Agence Nationale de Sécurité Sanitaire de l’Alimentation, de l’Environnement et du Travail*), enabling fruitful exchanges between both delegations on priority areas of work.

The meeting ran fully in virtual mode with a total of 25 participants. Among the topics discussed, reference to the impact on the SARS-CoV-2 outbreak on both organisations, the work carried out by ANSES on the virus, and exchanges on the implementation of the new Transparency Regulation.

Overall, EFSA carried out 74 MS cooperation activities in 2020, a result that is slightly below the target set at 80 (table 23) due to the impact of the pandemic in this area, which has led to postponements and cancellation of some of the activities foreseen in the plan.

**Table 23.** Activity and output indicators for SO3 – EU cooperation activities

ACTIVITY - OUTPUT INDICATORS				
Indicator	Executed 2019	Target 2020	Executed 2020	Status
Number of MS cooperation activities (network meetings, national FP events/workshops)	64	80	<b>74</b>	

In the context of the participation of MS organisations to the implementation of EFSA’s work-programme, the results of the **outreach of grants and procurements supporting publications** exceeded the set targets in terms of access to publications, downloads and citation index (table 24). This outcome suggests the high interest of the scientific community in the outputs of EFSA’s projects and initiatives developed with contractors or Art. 36 List organisations, as EFSA’s grants beneficiaries.



**Table 24.** Intermediary impact indicators for SO3 – Satisfaction for capacity building and sharing of risk assessment capacity – Outreach of reports

KPI	Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> Increased satisfaction of MS, EU, and international partners with regard to the building and sharing of risk assessment capacity and a knowledge community at organisational and individual level, in general and via specific tools (e.g. grants)				
Outreach of supporting publications on grants and procurements	Number of page visits (visibility)	213,048 (2018)	262,500	<b>279,420</b>
	Number of downloads (usage)	201,251 (2018)	241,500	<b>258,260</b>
	Number of citations (impact)	2.47 (2018)	2.8	<b>3.6</b>

The **application rate for EFSA's open calls** was on track at 4 applications/call, in line with the target set for 2020 and slightly better than in 2019. A positive result was also noted on the index that monitors the absolute number of **Art. 36 organisations**<sup>22</sup> that submitted proposals **applying for EFSA's grants**, which is on track (90 organisations, against a target of 89). In 2020, 22 new organisations from 10 different countries were included in the "Article 36 List", bringing the total to 301 competent organisations from 30 countries end of 2020, covering all the 13 main competence fields of EFSA's remit with over 1,700 contact person details per competences (see table 25).

**Table 25.** Outcome indicators for SO3 - Building and sharing capacity within the risk assessment community at organisational level

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Building and sharing capacity within the risk assessment community at organisational level					
Participation of MS organisations to EFSA's work programme (science grants and procurement)	Application rate for EFSA's open calls	2.15 (2017)	> 4	<b>4</b>	
	Number of Article 36 organisations applying for EFSA grants	84 (2017)	89	<b>90</b>	

In parallel, the mechanisms in place to prevent potential scientific divergences of opinions with MS competent authorities is showing to be effective, since no potential divergencies were identified; a similar result is observed with regards to preventing potential duplication of activities. To this end, reference to the fact that, as per target, 25 Member States were actively sharing their risk assessment plans (table 26) confirming the already positive outcome registered in 2018 and 2019. In addition, and as a novelty in 2020, also three Pre-Accession countries shared their risk assessment plans with EFSA.

All potential duplications/divergences were prevented within the foreseen timeline.

<sup>22</sup> Article 36 of EFSA's Founding Regulation calls for promoting the European networking of organisations operating in the fields within EFSA's mission. To this purpose, Member States can designate their organisations for inclusion in the List, which is drawn up by EFSA's Management Board. Organisations included on the List may assist EFSA in its mission, individually or in networks.



**Table 26.** Intermediary impact indicators for SO3 – Increased efficiency of risk assessment at EU and international level

KPI	Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> Increased efficiency at European and international level				
Identification of potential incidents of duplication and divergence and resolution of issues when identified within EU (development and rollout of a database for sharing MS RA activities)	Number of MS active in sharing risk assessment information	25 (2016)	25	<span>25</span>
	Potential duplication identified before an activity is started	100%	100%	<span>100%</span>
	Potential divergence identified before the adoption of an opinion	100%	100%	<span>100%</span>
	Follow-up actions within 10 days of identification of potential duplication/divergence	100%	100%	<span>100%</span>

The results of the indicators in the EU **risk-assessment agenda take-up** index are positive, with all the indicators exceeding their targets, with the exception of the "Number of projects non funded primarily by EFSA" (table 27). Regarding the latter indicator, it is plausible that the emergence of the SARS-CoV-2 pandemic played a role in preventing MSs from moving from the stage of project ideas into the step of looking/obtaining funding.

**Table 27.** Outcomes indicators for SO3 – Risk assessment agenda take-up

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Building and sharing capacity within the risk assessment community at organisational level					
Risk assessment agenda take-up index	Number of joint projects	13 (2017)	5	<span>9</span>	
	Number of priority areas covered	8 (2017)	2	<span>6</span>	
	Number of partners (Member States) in joint projects	15 (2017)	8	<span>16</span>	
	Number of partners (other than Member States) in joint projects	29 (2017)	11	<span>32</span>	
	Number of projects non funded primarily by EFSA	0 (2017)	4	<span>0</span>	

In the area of **international cooperation**, EFSA exceeded the set target in terms of cooperation activities with organisations such as the WHO, FAO, IARC and the OECD, and risk assessments bodies from third countries (59 vs a target of 50, table 28).

These figures highlight the efforts from EFSA, in alignment with DG SANTE, to continue building on a structured exchange with different international organisations and organisations in non-EU countries to align on data accessibility and sharing, methodology, expertise and engagement and communication.



Engagement and Cooperation Unit

**East-ENP Workshop on "International collaboration and resources for promoting food safety Risk Assessment in ENP countries"**

**Figure 25.** International collaboration activities

from 6 East-ENP countries (Armenia, Azerbaijan, Belarus, Georgia, Moldova, and Ukraine) and additional invited speakers from WHO, DG-SANTE, DG-NEAR, BfR, BIOR and EFSA.

In addition, EFSA in cooperation with DG-NEAR, through the TAIEX programme and with the support of the DATA Unit and experts from Member States (Finland, Hungary and Netherlands) co-organised a regional workshop for East-ENP countries on Food Consumption Data Collection using EU Methodology (23-24 November).

No new cooperation agreements with international and third country organisations were signed in 2020, against an initial target of 2, due to the decision of prioritising the agreement between EFSA and SANTE on the practical arrangements related to these provisions, since cooperation arrangements include a section on confidentiality provisions.

**Table 28.** Activity and output indicators for SO3 – International cooperation activities

ACTIVITY - OUTPUT INDICATORS				
Indicator	Executed 2019	Target 2020	Executed 2020	Status
Number of international cooperation activities (meetings, events, missions)	32	50	59	
Number of cooperation agreements with international and third-country organisations	2	2	0	

However, 47 joint activities (e.g. joint projects, staff exchanges, etc) with international partners were carried out in 2020, slightly below the target of 50 (table 29).

Among the most important activity carried out in this area there is a meeting that EFSA, together with DG SANTE, held with the Food and Agriculture Organization (FAO) in January 2020. The discussions confirmed the importance of risk communication and participants agreed to continue their support to important campaigns such as the World Food Safety Day. FAO presented the work done in collaboration with the World Health Organisation (WHO) have done on the guiding principles for Sustainable Healthy Diets, which is of high relevance to the Farm-to-Fork strategy of the European Commission. EFSA presented recent works in the area of nutrition and highlighted the need for dialogue and scientific cooperation to support harmonisation in the methodologies employed to derive nutrient reference values. Moreover, a trilateral senior management meeting between WHO, DG SANTE and EFSA was organised to discuss the Farm to Fork Strategy, the World Health Assembly (WHA)'s resolution on strengthening food safety, innovative food and feed products, nutrition, and the UN Food systems summit.

Furthermore, EFSA maintains regular contact with our international partners and multilateral organisations: exchanges between US FDA and EFSA led to the establishment of a cluster on whole genome sequence and the first online workshop on trust in regulatory agencies. EFSA and FDA joined forces with the idea to engage on the topic of trust with other regulatory agencies so to start building a world-wide community that could exchange on best practises based on experience and lessons learned on this topic.

In this context, on the 4<sup>th</sup> of November EFSA and the Scientific Research Centre of Agriculture (SRCA) of Georgia co-organised a workshop on "International collaboration and resources for promoting food safety Risk Assessment in ENP countries". Food safety is an important element of the European Neighbourhood Policy (ENP), through which the EU works with its southern and eastern neighbours to foster stabilisation, security, and prosperity. The workshop gathered around 50 participants

The first event of a series of events related to trust took place in the form of a webinar in October 2020. The webinar's objective was to set the scene, build a common understanding of the issue, challenge the knowledge and pre-conceptions of what drives trust in regulatory agencies, and start building a sense of community, paving the way for follow up activities. This webinar and its follow-up activities fall in the scope of EFSA's "Large-scale engagement project", which aims at identifying new stakeholder and public engagement models to drive EFSA's activities in this domain in the years to come.

EFSA continued to involve the seven Pre-Accession countries as beneficiaries of the EU Pre-Accession instruments (IPA) Programme into its work, providing opportunities to strengthen the capacities for risk assessment and promoting networking and joint activities between EFSA, Pre-Accession beneficiaries and Member States. Significant progress has been achieved, especially in the harmonisation of data collection methodologies and reporting to EFSA (e.g. for TSE, veterinary medicinal product residues and pesticide data), as well as scientific cooperation on antimicrobial resistance, African Swine Fever, and Lumpy Skin Disease. The involvement of IPA society into EFSA's work was facilitated by the participation of IPA beneficiaries experts in EFSA's strategic, cooperation and scientific networks as well as reporting platforms, the organisation of dedicated IPA coordination meetings and training sessions, as well as the promotion of different engagement opportunities and initiatives at national level, through the network of National coordinators and Assistant Coordinators.

### Strengthening cooperation with EU sister agencies

The different strategy and policy documents published in 2020 by the European Commission highlighted how better collaboration between EU agencies can lead to a more efficient risk assessment and streamlined advice to the risk managers. EFSA collaborates with the ENVI agencies (EMA, EEA, ECHA and ECDC) in the spirit of '*One Health, One environment*'. In the frame of the EC's Chemical strategy, ECHA and EFSA drafted together a position Paper on the '*One Substance One Assessment*' principle.

To further enhance cooperation, EFSA organised two strategy workshops with ECHA and EEA respectively where the senior management of both organizations exchanged views and priorities for 2021 and beyond. Regular exchanges between EFSA and ECDC or ECHA help building closer cooperation on a more operational level.

Furthermore, EFSA continued with its efforts to develop common approaches with other agencies, for example joining forces with EMA to develop a common approach on exposure assessment methodologies for residues from veterinary medicinal products, feed additives and pesticides residues in food of animal origin.

Finally, within EFSA's Interagency cooperation process, steps have been built in to routinely identify cooperation opportunities with other agencies, such as joint mandates or procurements.

**Table 29.** Outcomes indicators for SO3 – Risk assessment agenda take up

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Building and sharing capacity within the risk assessment community at organisational level					
Number of joint activities (staff exchange, joint projects/workshops) with international partners under cooperation agreements	5 (2016)	50	47		

Concerning the activities in relation to the **research agenda** take-up, during the year EFSA was involved in 34 projects at EU and international level, a figure which is above the target of 24 set for 2020 (see table 30) and in line with the figure from 2019 (30 projects), thanks to the activities sustained by EFSA to bring together EU and national research funders, policy/decision-makers and leading food safety researchers to inform research agendas. Nine of these projects are related to the One-Health Programme, tackling areas such as biocontaminants (Zoonoses and AMR) and emerging risks.



With the aim of increasing its participation in EU funded research activities, EFSA had planned to organise its second Risk Assessment Research Assembly (RARA) event in 2020, but it had to be postponed to December 2021. The event would have brought together EU and national research funders, policy/decision makers and leading researchers to discuss how food safety regulatory research can support the *Sustainable Development Goals* (SDGs) and relevant European policies and foster alignment of food safety research and innovation investments to support regulatory science outcomes.

**Table 30.** Outcomes indicators for SO3 – Research agenda take-up

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Building and sharing capacity within the risk assessment community at organisational level					
Research agenda take-up index	Number of external research project outcomes taken up in EFSA's outputs <sup>23</sup>	N/A	N/A	N/A	
	Number of research projects (EU and international) in which EFSA is participating (actively or passively)	1 (2017)	24	34	



**Figure 26.** EU-FORA – the EU food risk assessment fellowship programme

The activities of EFSA towards **building and sharing of capacity within the risk assessment community** go beyond the cooperation among organisations and focuses and invests **at individual level**, at the development of the appropriate expertise for the current and the future risk assessment needs. In this context, the third cycle of the **EU Food Risk Assessment Fellowship (EU-FORA)** was successfully carried out, despite the challenges posed by the SARS-CoV-2 pandemic, which has impacted the fellows' work at their hosting sites, especially where mobility restrictions forced homeworking and reduced social interaction.

The EU-FORA is a fellowship programme that targets mid-career professionals from EU and EFTA countries, offering candidates the chance to widen their knowledge and hands-on experience of food safety risk assessment. The programme aims to enhance cooperation among Europe's food safety organisations and between them and EFSA, thus contributing to the harmonisation of food risk assessment practices across Europe, with a focus on chemical and microbiological risk assessment.

On 26th November 2020, a special issue collecting the reports from the third round of EFSA's EU-FORA fellowship programme was published on the EFSA Journal.

<sup>23</sup> In preparation for the next strategy cycle to elaborate on the methodology that would make it possible to properly monitor the indicator



Another activity carried out in the context of building and sharing of capacity within the risk assessment community individual level was the fifth edition of the Parma Summer School, which was organised by EFSA and the *School of Advanced Studies on Food and Nutrition* of the University of Parma, with the collaboration of the *Catholic University Sacro Cuore of Piacenza* and that was held on the 9<sup>th</sup> and on the 10<sup>th</sup> of June 2020. The challenges posed by the pandemic were turned into an opportunity, and the Summer School became EFSA's very first 3D virtual event, run completely online.

At the heart of discussions was the concept of One Health. Speakers from the Food and *Agriculture Organization of the United Nations* (FAO), the *World Organisation for Animal Health* (OIE), the Italian *Istituto Superiore di Sanità* (ISS) and the European Commission provided multiple perspectives on the topic, emphasising the necessity to adopt a joint cross-disciplinary approach.

Examples included case studies on foodborne zoonoses that underlined the need for a holistic scheme to tackle the problem. Antimicrobial resistance (AMR) and the socio-economic impact of implementing a One Health approach were also on the agenda. The event closed with a lecture by a representative of the *One Health European Joint Programme* (OHEJP), the biggest initiative on this topic in Europe, funded by Horizon 2020.

This edition of the Parma Summer School was a great example of cooperation and innovation, with a chat and a virtual Q&A session allowing for immediate interaction between participants and speakers. On average, around 150 participants were connected both mornings, with a peak of 235 attendees online at the same time. Most participants came from academia and public research bodies and attended the Summer School for the first time.

### 3.2 Workforce model

Aiming at complementing the EFSA's sourcing capacity while engaging with the wider scientific community, in 2019 EFSA launched its "Individual Scientific Advice (ISA) scheme". The scheme allows EFSA to source additional scientific and technical expertise from individuals on an ad-hoc basis for supporting the current scientific output delivery process in the areas of generic risks assessment and the assessment of applications for the authorisation of regulated products. Building on the successful experience registered in 2019 in the areas of Novel Food and Nutrient Sources, in May 2020 EFSA launched another call to establish a list of experts to support the risk assessment tasks covering more than 40 scientific areas of expertise and involving 9 EFSA units from both scientific departments. The selected experts will carry out preparatory work that will be reviewed by EFSA staff and/or experts and used in EFSA's scientific outputs.

Moreover, in 2020 EFSA also took advantage of the Guest Programme scheme, an initiative for scientists, PhD candidates and professionals for sharing their expertise with EFSA. The scheme was used by one EFSA unit in 2020 and it is seen as a great opportunity for knowledge exchange.

Taking advantage of a Service Level Agreement with the DG-JRC of the European Commission, EFSA has started exploring the use of the JRC's Tool for Innovation Monitoring (TIM) as a source of intelligence to improve the outreach to experts or science organisations that could support EFSA's risk assessment work. The tool will be running on a pilot service mode provided by JRC to EFSA until September 2022 and will be primarily explored for competence mapping of organisations in support of future EFSA networking, engagement, partnership and outsourcing needs, ensuring a fit-for purpose Article 36 list of organisations, as well.



**Figure 27.** Parma Summer School 2020





## Expert compensation scheme

The Transparency Regulation, also aiming at increasing the sustainability of EU risk assessment, has triggered for EFSA to review its expert compensation scheme. The expectation is that a more appealing compensation package will expand the pool, quality and performance of experts that collaborate with EFSA also taking into consideration the outcomes of surveys and assessments conducted to date. An enhanced expert compensation scheme was agreed by the EFSA Management Board in 2019 and it entered into force on the 1<sup>st</sup> of January 2020. This updated scheme adjusts for inflation and compensates for the preparatory work done by the experts. The indemnity for meeting participation has increased from € 385 to € 450 per meeting day, while each expert is entitled to one additional 'preparatory' indemnity of € 450 for each day of meeting attendance. These provisions apply in the same proportion also for tele-meetings.

Finally, looking at the readiness of EFSA to retrieve timely the appropriate expertise for its scientific work, the indicator measuring the time to hire of working group experts<sup>24</sup>, which had a baseline of 3 months, registered a very positive performance of 1.4 months (table 31). The indicators related to the renewal of the panel, instead, were not applicable this year as the activity is carried out every three years.

**Table 31.** Outcomes indicators for SO3 - Building and sharing capacity within the risk assessment community at individual level

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Building and sharing capacity within the risk assessment community at individual level					
Increased common expertise pool coverage and availability index <sup>25</sup>	Number of TOTAL applicants for panel renewals	1,150 (2015)	N/A	N/A	○
	Number of ELIGIBLE applicants for panel renewals	900 (2015)	N/A	N/A	○
	Balance of applicants (total and eligible) for panel renewals, in terms of age (<40 years/40-55 years/>55 years)	23%/49%/28% (2017)	N/A	N/A	○
	Balance of applicants (total and eligible) for panel renewals, in terms of gender (men/women)	55%/45% (2017)	N/A	N/A	○
	Balance of applicants (total and eligible) for panel renewals, in terms of geographic location (Mid-western Europe/Eastern Europe)	88%/12% (2017)	N/A	N/A	○
	Elapsed 'time to hire' for working group experts	3 months (2019)	3 months	<b>1.4 months</b>	○

<sup>24</sup> The index represents the average number of days that span from the approval date of a working group by the relevant Head of Unit and the hire date of an expert

<sup>25</sup> No target available for the indicators referring to panel renewals (first 5 indicators in the table), as the next panel renewal will be carried out in 2022. The targets listed in the Single Programming Document 2020 are to be considered not applicable



### 3.3 Strengthen capacity using innovative ways

To further build on the experience gained by machine learning feasibility studies already carried out by EFSA, and ultimately to achieve the implementation of artificial intelligence approaches at organisational level while exploring collaboration and sharing with EU partners, the project of Joining Forces at EU Level on Implementation of AI continued running in 2020.

During the Heads of Agencies and Resources meeting held in February, EFSA's Executive Director Bernhard Url showcased the potential of joining forces on Artificial Intelligence, outlining the common roadmap which was worked on by representatives from ECDC, ECHA, EEA, EMA, FRA, JRC and DG Connect during a workshop held in November 2019.

**Table 32.** Outcomes indicators for SO3 - Strengthened capacity using innovative ways

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> 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	N/A	N/A	N/A	N/A	🟡

Finally, seven questions were closed in the context of the Strategic Objective 3, overall in line with the plan of eight. All the adopted outputs were delivered on time, therefore resulting in 100% timeliness of adoption (table 33).

**Table 33.** Activity and output indicators for SO3

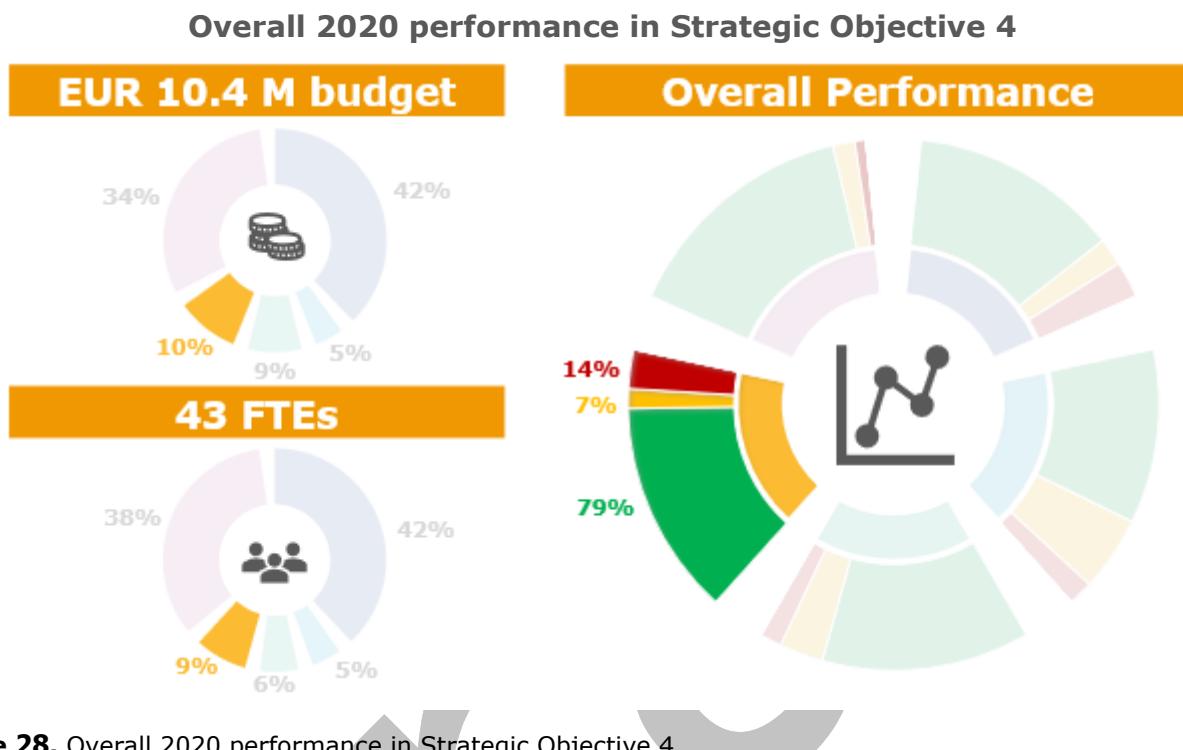
ACTIVITY - OUTPUT INDICATORS				
Indicator	Executed 2019	Target 2020	Executed 2020	Status
Number of questions delivered for scientific outputs and technical reports	4	4	3	🟡
Number of questions delivered for 'other publications' (external reports, event reports)	8	4	4	🟢
Proportion of scientific/technical questions adopted within deadline	100%	100%	100%	🟢

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



#### 4. Prepare for future risk assessment challenges

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



**Figure 28.** Overall 2020 performance in Strategic Objective 4

Looking at the overall performance of the KPIs in the Strategy Objective 4, 79% of the measured indicators reached or surpassed their initial targets, performance below the result registered in 2019 (100%). This discrepancy is explained by the prioritisation exercise run by EFSA to react to the threat posed by the pandemic on its *business as usual*, as well as by the fact that this area has a limited number of indicators (hence changes in few indicators can have a significant impact in the overall performance).

In terms of human resources invested, 43 FTEs were initially planned in 2020, whilst in terms of budgetary inputs invested, € 10.44 million were allocated, around € 1 million more than the initial plan of € 9.20 million.

The comprehensive bi-annual survey that EFSA run with its interested parties was not launched this year, with the next edition being planned in 2021 (see table 34 for 2019's results).

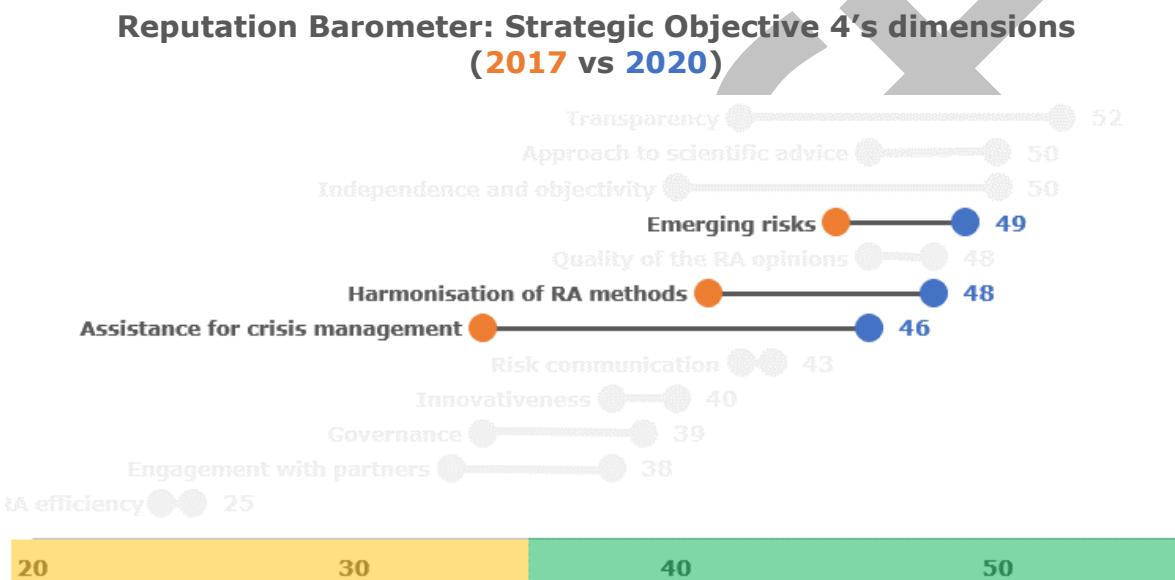
**Table 34.** Intermediary impact indicators for SO4 - Increased satisfaction of stakeholders with regards to EFSA's preparedness, methodologies, and response (1/2)

KPI	Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> Increased satisfaction of stakeholders with regards to EFSA's preparedness, methodologies, and response				
Satisfaction via feed-back surveys: positive and relative qualitative improvement	Risk managers (EU/MS)	66.6% (2017)	N/A in 2020	<b>78.8% (2019)</b> 
	Stakeholders (general)	66.3% (2017)	N/A in 2020	<b>70.1% (2019)</b> 



KPI	Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> Increased satisfaction of stakeholders with regards to EFSA's preparedness, methodologies, and response (with regards to follow-up actions)				
MS, EU, international, non-EU country organisations	69.9% (2017)	N/A in 2020	<b>71.4% (2019)</b>	

The feedback received through the Reputation Barometer, however, shows how the three dimensions related to Strategic Objective 4 (*Emerging Risks, Harmonisation of RA methods, and Assistance for crisis management*) all registered an increase compared to 2017, and they are all in the positive area (score of at least 40, figure 31)



**Figure 29.** Reputation Barometer: Preparedness and response dimensions

#### 4.1. Effectiveness of EFSA's Preparedness and Response

EFSA preparedness to address requests from its customers remained high, and in line with the targets set for 2020 for all three dimensions<sup>26</sup>.

Moreover, the percentage of regular and urgent questions delivered within the initially agreed timelines (90.9%) remained in line with the target set<sup>27</sup> (see table 35).

**Table 35.** Intermediary impact indicators - Increased effectiveness of preparedness and response

KPI	Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> Increased effectiveness of preparedness and response				
Preparedness with data, methods and expertise to address a	% of questions for which data is readily available	79% (2018)	81%	<b>76%</b> 
	% of questions for which methods are readily available	88% (2018)	92%	<b>90%</b> 

<sup>26</sup> Assessment based on 33 mandates received in 2020

<sup>27</sup> Initially agreed versus updated deadline. Only applicable for negotiated deadlines, with the exclusion of regulated products applications and technical assistance.



KPI	Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> Increased effectiveness of preparedness and response				
risk assessment question when received and mutually agreed	% of questions for which expertise is readily available	91% (2018)	98%	<b>94%</b> 
	% of questions (regular and urgent) delivered within the initially agreed timelines	94.3% (2018)	95%	<b>91%</b> 

#### 4.1.1. Emerging risks identification

The activities of the emerging risks identification (ERI) process went according to the plan, with the final report of the CLEFSA project (Climate change and Emerging risks for Food Safety) being published in the EFSA Journal on the 25<sup>th</sup> of June. The report summarises the various methodologies developed, from citizen science approaches to a complex multicriteria decision analysis model implemented through a web application.

On the 8<sup>th</sup> of October 2020, EFSA organised an open online info session about the CLEFSA project, to discuss and disseminate the CLEFSA report to an international audience including EFSA panels and Scientific Committee members, European Commission services, sister agencies, H2020 projects, national agencies inside and outside the EU, international intergovernmental organisations with relevant expertise, coordinators of relevant international projects and programmes, farmers, breeders and citizens at large, and to identify opportunities for promoting synergies across related activities. The info session



**Figure 30.** CLEFSA project

generated large interest and attracted a high percentage of first-time attendees, which shows that adoption of a more systemic view of the food system brings on board a wider variety of stakeholders.

#### Preparedness and response

In the area of crisis preparedness, EFSA facilitated an online workshop on crisis preparedness and procedures with Members and Observers of EFSA's Focal Point Network on the 22<sup>nd</sup> and the 23<sup>rd</sup> of September 2020. The event aimed to establish the most appropriate ways to improve collaboration - and exchange data & information- between EFSA and Focal Points, to identify opportunities for improving the current system, and to share good practices and knowledge.

EFSA also held an internal crisis preparedness training on the 19th of November 2020, with the focus being on the EFSA procedures currently in place for responding to urgent advice needs, and on the communication strategies to use during a crisis.

#### 4.1.2. Methodology development, harmonisation and accessibility of methods/tools

In the area of methodology development, the usage registered by EFSA's guidance documents surpassed the 2020 plan, with the indexes measuring the number of visits, the number of downloads, and the average number of citations/guidance documents registering positive numbers (table 36).



**Table 36.** Satisfaction of stakeholders with regards to EFSA's methodologies

KPI	Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> Increased satisfaction of stakeholders with regards to EFSA's preparedness, methodologies, and response				
Use of EFSA's guidance (access, downloads, citations)	Number of page visits (visibility)	362,409 (2018)	414,750	<b>431,729</b>
	Number of downloads (usage)	348,223 (2018)	388,500	<b>399,472</b>
	Number of citations (impact)	2.97 (2018)	3.3	<b>4.8</b>
Use of EFSA's methodologies (access, download, citations)	TBD	N/A	<b>N/A</b>	
Use of EFSA's tools (statistical models)	687 (2018)	1,891	<b>2,188</b>	

Regarding the accessibility of tools for external users, a higher-than-planned number of registered users in the R4EU platform was registered in 2020, whilst the indicator monitoring the accessibility of methods has not been developed yet (see table 37).

**Table 37.** Outcome indicators for SO4

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> 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 <sup>28</sup>	0 (2016)	15	<b>10 (2019)</b>		
<b>Outcome:</b> 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	N/A	<b>N/A</b>		
<b>Outcome:</b> Harmonisation of risk assessment methodologies					
Increase in the use of cross-cutting guidance documents by EFSA Panels	TBD	N/A	<b>N/A</b>		
Use of 'compulsory' guidance documents by panels and working groups	TBD	N/A	<b>N/A</b>		

The volume of scientific production in this area was lower than expected, as 42 questions were closed in 2020 against a target of 58 (table 38). The 2020 performance is also below the numbers posted by EFSA in 2019 and 2018 (76 and 69, figure 32).

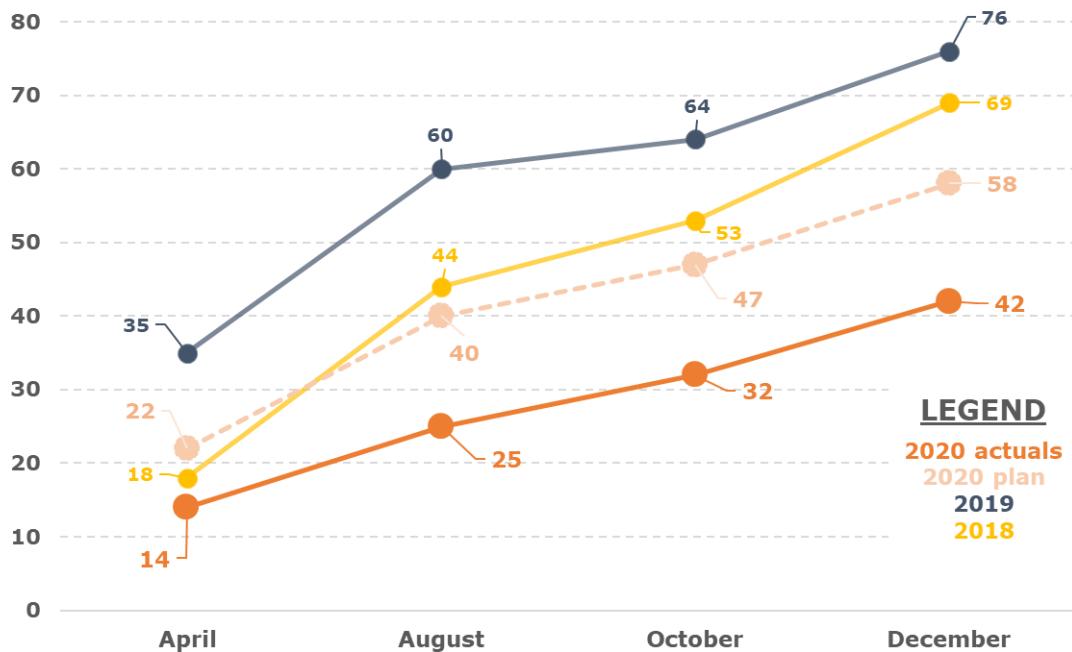
This performance can be explained by the re-prioritisation of activities agreed by EFSA to safeguard the scientific activities carried out in the Strategic Objective 1 after the SARS-CoV-2 outbreak, but also by delays registered in grants & procurements, as more than 25 deliverables (either intermediary or final) related to development projects were postponed to 2021 or had their scope reduced.

Additional details on questions closed by Unit and food sector area can be found in Annex IV. Questions closed in 2020.

<sup>28</sup> Further developed = moved at least one stage from non-explored to feasibility, piloting, guidance endorsed, training provided, application in risk assessment

The timeliness of adoption, instead, was at 73.9%, below the target of 100% and below the results in 2019 (95.6%) and 2018 (100%), because of delays in the adoption of the guidance on the renewal of the authorisation of feed additives and of technical reports linked to projects in the area of pesticides.

**# of question closed in Strategic Objective 4**  
**(2020 actuals vs 2020 plan vs 2019 actuals vs 2018 actuals)**



**Figure 31.** # of question closed in Strategic Objective 4

**Table 38.** Activity and output indicators for SO4

ACTIVITY - OUTPUT INDICATORS				
Indicator	Executed 2019	Target 2020	Executed 2020	Status
Number of questions delivered for scientific outputs and technical reports	45	28	23	<span style="color: yellow;">●</span>
Number of questions delivered for 'other publications' (external reports, event reports)	31	30	19	<span style="color: red;">●</span>
Proportion of scientific/technical questions adopted within deadline	95.6%	100%	73.9%	<span style="color: red;">●</span>

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

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

**Science Studies and Project Identification and Development Office (SPIDO)**

In the context of the preparation for TR implementation, 2020 saw the creation and start of operations of the Science Studies and Project Identification and Development Office (SPIDO), whose key tasks are to identify and analyse forward-looking thematic scientific projects (themes and their related roadmaps for actions) and to coordinate their outsourcing. Four "future of science themes" have been

prioritised in 2020, namely: risk assessment of combined exposure to multiple chemicals (RACEMiC), New Approach Methodologies (NAMs) in risk assessment to reduce animal testing, building a European partnership for next-generation, systems-based environmental risk assessment (PERA) and Artificial Intelligence (AI) approaches in the evidence management phase of the risk assessment. An open call for tender for the development of three roadmaps for action on the themes of RACEMiC, NAMs and PERA was published, whereas for the AI roadmap a framework contract with re-opening competition was used. All 4 roadmaps are expected to be finalised by begin of 2022.

### Bee health

An editorial finalised by EFSA in December 2020 illustrates the on-going work on bee health, which supports the Farm to Fork and Biodiversity strategies to ultimately contribute to the protection of EU's biodiversity and the resilience of its ecosystems which are at the heart of the European Commission's Green Deal. The editorial gives an overview of the two on-going projects in this sense, the MUST-B project, which aims at proposing a system-based approach that combines modelling and monitoring strategies for the environmental risk assessment of multiple stressors, and the review of the guidance on risk assessment of pesticides and bees (for the latter, further information can be found under sectoral guidance – Pesticides). In the context of the MUST-B project, in 2020 EFSA carried out a focus-group research with beekeepers and interviews with the EU Bee Partnership members (see SO1 – Increased engagement with interested parties), in view of the scientific opinion to be finalised in 2021.

### Genetically modified organisms

EFSA finalised an opinion on the "Adequacy and sufficiency evaluation of existing EFSA guidelines for the molecular characterisation, environmental risk assessment and post-market environmental monitoring of genetically modified insects containing engineered gene drives", which concludes that EFSA's existing guidelines for the risk assessment of genetically modified animals are adequate for evaluating risks associated with gene drive modified insects. To carry out this work, EFSA engaged with interested parties and scientists at various points in the development of its scientific opinion: a workshop in 2019 allowed EFSA to gather views on the subject, and in 2020 the draft opinion was also published for a nine-week public consultation.

Similarly, EFSA finalised the assessment on the "Applicability of the EFSA Opinion on site-directed nucleases type 3 for the safety assessment of plants developed using site-directed nucleases type 1 and 2 and oligonucleotide-directed mutagenesis", which concludes that the existing guidance for risk assessment of genetically modified plants is applicable for the evaluation of the three new techniques for genome editing. The scientific opinion will also inform the Commission's ongoing study on new genomic techniques.

Finally, EFSA set up a stakeholder consultative group to support its upcoming work on the allergenicity assessment of genetically modified plants. The group is being consulted at various stages during the process and provides input to the EFSA scientific working group in charge of the activity. In this respect, a Statement on the usefulness of *in vitro* protein digestion in risk assessment was finalised in November.

### Risk Assessment Methodologies Programme (RAMPRO)

Under the umbrella of the Risk Assessment Methodologies Programme (RAMPRO) the activities on identification, prioritisation and management of scientific projects in the areas of (i) chemical risk assessment for human and animal health; (ii) environmental risk assessment of chemicals; (iii) harmonisation of risk assessment methodologies; (iv) biological risk assessment continued. The programme's objective is to identify synergies amongst the different projects developing new methodologies and achieve a harmonised use of EFSA's scientific solutions, methodologies, and tools. RAMPRO stimulates scientific cooperation across EFSA as well as between EFSA and centres of excellence in and outside the EU.

Overall, projects registered results in line with the updated plan. However, since the beginning of the year, deterioration in the areas of timeliness (-13%) and availability of Human Resources (-5%) were registered, whilst the other dimensions (scope, availability of budget, and risks) stable. Since the

beginning of the year, 10 new projects kicked off, whilst 3 were closed (*Data collection in support of the Endocrine Disruption (ED) assessment for non-target organisms* in the area of Environmental Risk Assessment; *Collection of EFSA experiences and needs for evidence appraisal* and *Animal dietary exposure assessment: integration of existing feed consumption data in EFSA*, both in the area of Harmonisation of Risk Assessment methodologies).

**Cumulative risk assessment methodology implementation:** 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.

EFSA has finalised and published in 2020 the results of its two pilot assessments on the risks posed to humans by residues of multiple pesticides in food. The assessments – one considering chronic effects on the thyroid system and the other acute effects on the nervous system – are the culmination of a multi-year collaboration between EFSA and the Dutch National Institute for Public Health and the Environment (RIVM). The documents were finalised following a public consultation and an event with interested parties organised already in 2019. The overall conclusion for both assessments is that consumer risk from dietary cumulative exposure is, with varying degrees of certainty, below the threshold that triggers regulatory action for all the population groups covered. Assessments covering the effects of pesticides on other organs and body functions will follow in the coming years. EFSA is currently defining a comprehensive implementation plan with the European Commission.

## Guidance development

### Cross-cutting guidance

EFSA replied to a request for technical assistance from the European Commission regarding the risk assessment of beeswax adulterated with paraffin and/or stearin/stearic acid when used in apiculture and as food (honeycomb). Purity criteria were proposed, and health concerns for honeybees due to their exposure to adulterated beeswax and for humans due to the consumption of honey contaminated with constituents of adulterated beeswax were evaluated. A list of recommendations with specific developments that could fill the gaps and support more evidence-based risk assessment was also proposed in the technical report.

EFSA launched a public consultation on its statement on a harmonised approach for nutrients in regulated products. The document is aimed at integrating and harmonising how EFSA's scientists assess the intake of nutrients which are regulated under different legal frameworks for use in products, such as food additives and pesticides. The consultation provided input for the statement which is expected to be finalised during 2021.

A public consultation was also held on EFSA's statement on how to conduct and describe the whole genome sequence (WGS) analysis of microorganisms added to food and feed. The document provides guidance to applicants who wish to place such products on the market. The use of these microorganisms, such as bacteria, in food and feed requires authorisation, which is based on EFSA's risk assessment. In some areas the use of WGS-based data is a requirement for risk assessment and therefore applicants need to use this new tool to prepare their applications.

### Sectoral guidance

#### Feed additives

The "Guidance on the renewal of feed additive authorizations" was updated, following a public consultation closed at the beginning of 2020. The update considers the changes introduced in the other guidance documents, the recent scientific developments and the Panel's experience gained during the last years in the assessment of applications for the renewal of the authorisations, and is intended to provide further guidance to applicants for the preparation and presentation of an application of the renewal of authorisation for additives used in animal nutrition.

#### Pesticides

EFSA carried out a third stakeholder consultation as part of its review of the guidance on risk assessment of pesticides and bees. The dedicated stakeholder consultation group and Member State pesti-

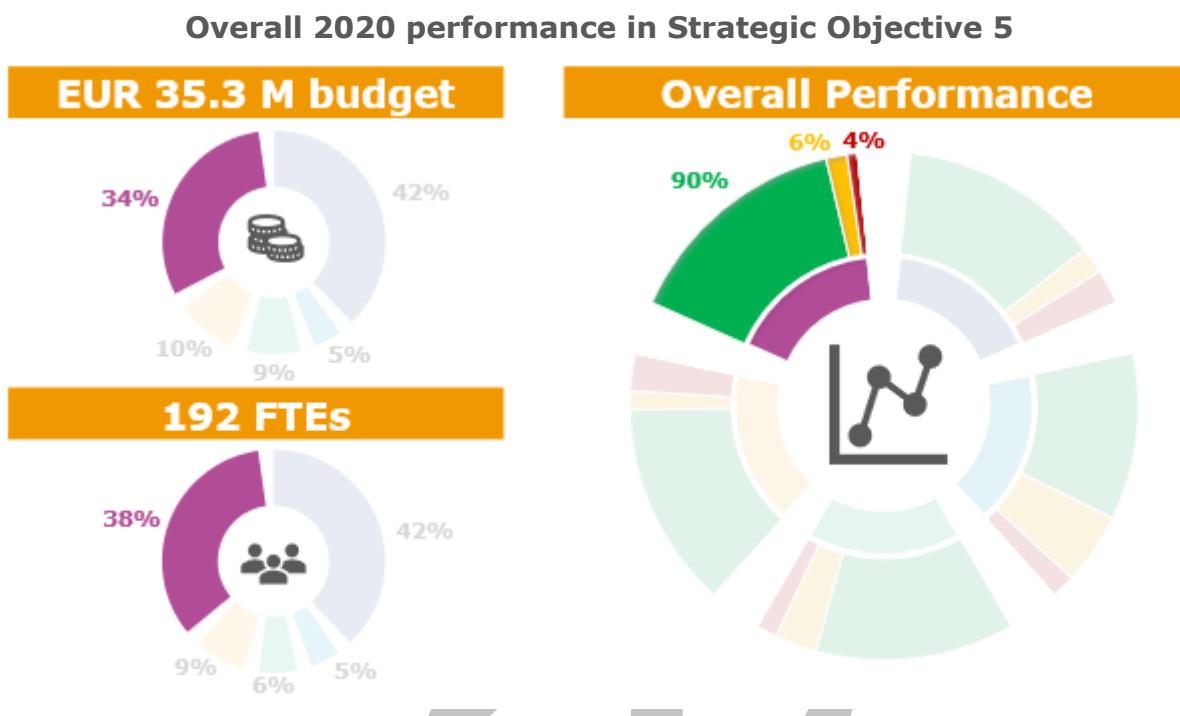
cide network have been asked for feedback on the proposed approach for revising tier 1 risk assessment schemes, with a focus on crop attractiveness and risk assessment methodologies, and their inputs will contribute to the final output.

As part of the review of the guidance, EFSA has also completed a comprehensive analysis of the available scientific evidence on bee mortality. The report is based on the largest systematic collection of evidence on mortality rates ever carried out, and covers the three bee groups – honey bees, bumblebees and solitary bees. Following consultations and workshops involving risk managers from Member States and the European Commission, EFSA's working group has also proposed four possible approaches to defining the specific protection goals (SPGs) that will be used in the guidance review.

draft

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

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



**Figure 32.** Overall 2020 performance in Strategic Objective 5

Looking at the overall performance of the KPIs in the Strategy Objective 5, 90% of the measured indicators reached or surpassed their initial targets, a performance higher than the 2019's result (83%), thanks to the positive results registered in IT operations, budget and human resources.

In terms of input invested in SO5, 192 FTEs were initially planned in 2020, in line with 2019 (190 FTEs), whilst in terms of budgetary inputs, € 35.26 million were invested in 2020, in line with the plan of € 34.99 million.

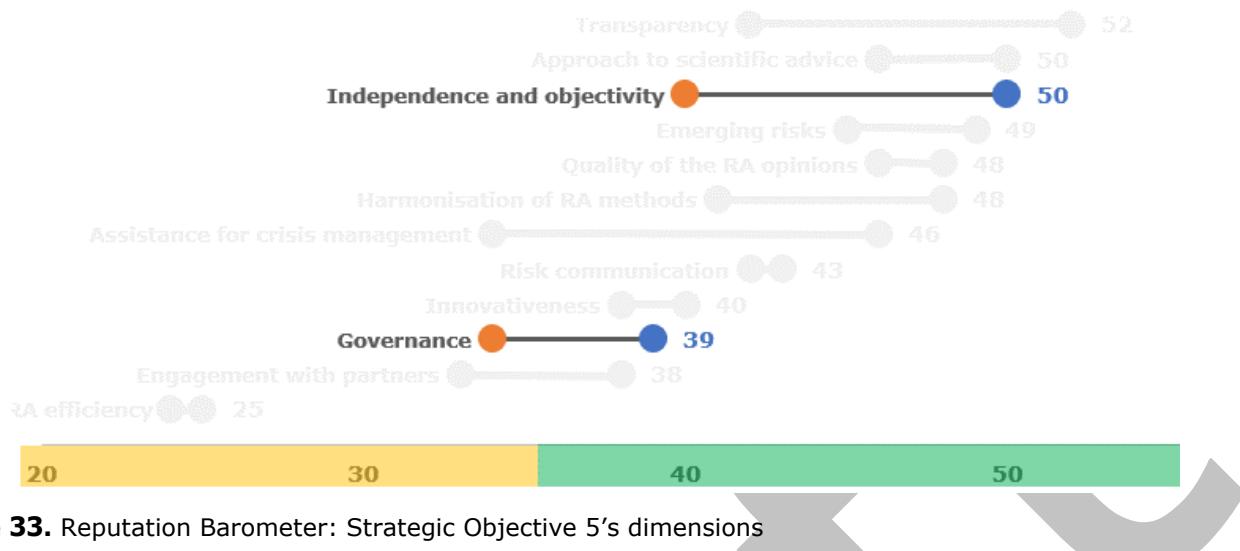
The findings from the Reputation Barometer (figure 33) show how EFSA registered a marked increase in the two dimensions related to SO5, *Independence and objectivity* and *Governance*, with the former dimension increasing by around 10 points.

2020 was expected to be a year of transition for EFSA, with the preparation for the entry into force of the new Transparency Regulation and the definition of the EFSA 2027 Strategy, both planned to be implemented in full in 2021. The nature of the Transparency Regulation, which focuses on transparency, co-design with Member States and partnership with EU institutions and Member States on risk communication, was seen as an enhancement of the current EFSA strategic objectives and a bridge towards the new ones, while enabling the implementation of the Board's recommendations following the 3<sup>rd</sup> external evaluation.

These plans were revised during the first half of the year to counter the foreseen impact of the SARS-CoV-2 pandemic, with EFSA focusing its efforts on delivering the "must do" provisions of the Transparency Regulation, and postponing the adoption of its 2027 Strategy by one year.



## Reputation Barometer: Strategic Objective 5's dimensions (2017 vs 2020)



**Figure 33.** Reputation Barometer: Strategic Objective 5's dimensions

### 5.1. Staying relevant in an evolving strategic context

In the context of the preparation for the entry into force of the Transparency Regulation on the 27<sup>th</sup> of March 2021, EFSA countered the effects of the SARS-CoV-2 pandemic focusing its efforts on the delivery of the measures that were mandated by law, such as the set-up of the new tasks of pre-submission advice, notification of studies, confidentiality assessment and content sanitisation, etc. Accessory measures that were part of the ART Programme's original plan, such as the comprehensive revamp of its EFSA's process architecture and organisational design, were instead descoped and postponed to 2021. The progress on these "must-do" activities are on track against the updated plan.

During the course of 2020, the ART Programmes achieved important milestones, namely:

- adoption of the Practical Arrangements (PAs), which detail how the new rules and measures specified in the Transparency Regulation will operate in several areas of work, such as proactive transparency, confidentiality, notification of studies, pre-submission advice and consultation of third parties, as well as the processing of applications for access to documents held by EFSA;
- completion of two electronic submission portals for all regulated products, IUCLID for Pesticides and MRL dossiers and the EC FSCAP system for all other sectors;
- completion of a full customer portal for applicants and economic operators in the Union, of a public dissemination portal (OpenEFSA) for access to all information disclosed under the Transparency Regulation, and an internal system for the automation of the measures of the Transparency Regulation by EFSA staff and scientific experts.
- implementation of the new tasks in the EFSA process architecture (via update of existing processes or definition of new ones) and drafting Standard Operating Procedures to detail how the work will be carried out;
- endorsement from the EFSA panels of the updates carried out on 15 scientific guidance documents;
- update of 12 administrative guidance documents continues
- development of dedicated external engagement and communication activities, including the set-up and regular meetings of the Sounding Board and Technical Groups to inform interested parties about the Transparency Regulation implementation and seek input in specific technical areas; organisation of a webinar to kick-off the dedicated training programme and explain the

changes the Transparency Regulation will introduce; giving Member States and stakeholders the possibility to provide comments on the Draft Practical Arrangements during two rounds of feedback; setting up a dedicated website on stakeholder engagement during implementation, which is being regularly updated with the most recent meeting information and a dedicated functional mailbox for stakeholder queries; engagement activities were carried out in close alignment with the European Commission and based on a jointly agreed engagement framework jointly set-up of a new service model for transactional services.

- training the staff on new EFSA's processes



**Figure 34.** Implementing the Transparency Regulation: Requirements, tools and services (webinar held on the 20/11/2020)

Also the journey towards the 2027 Strategy was hit by the effect of the pandemic, with its adoption being postponed to June 2021, with EFSA deciding to extend its current Strategy by one year, until the end of 2021. In 2020, EFSA has updated its environment scanning report with an analysis of the new policy context at EU level, which is expected to be discussed at the Management Board session of March 2021 and to contribute to the definition of the final Strategic document.

EFSA's institutional relations intensified in 2020, in part to support the preparation for the Transparency Regulation and in part for the preparation for the next strategy cycle and the post-2020 multi-annual framework. It continued to focus on its relations with the EU institutions to support EFSA on budget, discharge, and policy/regulatory matters and science, but also reciprocally supported national policymakers and Council presidencies in their work programme in EFSA's remit. The authority worked closely with the European Parliament in relation to two mandates received in 2018 for the RA of multi-stressors in managed honeybees and the welfare of farmed rabbits. The setting up of a parliamentary enquiry committee investigating animal transport provided additional opportunities for EFSA to showcase its scientific work, paving the way for potential support by EFSA on demand by the European Parliament in this animal welfare area. EFSA exchanged regularly with institutional partners on the Farm to Fork and chemical strategy to support the EC scientifically with the implementation of these strategies.

In relation to the review of the bee guidance document EFSA stepped up its engagement efforts with interested parties and risk managers, bringing additional transparency into the process: as a member of the European Parliament Bee Week Task Force, EFSA liaised with MEP offices to suggest post-pandemic activities following the cancellation of the Bee Week 2020. EFSA actions to facilitate the stakeholder EU Bee Partnership included two further discussion group meetings as the Partnership progressed its work towards the launch of the bee data hub prototype. Furthermore, contacts made with MEP offices to highlight EFSA's projects, such as the one on Artificial Intelligence.

EFSA actively contributed to the EU Agencies Network's activities, working towards the strategic objectives of shared services and mutual value creation, and continued to host the head of the EU Agencies Network's Shared Support Office as well as chairing the Troika of the ICT sub-network (ICT-TAC). In particular, in 2020 EFSA was involved in sharing good practices on how to handle the impact to staff and operations of the SARS-CoV-2 pandemic within the EUAN network, as well as sharing a

presentation on “*Dealing with the next normal*”, an eye opener on the complex situation which SARS-CoV-2 has brought about globally, suggesting that future digitalisation will increasingly require an approach which is social, mobile, cloud and information driven.

Within the ICTAC sub-network, Agencies are exploring ways to accelerate their Digital Transformation programmes, and in 2020 progresses were made in the different priority areas: *Cloud adoption*; *Cyber security - Data Protection*; *Digital Workplace*; *Data Analytics*; *Artificial Intelligence*; and *Creation of Agencies’ thematic clusters*. In particular, in the priority area of *Cloud adoption*, the usage of a framework contract used by all interested Agencies is expected to generate an overall savings of more than EUR 1.2 million, whilst in the area of *Data Analytics*, work is continuing with a common architecture assessed with DG DIGIT, JRC and major Cloud providers, aiming at fostering a Data Lake creation in Agencies’ thematic clusters.

While within ICTAC the agencies focused on aligning infrastructure, security and cloud usage more closely to the Commission agenda, within the Health Policy Agencies and European Commission Collaboration (HPAC)<sup>29</sup> cluster, the agencies, within the governance established by DG-SANTE focused on identifying projects that maximise synergy for Agency stakeholders and that avoid redundant cost. The principles for common projects are a “one-touch” approach for health data, interoperability, privacy, reusable platforms, and cost-efficiency. The 5 projects that were identified for development are Artificial Intelligence applied to enhance Systematic Literature Review (led by EFSA together with EMA and described elsewhere in this report); Genome Sequencing – One Health solution led by the ECDC with EFSA participation (also described in this report); Electronic Health Records, led by EMA; and the establishment of a common repository of assets and reusable ICT components by DIGIT.

EFSA was also actively involved in the Network of Procurement Officers (NAPO) sub-network, contributing significantly to the implementation of the NAPO 2020 Work Programme, launching and/or signing seven inter-agency procurement calls in 2020, resulting in an estimated saving of EUR 2.1 million to the EU budget. Overall, NAPO reported nine inter-agency procedures (7 led by EFSA) with EUR 2.4 million estimated savings in total. Moreover, and following an initiative started in 2019, EFSA and the other ENVI Agencies (ECHA, ECDC, EMA, and EEA) continued a closer collaboration in view of identifying opportunities for joint procurement on common scientific topics. The five Agencies exchanged in advance their draft 2021 grant and procurement plans and held a teleconference in November to present and discuss possible topics for procurement collaboration in 2021. It is expected that a number of common topics will be identified for scientific joint procurement this year (candidates for EFSA are systematic literature review, crowdfunding, social science, and scientific data management).

## 5.2. Sound operational performance and assurance

The sound operational performance is globally measured through ‘the clean budget discharge’ and the ‘proportion of KPIs of the programming documents having met their target’ (see table 39).

On the 13<sup>th</sup> of May the European Parliament granted EFSA’s Executive Director the discharge for the financial year 2018 and approved EFSA’s accounts, hence closing the discharge procedure for that year. EFSA also ensured the timely follow up of the EU Parliament observations. Despite a process having been impacted by the extraordinary SARS-CoV-2 circumstances, the envisaged timeline was respected.

The EP Resolution on EFSA’s 2018 discharge procedure as adopted in plenary included seven observations that required EFSA to reply to the budgetary authority, which it did within the deadline foreseen in practical arrangements set by the EP. These recommendations concerned digitalisation of services, transparency, risk communication, geographical balance, independence policy and internal controls. To be noted that, under the 2019 discharge procedure starting under Q4 of 2020, EFSA built awareness towards members of the EP ENVI Committee (delivering an opinion to the leading Committee on Budgetary Control) about the need for EFSA to have more flexibility in using the budget



resources to temporarily increase the number of Contract Agents to address the upcoming workload for 2021 notably due to new resource-intensive mandates.

The composite indexes that are measuring the overall performance of EFSA's three "tiers" (impact-outcome-output) of performance indicators against their initial targets showed mixed results and reveal the impact of the direct and indirect effects of the SARS-CoV-2 on EFSA's overall performance. In fact, whilst the indexes measuring the long-term effect of EFSA's activities registered positive results, remaining in line with the performance registered in 2019 (88% for both indexes), the index on the output indicators (that measure the direct product of EFSA processes) was at 68%, below the target (95%) and below the 2019's performance (84%). Given the nature of the indexes, which are calculated based on the performance of all available indicators, the reasons for deviations are diverse.

**Table 39.** Intermediary impact indicators for SO5 – Sound operational performance

KPI		Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> Sound operational performance					
Proportion of KPIs of the programming documents reaching targets	Intermediate impact	71% (2017)	80%	88% <sup>30</sup>	
	Outcome	100% (2017)	90%	88% <sup>31</sup>	
	Activity/output	73.5% (2017)	95%	68% <sup>32</sup>	
Clean discharge achieved	Discharge is granted	Yes	Yes	Yes	
	Accounts are closed	Yes	Yes	Yes	
	Observations are followed up within the prescribed deadlines	100%	100%	100%	

On the financial side, the five indicators measuring the budgetary performance of EFSA in 2020 registered positive results, both in terms of commitments and payments – with minor deviations in the payments of non-differentiated credits (table 40), with the unpaid amount carried over mainly linked to outstanding services and invoices for operational IT systems, consulting and communications. In 2020, EFSA handled an initial approved budget of € 108 million in commitment appropriations, 35% more than the 2019's initial budget due to the additional resources given in the context of the preparation for the entry into force of the Transparency Regulation.

In August 2020 EFSA implemented an amendment of its budget, via the European Commission global transfer procedure, reducing the commitment and payment budget by € 5 million, to counter the impact of SARS-CoV-2 on EFSA's expenditures. More detailed information on the management of resources is available in Section II.

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

<sup>30</sup> Based on 34 Intermediary Impact indicators

<sup>31</sup> Based on 38 Outcome indicators

<sup>32</sup> Based on 33 Output indicators



**Table 40.** Activity and output indicators for SO5 (1/2)

ACTIVITY - OUTPUT INDICATORS				
Indicator <sup>33</sup>	Executed 2019	Target 2020	Executed 2020	Status
Commitment execution <sup>34</sup>	100%	100%	<b>100%</b>	
Payment execution – non-differentiated credits <sup>35</sup>	91%	90%	<b>87%</b>	
Payment execution – differentiated credits <sup>36</sup>	100%	100%	<b>100%</b>	

## Accountability framework

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

### Pillar 1: Governance and decision making

Following the decision taken in 2018, in 2020 started its work for having an integrated Management Systems taken, with the aim of align and streamline the implementation of EFSA activities dealing with the seven shared requirements of the different management standards in an efficient way. Due to the reprioritisation of activities agreed to counter the impact of the SARS-CoV-2 pandemic, this work was postponed to 2021, together with the accountability Policy & Delegations of Authorities, in order to keep the synergies with the Organisational Development project, which will entail the revision of EFSA's Decision Making Framework.

### Pillar 2: Result-Based Management

Under the pillar of **results-based management**, the index that measures the overall performance of EFSA's projects registered a result below the target (75.7%, against a target of 89%), mainly due to delays and risks (of moderate entity in the vast majority of the cases) reported by the 65 projects active as of the end of December, whilst the other dimensions analysed (scope, Budget, and FTEs) were instead on track.

Regarding the allocation of the FTEs between operational and support activities, the ratio has been 74/26<sup>37</sup>, in line with the target of 75/25.

The other two indicators in table 42 remain under definition, and therefore were not measured.

<sup>33</sup> The budget KPIs have been simplified compared to previous years in order to better represent global performance, simplify measurement and avoid overlapping KPIs. The following indicators are replaced: Proportion of original budget committed at year end – differentiated, Proportion of original budget committed at year end – non-differentiated, Proportion of original science grants and procurement budget committed at year end, Proportion of original budget paid at year end – differentiated, Proportion of original budget paid at year end – non-differentiated, Proportion of original science grants and procurement budget paid at year end, Carry-forward of payments to following year. The scientific grants & procurement are not measured separately anymore as they are covered by the indicator on differentiated credits. The measurement of the "Carry forward" is covered by the indicator "Payment execution of non-differentiated credits".

<sup>34</sup> New indicator.

<sup>35</sup> Indicator changed from "Proportion of original budget committed/paid at year end – non-differentiated".

<sup>36</sup> Indicator changed from "Proportion of original budget committed/paid at year end – differentiated".

<sup>37</sup> Due to the switch of IT system used for time-tracking in May 2020, it is not possible to report actual data. The number reported is based on the initial plan for 2020



**Table 41.** Intermediary impact indicators for SO5 – Efficiency

KPI	Baseline	Target 2020	Executed 2020	Status
<b>Intermediary impact:</b> Efficiency				
Improved ratio of effort (FTE) spent in operational vs support activities	73.5/26.5 (2016)	75/25	<b>76/24</b>	
Efficiency index in EFSA's activities	For mature processes: improved index (ratio of output and quality/satisfaction vs input)	TBD	N/A	
	Process maturity index: percentage of mature vs total processes	TBD	N/A	
	Projects: improved index (delivery on budget, on time, in scope or better)	77% (2017)	89%	

In terms of capabilities, the maturity level of EFSA's performance-based management is stable between stage 3 and 4, whilst the IT maturity was not calculated in 2020 due to the closure of the IT Strategy in 2019.

**Table 42.** Outcome indicators for SO5 - Capabilities

KPI	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Capabilities				
Performance-based management maturity level	Between stage 2&3 (2017)	Between stage 3&4	<b>Between stage 3&amp;4</b>	
World-class IT maturity level (PEMM model)	1.7 (2017)	N/A in 2020	<b>2.4 (2019)</b>	

In terms of increased Business Intelligence capabilities, at the beginning of 2020 the BIKE (Business Intelligence Knowledge Exploitation) project added the module on the management of corporate KPI to the already existing modules for budget and portfolio. In 2020 the project was expected to start its 'managed by numbers' phase but this activity was postponed to next year. Through the BIKE project, EFSA aims at creating a comprehensive system to facilitate the collection and processing of data, the management of business intelligence, the meeting of reporting needs, the automation of processes related to the production of the mentioned elements, and the response and adaption to organisational and environmental changes, in a scalable and modular manner.

### Pillar 3: Quality and continuous improvement

Under the pillar of **quality and continuous improvement**, the 2020 Annual Quality Management Plan implementation is on track even if it has been partially de-scoped to focus on mandatory requirements and contributions to the ART Programme, such as the transition from the current process architecture to the ad-interim structure that will be used in 2021.

In October, EFSA underwent the first ISO 9001:2015 Surveillance Audit after re-obtaining the certification in 2019, with ten units directly involved. The assessment was positive, with no nonconformities identified, and all the units showed that great effort was put in planning suitable actions to drive enhancements and improvements, and to react to planned changes in the context, such as the implementation of Transparency Regulation, as well as unforeseen circumstances like the effect of lockdown upon the organization and its way of working.

The annual 2019/2020 Customer feedback exercise with SANTE was finalised at the beginning of 2020, and the closing report was shared with EFSA's and SANTE's senior management. The overall feedback received was positive, with some areas for improvement identified by DG SANTE. The 2020/2021 Customer feedback exercise was carried out in December 2020.

20 improvement initiatives were being carried out in 2020 under the umbrella of the continuous improvement processes. The process also set up a Lean Six-Sigma green belt training that was delivered to key actors in the organisation which will become LEAN ambassadors in their respective Units. For 2021 the process is expected to continue to run as planned, providing support for EFSA staff on process improvement initiatives and enhance the LEAN capability.

### **Environmental sustainability is ensured**

Another important achievement in this area was maintaining the Eco-Management and Audit Scheme (EMAS) registration, which was confirmed after the external audit that took place in June 2020. All the findings from the previous audit were considered closed, and no non-conformities were highlighted, with the process considered effective and running in compliance with the standard. Significant progress made in the context of the EMAS 2019-2021 objectives: 100% of the energy used by EFSA is produced by renewable sources; EFSA identified a reference model containing a list of green practices for the organisation of events; and an internal communication campaign was launched to increase staff knowledge on EMAS principles and objectives and to increase awareness on all projects and initiatives developed and carried out so far in EFSA. Environmental sustainability was also further supported by introducing green procurement criteria in call for tenders. Market analyses were conducted throughout the year to assess the green options to be included in selection and award criteria, in minimum requirements and certification requests. EFSA has also included the principle of environmental sustainability in its draft Strategy 2027 and will further support the EUAN approach to provide contributions to the Green Deal policy agenda by measuring set indicators, in the context of its mandate .

Another important milestone reached in 2020 was the upgrading of EFSA's certification in the field of health and safety management standards from BS OHSAS 18001 to ISO 45001:2018. EFSA's successful certification to the new norm confirms its adequacy to move from the old standard to the new one. Additional details are provided in Section III – Assurance and Annex VII – Environment Management.

### **Pillar 4: Assurance**

Under the pillar of **assurance**, the reprioritisation of tasks decided in May to face the SARS-CoV-2 emergency led to the revision of the timelines for the completion of the Anti-Fraud strategy, and the implementation of Compliance & Veracity checks, that had to be postponed to 2021.

With EFSA due to receive additional Transparency Regulation funds, a series of mitigating measures have been put in place to safeguard processes related to budget, financial services, grants & procurements, risk management and internal control: with EFSA set to increase its overall budget by 80% over the next three years, it is of high importance to ensure that the additional funds are spent in compliance with rules and regulations and principles of sound financial management. The planning of Assurance activities for 2021 was agreed based on the priorities defined by the Assurance Council with focus on the systematic approach to monitoring operational activities, the improved management of sensitive information and a central database for training records.

In October, the European Commission Internal Audit Service (IAS) issued the final audit report on the assessment and adoption of scientific outputs in the food ingredients and packaging (FIP) domain in EFSA. Further details are provided in part II of this document.

The European Court of Auditors published the annual report on EU agencies for the financial year 2019, with EFSA receiving clean opinions on the reliability of its accounts and on the legality and regularity of its transactions. Further details are provided in part II of this document.

Overall, in terms of compliance monitoring, only one very important observation was registered in 2020, (table 43). More details are available in the parts II, III, and IV of this document.


**Table 43.** Outcome indicators for SO5 - Compliance

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Compliance					
Compliance index (to laws, regulations, decisions, standards, policies, and procedures applicable to EFSA)	Number of 'critical', 'significant' or 'very important' findings (ECA, IAS, audit adviser)	4 (2016)	< 5	1	

### Public access to documents

For what concerns the activity of Public Access to Document (PAD), EFSA handled 176 PAD applications in 2020, out of which 147 were received between the 1<sup>st</sup> of January and the 31<sup>st</sup> of December 2020, with 29 applications carried forward. For about 140 PAD applications partial access was provided to PAD applicants. For some of these PAD applications only personal data was redacted with a view of protecting the privacy and integrity of individuals<sup>38</sup>. For others, protection was (also) grounded on Articles 4(2) and 4(3) of the PAD Regulation.

## 5.3. Enabling working environment

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

### IT Operational Strategy & Technology Roadmap

After the closure of EFSA's 2014-2020 technology strategy, which was endorsed by Management Board in December 2019, in 2020 EFSA has focused its efforts on upgrading its technological landscape to support the new processes and way of working set up by the ART Programme.

However, the investments in IT as a result of the IT modernisation and technology roadmap executed from 2014 through 2020, and finalised in the past year, proved to be important to support EFSA journey towards a more modern and agile working environment, and they were key in avoiding severe disruptions in the Authority's work when the mandatory teleworking measures were introduced and when meetings and missions were cancelled due to the SARS-CoV-2 pandemic.

In this context, the *Service delivery index*, which is the metric that measures the satisfaction rate expressed by end-users about the IT support provided, closed the year at 79.1%, in line with the target of 80%, whilst the *Transformation performance index* was not calculated in 2020 due to the closure of the IT Strategy in December 2019. The indicator registered a final score of 78%, in line with the target of 80% and registering a marked increase compared to the baseline of 67%. Moreover, EFSA has successfully reduced its IT running costs in the 2012-2019 period, going from € 10.2 million to € 8.7 million, and significant improvements were registered in the metrics tracking *Simplification* (+59%) and *End User Satisfaction* (+21%).

**Table 44.** Output indicators for SO5 (2/2)

ACTIVITY - OUTPUT INDICATORS				
Indicator	Executed 2019	Target 2020	Executed 2020	Status
Service delivery index <sup>39</sup>	85.9%	80%	79.1%	
Transformation performance index (development project execution index) <sup>40</sup>	7.0%	N/A in 2020	78% (2019)	

<sup>38</sup> In accordance with Article 4(1)(b) of the Regulation (EC) No 1049/2001 ("PAD Regulation")

<sup>39</sup> For the subset of mature processes followed.

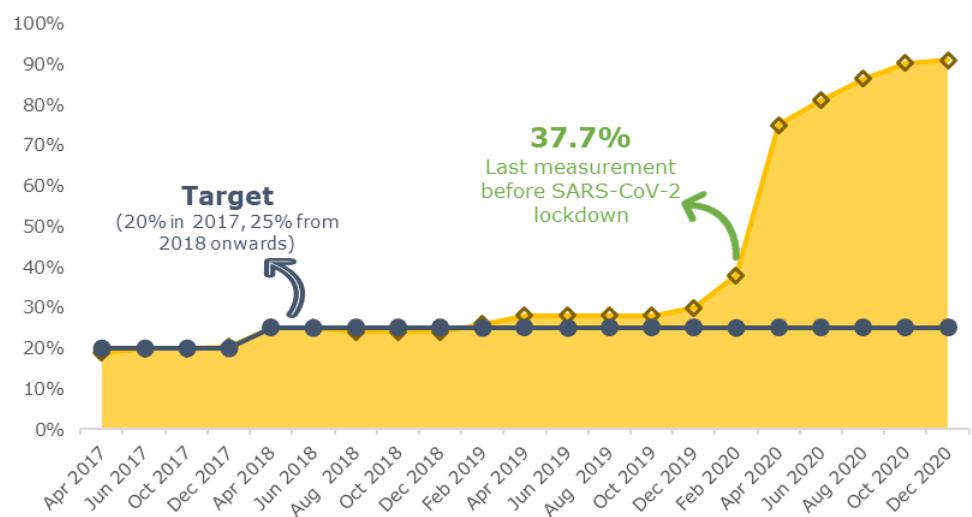
<sup>40</sup> For the subset of key projects followed.



With EFSA aiming at improving the exchange of knowledge and expertise within EFSA's networks of staff, experts, and interested parties through its Digital Collaboration project, 148 active social collaboration groups with EFSA's scientific experts and networks were active in 2020, well above the foreseen target of 39, after the successful pilot rolled out in 2019 (see table 45). The index, also because of the impact of the pandemic, registered 76 active networks already at the end of April, and has continued growing since.

Another area where the efforts in digitalisation have paid off is the set-up of the meetings with EFSA's scientific experts. Also in 2020, EFSA set a target of having at least 25%<sup>41</sup> of the meeting with experts carry out in virtual mode and, because of the cancellation of physical meetings decided after the outbreak of SARS-CoV-2, EFSA held 91.1% of these meetings as tele-meeting. It is worth noting, however, that the performance of this index in the first two months of the year (37.7%) was already well above the target.

### Progression of % of tele-meetings over total meetings (actual vs target)



**Figure 35.** Progression of % of tele-meetings over total meetings

**Table 45.** Outcome indicators for SO5 – Enabling working environment

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> Enabling work environment					
Innovative collaboration methods supported by world-class IT tools	% of tele-meetings (experts & networks) over total meetings (tele-meetings + physical meetings)	20% (2017)	25%	91%	
	Ratio of internal to external email traffic (staff, experts, networks)	95/5 (2017)	N/A in 2020	55/45 (2018)	
	Social collaboration platforms (staff, experts, networks)	15 (2018)	39	148	

<sup>41</sup> Percentages are referring to "expert days" (# of hours spent by experts in tele-meetings/# of hours spent by experts overall) and not to "number of meetings", this to avoid, for example, that a long meeting with a lot of participants would have counted as much as a small meeting with a lower number of participants.



## 5.4. People and culture

The emergence of the SARS-CoV-2 pandemic has affected several workplaces across the world, and EFSA, also given the magnitude of the virus in the northern part of Italy, had to face new challenges. The Authority swiftly acted to protect its workers and its operations, closing its premises at the beginning of March, cancelling all physical meetings and missions, and adopting “smart working” measures, as well as setting up a Crisis Management Team (CMT) in charge of handling the impact of the virus in the organisation. Internal Communication efforts were greatly stepped up with regular communications to staff and the creation of a dedicated space on the intranet, named the *Coronavirus Companion*, including relevant information and contacts as well as practical support, well-being advice, tailor-made content and videos fostering social interactions.



**Figure 36.** Transition steps from Tele to Office Working

In 2020, EFSA did not run a Management Feedback Survey. Instead, in December a more agile “pulse check” survey was carried out to gain valuable insights on how staff feel about the upcoming changes and their wellbeing due to the COVID-19 crisis, focusing on three main areas: *readiness for Transformation, engagement, and feedback on the current way of working*.

EFSA rolled out a three-step approach for a safe and gradual return to the office. The step 1, *Cautious return*, was in force until the 31st of August 2020, and it promoted important measures, such as flexible working hours, medical and psychological support, and distribution of IT devices, aimed at supporting EFSA staff during the first months of the pandemic.

Since the 1<sup>st</sup> of September 2020 EFSA entered step 2, called *Gradual Normalisation*, where teleworking will remain the primary working regime but EFSA premises are ready to host up to 50% of staff. The *Gradual Normalisation* step is expected to remain in force until the likelihood of contracting the SARS-CoV-2 virus significantly decreases.

EFSA has been also assessing how the lessons learnt during this period of virtual work can be translated and adapted into a post-SARS-CoV-2 scenario where the default is switched from physical to virtual. In particular, on the 19<sup>th</sup> of October 2020 the Management Team considered the recommendations from the *Post Coronavirus Scenario – Future of Work* report commissioned to Deloitte and internal reflections<sup>42</sup>. Further work will inform a possible change in the working model for EFSA's operations in delivering Risk Assessment and Risk Communication, also considering EFSA's commitment to the EU Green Agenda, the Transparency Regulation and the ambitions of EFSA Strategy 2027.

<sup>42</sup> Held on the 14<sup>th</sup> of September 2020, the *Bus workshop: Post Coronavirus Scenario* was a first effort to digest the streams of reflection stemming from the Post-coronavirus report in the area of business services to feed in the Strategy 2027 definition exercise and in particular the future SO3: “Empower people and inspire a culture to realize EFSA's strategy”



**Figure 37.** Areas of the Pulse check 2020

The results showed a high level of engagement (94%), registering a small increase compared to the results of the 2019 Staff Engagement Survey (SES), whilst 88% of the staff is feeling ready to support the changes coming with the Transparency Regulation.

The current way of working in remote, remains appreciated by the EFSA staff, confirming the high level of satisfaction (80%+) for the teleworking experience and for the way the crisis was being managed by the Authority that were put forward in an internal survey launched in May 2020. However, some concerns on the long-term impact of the current working situations were expressed.

In addition, in 2020 EFSA concluded the 2019 Staff Engagement Survey (SES) action plan which sets out impactful, practical and clear measures. Due to the impact of the SARS-CoV-2 pandemic, the action plan targeted quick wins in 2020, and a joint action plan putting together actions from the 2019 SES and the 2020 pulse check will be rolled out in 2021.

**Table 46.** Outcome indicators for SO5 – people and culture (1/2)

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> People and culture					
Staff engagement index via feedback survey (based on biannual survey - interagency framework)	Total favourable	63% (2015)	N/A in 2020	<b>66% (2019)</b>	
	Total engagement	76% (2015)	N/A in 2020	<b>79% (2019)</b>	
	Organisational awareness/commitment	93% (2017)	N/A in 2020	<b>94% (2019)</b>	
Management and leadership index	Management feedback survey: Line management	69% (2016)	70%	<b>74% (2019)</b>	
	Management feedback survey: leadership	46% (2016)	60%	<b>58% (2019)</b>	
	Competence management maturity level: Feedback of participants in managers' development programme 2018	TBD	N/A	<b>N/A</b>	
	Competence management maturity level: EFSA's compliance with ESCO	86% (2018)	86%	<b>85%</b>	

Regarding the 2020 learning plan, EFSA has rapidly switched from physical classroom to e-classroom to deliver its service catalogue (70 topics), closing the year with a completion rate of the learning plan of 85% and an attendance rate of 90%, despite the challenges posed by the SARS-CoV-2 outbreak. Also the satisfaction rate registered was high, at 85%. Overall, EFSA offered an equivalent of 310 days of training in 2020 through 226 courses, registering 1514 participants.



In terms of evolution, in September 2020 the *Personal Leadership Development Programme*, which is targeting staff members with leadership potential, kicked off, whilst the *Leadership Development Program* is being revamped to face the challenge of 2021 and beyond. In addition, new e-learning modules were introduced (*Ethic & Integrity, IT security, and IP rights*). Finally, to support EFSA through 2020, dedicated coaching and psychological support was offered to manager and staff during the year.

Finally, in 2020 EFSA registered an overall<sup>43</sup> average occupancy rate of 92.2% in line with the target of 92.5% (see table 47).

Looking deeper to the sub-indicator on EFSA's 2019 baseline occupancy rate, the index is at 96.1%, a figure slightly below the yearly target of 97%. A reason for this small deviation is the postponement of starting dates requested by some newly hired staff because of SARS-CoV-2 implications, as well as a higher-than-forecast proportion of EFSA staff being successful in TR-related calls (one third).

With regards to the sub-indicator on the new Transparency Regulation hires, instead, EFSA surpassed the target of 45% set for 2020 reaching a yearly average occupancy rate of 49.8% as well as filling in all the new 38 178 TR related posts. Due to the limitation introduced to counter the pandemic outbreak, EFSA carried out the onboarding of 64 new people completely in remote.

**Table 47.** Outcome indicators for SO5 – people and culture (2/2)

KPI	Indicator	Baseline	Target 2020	Executed 2020	Status
<b>Outcome:</b> People and culture					
Management and leadership index	<b>Occupancy rate (%)</b>	N/A	92.5%	<b>92.2%</b>	
	of which: EFSA baseline	95.0% (2016)	97%	<b>96.1%</b>	
	of which: TR related (178 review) recruitments only	N/A	45%	<b>49.8%</b>	

In the area of management of Human Resources, during the first months of 2020 the Talent Management project finalised the setup of SYSPER (*SYStème de gestion du PERsonnel*), a Human Resources management tool developed by the European Commission. With the introduction of SYSPER, which went live on the 4<sup>th</sup> of May 2020, EFSA aims at streamlining the different software tools used for HR purposes, for example offering a one-stop-shop for the management of rights and obligations and simplified time tracking functionality.

In terms of evolution, in the area of EFSA's employer branding strategy during 2020 EFSA has initiated a project to improve EFSA attractiveness, geographical staff balance and visibility in the job market. The delivery of the expected results is foreseen by the end of 2021.

<sup>43</sup> EFSA baseline + 178 hires

# Part II(a). Management

## 1. Management Board

During its meetings throughout the year the MB received feedback on the progress of the EFSA's activities through the ART programme in preparation for the implementation of the Transparency regulation measures, coming into force in March 2021.

## 2. Major developments

### SARS-COV-2 outbreak

EFSA has estimated that the SARS-COV-2 crisis has caused a 5% reduction<sup>44</sup> of the workforce during the year 2020 and that the change in the ways of working (exclusively remotely), together with external causes (e.g. contractors delivery delays, applicants missing data provision delays, etc.) has caused a global 6% internal inefficiency<sup>45</sup>.

### Increased cost for TR preparation

EFSA continued in 2020 the preparatory work for the implementation of the Transparency Regulation measures, in particular the ones to be run from March 2021. The effort in the year 2020 has demonstrated to be higher than the additional human resources assigned to EFSA in the same year. In particular the development projects (including FSCAP, Iuclid, Appian<sup>46</sup>, Process redesign, etc.) have absorbed around 55 FTEs. In parallel, extra effort was necessary in the areas of talent selection, procurement, engagement and communication estimated for the year 2020 at around 12 FTEs<sup>47</sup>.

## 3. Budget and financial management

### 3.1 Financial resources

The initial approved budget of EFSA for the year 2020 was € 108.0 million in commitment and € 103.9 million in payment appropriations, which means - compared to previous budgets of € 80 million on average – an increase of 35%. Following two budget amendments, the commitment appropriations decreased to € 103.0 million and the payment appropriations to € 98.9 million.

<sup>44</sup> this impact is measured in terms of percentage of special leaves hours vs potential working hours (-3% average on EFSA human resource capacity registered in May 2020 and assumed as average for the full year) plus the additional -2% estimated impact of the time dedicated – mainly from EFSA managers and some specific units – to the management of specific SARS-COV-2 related activities (such as additional data collections, analysis, and reports; dedicated emergency meetings; incremental support to staff for logistic issues).

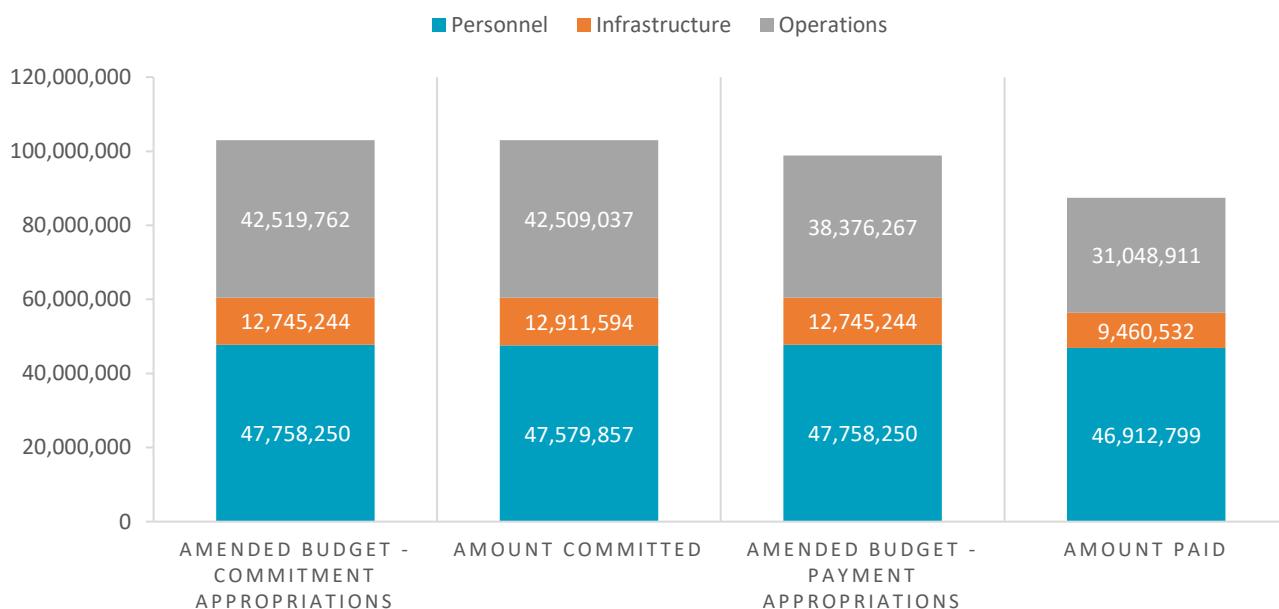
<sup>45</sup> This impact is measured in terms of deterioration of the timeliness of the scientific production in the January-April reporting period (P1) compared to previous years. This measurement also absorbs the estimated impacts from late inputs from applicants and late/lower contributions from public consultations

<sup>46</sup> Case management solutions are applications designed to support a complex process that requires a combination of human tasks and electronic workflow, such as an incoming application, a submitted claim, a complaint, or a claim that is moving to litigation. These solutions support the workflow, management collaboration, decisioning, and processing of digital information or cases.

<sup>47</sup> 2 FTEs for talent selection, 3 FTEs for procurement support services, 2 FTEs for legal services support, 3 FTEs for Stakeholder engagement and MS cooperation activities and 2 FTEs for communication and social science activities



## BUDGET IMPLEMENTATION 2020



**Figure 38.** Budget implementation 2020 C1 credits

**Title I:** budget execution reached 100% of available commitment appropriations. Out of € 47.6 million committed, € 41.9 million were used for staff and seconded national experts salaries and allowances. Significant amounts were also spent for interim services which rose to € 2.7 million to cover increased demand for the support related to projects, implementation of the Transparency Regulation and coverage of long-term absences; and Early childhood centres, crèches and European School contribution (€ 1.8 million). Globally, € 0.5 million were consumed for other external services including Paymaster Office. € 0.3 million were invested in training sessions.

Payment execution reached 99% of available appropriations. The payments of € 46.9 million covered mainly staff salaries and seconded national experts' salaries and allowances, interim and external services and school contribution. The unpaid amount carried over to 2021 is related mainly to outstanding invoices for interim services and training sessions.

**Title II:** commitment execution reached 100% of available appropriations. Out of € 12.9 million committed, the major part (€ 6.8 million) was used for IT infrastructure and services linked both to IT run as well as projects (mainly Enabling Services Project covered by ART Programme). Significant resources (€ 5.4 million) were allocated to the building, mainly for supplies and related services but also to the building acquisition. Investments to the building were made also in the frame of the Enabling Services Project.

Payment execution reached 73% of available appropriations. The payments of € 9.5 million covered mainly building-related expenditures and IT infrastructure and services. The unpaid amount carried over to 2021 is related mainly to outstanding IT services and invoices.

**Title III:** commitment execution reached 100% of available appropriations. Out of € 42.5 million committed, € 13.9 million was used for the operational IT systems, out of which € 10.0 million for the projects within ART programme to introduce new IT tools necessary for the implementation of tasks required by Transparency Regulation. Compared to 2019, resources were substantially increased for the scientific grants and procurement, reaching €11.9 million. More budget - € 10.3 million - was spent also for the scientific meetings. In this case, the budget incrementation was driven by the increase of experts allowances that has been applied since the beginning of 2020. Aiming for the improvement of risk communications, the increased budget permitted to carry out a large scale African Swine Fever awareness campaign as well as investments into the implementation of the Transparency



Regulation measures. Due to the cancellation of physical meetings and staff missions as of March, the cost of events and logistics fell to € 0.6 million and € 0.3 million respectively.

Payment execution reached 87% of total available appropriations and 100% of differentiated credits. The payments of € 31.0 million covered mainly scientific meetings, operational IT systems, scientific grants and procurement and communications. The unpaid amount carried over is linked mainly to outstanding services and invoices for operational IT systems, consulting, and communications.

### ***3.1.1 Appropriations carried forward***

Out of € 6.8 million commitments carried forward from 2019, 95% was used (6.5 million). The remaining amount of € 0.32 million was cancelled. These cancellations were related mostly to carry over in IT, legal and interim services, energy supplies and training sessions.

### ***3.1.2 Debit notes***

During 2020, 74 debit notes were issued and 73 debit notes effectively recovered for an amount of €99.4 million. This amount includes the EU budget contribution (€99 million). Two debit notes remained open at the end of the year to the amount of €0.04 million. One of these, issued in previous years, amounting to €0.02 million, is in litigation before the courts.

### ***3.1.3 Amending budgets***

Two budget amendments have been adopted by Management Board. A bank interest of € 31,357.80 accumulated at the EFSA bank account in the course of the year 2019 was integrated into EFSA's budget in March 2020. A second budget amendment – release of € 4,998,000.00 of commitment and payment appropriations in excess - was adopted in August 2020, decreasing the budget to € 103.0 million in commitment and to € 98.9 million in payment appropriations. The surplus of funds stemmed mainly from the impacts of SARS-CoV-2 outbreak and subsequent postponements and reprioritisations of activities and cancellation of physical meetings and staff missions.

### ***3.1.4 Budget transfers***

Five budget transfers were signed by the Executive Director in the course of the year. Three of them were linked to scheduled quarterly budget reviews (Request for Change procedures), one was an ad hoc transfer to cover a shortfall on contract agents salaries and one at the beginning of December to ensure optimised use of remaining financial resources. Globally, financial resources were transferred mainly into budget lines covering IT expenditures (both in Titles 2 and 3) to cope with requirements set by Transparency Regulation. Additional resources were also allocated to scientific grants and procurement, interim services, early childhood centres, risk communications, building acquisition and scientific meetings. These additional budget requests were linked mainly to updated forecasts or to satisfy additional demand for resources.

Surplus funds were transferred out from operational development and control, external relations, HR consultancy and building expenditures (linked mainly to reallocations to IT within the ART programme). Budget in excess was also released from other budget lines, mainly those covering events, logistics (reserve kept in case physical meetings would have restarted in the last quarter of the year), external and legal services.



### 3.1.5 Procurement

The types of procurement procedures were carried out during the year are presented in table 48.

**Table 48** Proportion of procurement procedure types used

Procurement types	Number	% of procurement procedure types used (e.g. open/negotiated etc.)
Open procedure (FR 164 (1)(a))	15	10%
Negotiated procedure middle value contract (Annex 1 - 14.2)	6	4%
Negotiated procedure low value contract (Annex 1 - 14.3)	12	8%
Negotiated procedure very low value contract (Annex 1 - 14.4)	103	68%
Negotiated procedure without prior publication (Annex 1 - 11.1)	16	11%
<b>Total</b>	<b>152</b>	<b>100%</b>

### 3.1.6 Interest charged by suppliers through late payments.

In 2020 one invoice payment has generated late interests for an amount of € 320.10.

## 3.2 Grant, contribution and service level agreements.

During 2020, a total of € 14,156,998.42 has been implemented via grants, contribution agreements and Service Level Agreements. Respectively, total grants reached an amount of € 11,047,657.42, contribution agreement has been used to sustain 1 SNE for a total sum of € 162,000.00, and Service Level Agreements covered 4 CA posts and a total sum € 2,947,341. (Further details on grant, contribution and service level agreements are provided in Annex VI).

## 3.3 Control results

The objective of the Public Procurement Committee (PPC) intervention is to verify the legality of major procurement procedures before the signature of the proposed contract. The PPC has been set up to examine, in an advisory capacity, contracts to be concluded on behalf of EFSA; and specifically PPC shall give its opinion on all procurement procedures carried out involving amounts exceeding EU procurement directive thresholds in force, currently € 139.000 and, at the request of the Authorising Officer (AO), proposed contracts involving an amount below the EU procurement directive thresholds limit if the contracts are considered to involve questions of principle or are of a special nature. In exercising its advisory capacity, the PPC shall make sure that the resource investment envisaged is proportionate and cost effective. An opinion is given on every file submitted and communicated to the AO or the unit/department concerned and includes whether the procedure has been properly followed. In 2020, EFSA managed 78 procurement procedures and the PPC reviewed 27 files. The main steps of verification of PPC activity consists of the scrutiny of the evaluation report, the consistency of evaluation of the offers, the consistency with the published criteria and minimum requirements, the verification of the application of principle of equal treatment, proportionality, transparency and competition, and if the proceedings and decisions of the evaluation committee are transparently and sufficiently documented. For the 27 reviewed procurement procedures, the PPC concluded with reasonable assurance that the procurement procedures and the resulting contracts are regular and legal (see table 49).



**Table 49.** Ex-post control activity | Public Procurement Committee

	SCOPE	Plan	Monitoring Criteria	Owner	Monitoring	Reporting
FINANCE	All EFSA procurement procedures exceeding EU procurement thresholds	Continuous	Legality Procurement Procedures	FIN	Public Procurement Committee FIN/GPS/LA	Assurance Report

The mass payment procedure for scientific meetings and missions streamlines the financial payment procedure, having at the same time in one platform the monetary data and the financial information of the experts. The ex-post control provides assurance for the leaning verification on mass payments for scientific meetings and missions. The analysis in the area of experts' reimbursements is based on the tracking of complaints with a financial impact. The indicators taken into account to represent expert complaints are the following: additional payments inserted in ABAC in consequence of complaints introduced by experts or for corrections; recovery orders inserted in ABAC in consequence of complaints introduced by experts or for corrections; and deductions or integrations of amounts operated in the mass-payments in consequence of complaints introduced by experts or for corrections. Each mass payment processed for experts is subject to recording of corrections. During the year 2020 a total of 3 complaints were reported that represent 0.036% of the yearly volume of expert's reimbursements (approximately 8.263). In 2020, 68 mass-payments were launched for a total of 8.039 reimbursements and a global amount of €10.2 Mio. Out of the 795 reimbursements via mass payment verified, 4 corrections were identified representing 0.50% of the total number of reimbursements verified and 0.05% on the total number of reimbursements processed. The net amount of €1,092 to be corrected after verification represents 0.01% of the global mass payment amount in the reporting year. The outcome of the ex-post financial verification on mass payments for scientific meetings and missions is within the monitoring criteria set for 2020 (table 50).

**Table 50.** Ex-post control activity | Financial verification on mass payments

	SCOPE	Plan	Monitoring Criteria	Owner	Monitoring	Reporting
FINANCE	Additional payments, recovery orders and deductions mass-payments experts	Yearly	< 1%(amounts paid)	FIN	Assurance Governance	Assurance Report

In addition to the above ex-ante and ex-post financial controls, an ex-ante control activity is taking place within the remit of the Project Coordination Office (PCO). PCO is a coordination and support office assisting in the implementation of a portfolio, programme, project and process management approach within EFSA at operational (i.e. work-programme/SPD) and strategic (i.e. strategy implementation plan) level, controlling compliance with the set methodological requirements/SOPs. More specifically the activities of PCO include:

- Play a general consultative role to projects, processes, programmes by supplying charter templates, best practices, training, access to information and lessons learnt from other projects;
- Support the control of the organisation's compliance with portfolio, programme, project and process management methodologies;
- Verify and monitor the impact of incoming mandates as well as of changes to on-going projects and processes on the EFSA work-programme;

- Escalate appropriately with clear impact analysis and recommendations as necessary, e.g. if a prioritisation or resource issue arises, to support evidence based decision making, integrating information related to planned activities, actual results and variance (actual vs. planned) analysis, performance/KPI implications;
- Maintain the register of requests for changes to the work-programme and relevant recommendations in preparation of the quarterly RFC information.
- Facilitate the identification of crosscutting, overlapping and/or sensitive (impacting on communication strategy) mandates/applications.

### 3.4 Cost and benefits of controls

Overall, the cost of controls as % of total annual budget, procurement and grant spending is summarised in table 51<sup>48</sup>.

**Table 51** Cost and benefits of controls

Year	Total budget		G&P budget	
	Amount (M, €)	% Cost of control	Amount (M, €)	% Cost of control
2020	103	0.0037	12	0.0321
2019	80	0.0048	8	0.0481
2018	79	0.0049	9	0.0428

## 4. Delegation and sub-delegation of the powers of budget implementation to agency's staff

### 4.1 Time-limit of the delegation-sub-delegations

Unlimited (until further revision due to re-organisation or change of BL numbering).

### 4.2 List of the BLs covered by sub-delegations granted to another AOD;

The HoDs are delegated on the related BLs of competence with defined ceilings, lower than the ones of the ED. The Business Services HoD has received delegation with defined ceilings on all BLs in order to be the proper back-up in case of unforeseen absence/urgent need.

### 4.3 A summary of the conditions of these delegations and sub-delegations (i.e. the control and reporting requirements);

For the purposes of the budget implementation, and in line with Article 41(1) of EFSA's Financial Regulation, the Executive Director as the Authorising Officer of the Agency has delegated financial powers to the Heads of Departments for the budget lines, they are responsible for in line with their activities. In accordance with Article 41(2), the Head of Departments have further sub-delegated financial powers to the Heads of Unit of their Departments. For efficiency reasons, the Executive Director has also delegated financial powers to few staff members for lower amounts. Control done at department level, supervised by Finance unit and implemented in ABAC by IT unit based on the documents signed by the Executive Director. Reporting monitored by Finance as well as by ECA auditors + External auditors at least twice a year.

<sup>48</sup> Based on the actual FTEs involved in the control activities ex-ante and ex-post: 3.85 ftes with an average cost of 100,000/Fte

#### 4.4 Information on the controls carried out, any weaknesses identified and the actions taken to remedy these;

As highlighted above, controls done at department level, thereafter by Finance unit, implementation done by IT based on documents signed by the ED. Controls done by ECA + External auditors at least twice a year. No weaknesses identified.

##### Validation User Access Rights granted in ABAC

ABAC is an integrated system allowing the execution and monitoring of all budgetary and accounting operations. The objective of the validation was to review the appropriate access rights management in ABAC by assessing the adequacy and effective application of the internal control system and governance processes implemented for the access rights management. In particular, the review assessed the compliance of ABAC access rights against responsibilities entrusted to the user in accordance to the standing procedures. The outcome of the assessment provided reasonable assurance that the access rights granted in ABAC are in line with delegations entrusted to staff for authorising officers and for financial actors other than authorising officers.

**Table 52** Control Activity | Validation User Access Rights In ABAC

	SCOPE	Plan	Monitoring Criteria	Owner	Monitoring	Reporting
INFORMATION MANAGEMENT	ABAC Access Rights Management Compliance	Yearly	No invalid access rights AO's	LA	Assurance Council	Assurance Report



## 5. Human resources management<sup>49</sup>

### 5.1 Major HR Developments in 2020

In 2020, EFSA has been given 42 new staff posts, to prepare for the implementation of the new Transparency Regulation, reaching a total capacity of 493 statutory staff posts (Officials, TAs, CAs). EFSA has increased its efforts in branding and dissemination of calls, using a broader range of sourcing channels and promoting its job opportunities at various career (on-line) events. Overall EFSA counted 662.000 viewers of job announcements  
 104.000 LinkedIn followers  
 6500 applicants (of which 3000 to staff positions)

Throughout 2020, EFSA has extended more than 80 offers, and onboarded around 60 statutory staff colleagues and managed to continue its recruitment activities despite the pandemic. In addition, EFSA welcomed around 70 young professionals and 5 SNEs, and managed more than 70 interim staff. EFSA's expert panels have been renewed for additional 3 years, and 11 new panel experts were appointed, in addition to around 200 experts to its working groups. By the end of the year, EFSA reached an average occupancy rate of 92.2% for statutory staff, in line with its target of 92.5%.

Due to the outbreak of SARS-CoV-2, EFSA has switched to a 100% teleworking regime as of March. Despite the difficulties related to remote onboarding, all statutory deadlines of contract management were met. 30 staff successfully passed their probationary period, with 0 failures. EFSA is implementing a fully digital onboarding solution and has provided continuous support for the relocation of new hires.

Starting from May 2020, EFSA has been using the EU Commission HR tool 'Sysper' for the management of staff time tracking & leaves, rights & obligations, and for the issuing of certificates. In response to the Covid-19 emergency, EFSA has increased its special support measures, including psycho-social support, special leaves, more flexible working hours, support for teleworking, etc. A new framework contract with a number of day-care centres (nurseries and kindergartens) was signed and implemented, and relocation services are now being offered to new staff.

EFSA had to deliver its learning offer in e-learning modality. Despite the associated difficulties, all topics proposed for training could be translated into training courses. In addition to its usual training offer, EFSA organised mindfulness courses to strengthen stress resilience during the current pandemic situation. In 2020, EFSA has been advancing on the digitalisation of its learning activities as well as of its competency library and performance management, implementing additional Oracle modules. The promotion/reclassification exercise has been performed with no exceptions. For the first time in 2020, EFSA has run a performance assessment of its panel experts.

EFSA has been working on enhancing its reporting capabilities and is exploring the reporting functionalities of available tools (in particular the newly available 'Sysper' tool), aiming at achieving a higher degree of automation.

Number of days of leave authorised to each grade under flexitime (in accordance with the para. 28 Parliaments Discharge Report "2011 discharge: performance, financial management and control of EU agencies" (P7\_TA(2013)0134))<sup>50</sup>:

<sup>49</sup> Including, in accordance with the para. 28 Parliaments Discharge Report "2011 discharge: performance, financial management and control of EU agencies" (P7\_TA(2013)0134), the number of days of leave authorised to each grade under the flexitime and compensatory leave schemes

<sup>50</sup> No compensatory leaves have been taken in 2020.



**Table 53.** Number of days of leave authorised to each grade under flexitime

Grade (nr of staff)	Nr of staff	Days
AD6	49	18
AD7	57	16.5
AD8	64	22
AD9	37	8.5
AD10	15	5.5
AD12	4	0.5
AST3	23	2.5
AST4	32	12
AST5	18	18
AST6	7	36
GFIV13	18	10
GFIV14	53	12.5
GFIV15	14	4
GFIV16	9	2.5
<b>Total</b>		<b>168.5</b>

On 31 December 2019<sup>51</sup>, 459 of the available 467 posts were occupied (including officials, temporary agents, contract agents and seconded national experts). With specific reference to statutory staff (officials, temporary agents and contract agents), 444 posts out of the 451 available were occupied on 31 December (98.4%). In terms of statutory staff average occupancy rate, 440 out of the available 451 posts (97.6%) were occupied throughout the year 2019 (vs the 2019 yearly target of >95.5%).

**Table 54.** Human resource overview (31/12/2020)

Human resources	2019	2020	2020
	budget request	budget request	(31/12/2020)
Temporary Agents and Officials Executives, Managers & Officers (AD)	220	255	248
Temporary Agents and Officials Assistant functions (AST)	100	99	97
<b>Total TAs+Off</b>	<b>320</b>	<b>354</b>	<b>345</b>
Contract Agents officer functions (CA FGIV)	106	114	94
Contract Agents assistant functions (CA FG I, II, III)	25	25	28
<b>Total CAs</b>	<b>131</b>	<b>139</b>	<b>122</b>
Seconded National Experts	16	16	14
<b>TOTAL STAFF ALL CATEGORIES</b>	<b>467</b>	<b>509</b>	<b>481</b>

## 5.2 Implementing rules

In 2020, the EFSA Management Board adopted 3 implementing rules by analogy of certain Decisions of the European Commission on staff matters. The detailed list is available in the Annex IV.

<sup>51</sup> See Organisational Chart 2019 in figure 23

### 5.3 Results from screening / benchmarking exercise

In 2020, the increase in the share of jobs allocated to 'operational' role (from 77.6% in 2019 to 78.5% in 2020) and the corresponding decrease in the 'administration and coordination' role (from 18.2% to 17.5%) are in line with the trend of the past years.

Within the 'operational' role, the increase is particularly affecting the category of 'programme implementation', where most of the additional recruits of the 178 Transparency Regulation capacity have been allocated. With regards to the other categories within the 'operational' role, a slight decrease can be observed, which is due to a higher overall volume of staff.

Within the 'administration and coordination' role, the decrease in the share is also due to the higher volume. This does not correspond to a decrease in the absolute number of FTEs allocated to this role. Due to the allocation of additional staff on 178 Transparency Regulation related tasks an increase in the 'legal coordination' category can be observed.

## 6. Strategy for efficiency gains

In the context of its core business, EFSA hadn't planned for any downsizing or discontinuation of activities for which a mandate is ongoing.

The activities related to scientific evolution and preparedness have normally been identified as the lower priority in case of resource conflicts but also this area of investment is necessary to maintain EFSA relevant and effective in executing its core business. These re-prioritisations and resource deployments are dealt with on a rolling basis.

The increased capacity, apart from the 42 FTEs increase in the year 2020 linked to TR, resulted from the implementation of actions aiming at efficiency gains by generating an extra 10-15 % capacity in 5 years.

The efficiency gains together with an improved occupancy-rate (from 93.8 % in 2014 to 96.1 % in 2020, obtained by improving the recruitment process and by optimising the use of interim resources for covering long-term absences more than compensated the reduction in the establishment plan that in 2020 as per the MFF resulted in a reduction in EFSA's temporary-agent workforce by 36 posts compared to 2013.

The efficiency initiatives generate capacity follow two streams:

**a. Tools /resources/ provisions and processes that facilitate efficiency and productivity / Increasing automation/streamlining of work processes, moving to e-administration and e-training**

The on-going investment on the re-design and the automation of the core business processes, made necessary for the efficient implementation of the TR requirements, as well as the re design of the EFSA's organisation (planned for the year 2021), are oriented to facilitate higher productivity standards and implement efficiency gains.

In particular, the new IT solutions, once implemented, will support the dossier processes in the phase of acceptance, public consultation and confidentiality management as well as in the execution of the risk assessment workflow and all the connected transparency measures.

**b. Sharing services and IT development projects among agencies / Reviewing IT infrastructure**

In the logic of maximising the synergies in the EC context, EFSA has adopted solutions that were already (partially) implemented in the EC parent DG (FSCAP solution for processing and validating new regulated products dossiers) or in other agencies (ECHA Iuclid solution for handling all dossier information related to chemicals). Further details are provided in table 51.

**Table 55.** Sources of human resource capacity increase (FTEs)<sup>52</sup> (numbers in each column represent the cumulative increase/decrease up to that year).

Source	Programme	Project	2015	2016	2017	2018	2019	2020
Efficiency gains <sup>53</sup>	IMP	EFSA Journal outsourcing	0	1	1	8.8	8.8	8.8
		EFSA website update (AGORA)	0	1.5	1.5	1.5	1.5	1.5
		Records and correspondence management	0	0	0.5	0.5	0.5	0.5
		Scientific data warehouse (SDWH)	1.3	1.3	1.5	1.8	2.1	2.1
		NWOW (ART) and digital collaboration <sup>54</sup>	0	0	0	0	1	2
		BIKE	0	0	0	0	0	1.3
	<b>Total IMP</b>		<b>1.3</b>	<b>3.8</b>	<b>4.5</b>	<b>12.6</b>	<b>13.9</b>	<b>16.2</b>
	STEP 2018	<b>STEP 2018 and paperless workflow</b>	<b>14</b>	<b>17</b>	<b>19</b>	<b>19</b>	<b>19</b>	<b>19</b>
	EMP	Mission centralisation and travel outsourcing <sup>55</sup>	0	0	0	4	4	9
		Obligations and rights management (Sysper) <sup>56</sup>	0	0	0	0	2	2
		Talent management <sup>57</sup>	0	0	0	0	3	3
	<b>Total EMP</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>4</b>	<b>9</b>	<b>14</b>
	ART programme	TBD <sup>58</sup>	0	0	0	0	0	0
		<b>Total ART</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Efficiency gains total</b>			<b>15.3</b>	<b>20.8</b>	<b>23.5</b>	<b>35.6</b>	<b>41.9</b>	<b>48.4</b>

<sup>52</sup> The list includes key efficiency initiatives targeted through specific projects and that aim at the generation of 'free capacity' that could be used elsewhere, therefore it is not fully comprehensive (e.g. it does not include incremental efficiencies via process streamlining or shared services and synergies with Member States and EU institutions expected to yield 'shared' benefits in the medium to long term). Figures indicating efficiency gains are to be considered as cumulative, for example. 'Mission centralisation and travel outsourcing' will produce efficiency gains of 4 FTEs in 2018, which will become 6.5 in 2019 and be carried over to 2020 and 2021. This is a 'living' table, to be updated as a result of the actual implementation of the projects over the years.

<sup>53</sup> Efficiency initiatives often have financial benefits in addition to or instead of FTE efficiencies. These financial savings are beneficial to EFSA human resource capacity by releasing the financial constraints that may limit the achievement of higher occupancy rates.

<sup>54</sup> New efficiency initiatives (e.g. NWOW, digital collaboration, BIKE) starting in 2019, and FTE savings are at the heart of the business case.

<sup>55</sup> Project closed and overachieved with redeployment of 2 additional FTE

<sup>56</sup> Delay of one year in the project with Go-live postponed by the EC

<sup>57</sup> Delay of one year with the late onboarding of a competency manager

<sup>58</sup> Savings from the ART programme is an objective for the programme and have been calculated as an average year-on-year 3% efficiency improvement at EFSA level (all processes) starting from mid-year 2023.

## 7. Assessment of audit and ex-post evaluation results during the reporting year

### 7.1. Internal Audit Service (IAS)

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

The IAS performed an audit on the assessment and adoption of scientific outputs in the food ingredients and packaging domain and issued the final report in October 2020. The objective of the internal audit was to assess the adequacy of the design, the effectiveness and the efficiency of the process established for the assessment and adoption of scientific outputs in the Food Ingredients and Packaging domain. The IAS concluded that although the process for assessing and adopting scientific outputs under the Food Ingredients and Packaging domain is overall adequately designed, and effective and efficient, one very important audit observation was issued on the weakness in the effective and timely implementation of the re-evaluation of food additives and enzymes. EFSA prepared an action plan following the audit report that was overall considered adequate by the auditors.

The IAS also started an internal audit on the procurement and grant award processes in October 2020. The objective of the audit is to assess the adequacy of the design, the effectiveness and the efficiency of the processes established for the procurement and grant award processes within EFSA. The scope of the audit covers the procurement and grant award processes, from the identification of the needs until the contract/grant agreement signature, and its related governance, risk management and internal control framework. The audit covers the procurement and grant award procedures finalised in the years 2019 and 2020. The related audit report is planned for the first semester of 2021.

### 7.2. European Court of Auditors (ECA)

The European Court of Auditors conducted its annual financial and regulatory audit of the Authority's 2019 accounts and adopted its report on 22 October 2020. In the report, the ECA expressed the following audit opinions:

- *Opinion on the reliability of the accounts*  
In the Court's opinion, the accounts of the Authority for the year ended 31 December 2019 present fairly, in all material respects, the financial position of the Authority at 31 December 2019, the results of its operations, its cash flows, and the changes in net assets for the year then ended, in accordance with its Financial Regulation and with accounting rules adopted by the Commission's accounting officer. These are based on internationally accepted standards for the public sector.
- *Opinion on the legality and regularity of the transactions underlying the accounts*  
In the Court's opinion, revenue and payments underlying the accounts for the year ended 31 December 2019 are legal and regular in all material respects.

The European Court of Auditors' audit report on the outcome of annual financial and regulatory audit of the Authority's 2019 accounts included one issue on the working language used for the procurement procedure for the EFSA Medical Adviser. To avoid potential similar concerns in the future, the EFSA procurement team increased the justification requirements in the grant and procurement guide when a call is not launched in English. At the time of preparing this report, EFSA had not received an opinion on the EFSA 2020 annual accounts.



## 8. Follow-up of recommendations

### 8.1. Follow-up of recommendations and action plans for audits and evaluations

After the follow-up audits performed during the reporting year concerning the IAS audits on Human Resources Management and Ethics, and the Evaluation of Regulated Products Assessment Phase in Pesticides Authorisation, there were no critical and one very important IAS recommendation from previous years outstanding at year-end. Both follow-up audits concluded that all audit recommendations in scope had been adequately and effectively implemented. The remaining outstanding very important audit recommendation concerns the action plan for the time management process that is now considered implemented by EFSA.

One ECA audit finding from 2017 on the need to strengthen the accounting officer's independence, where ECA and EFSA have a difference in opinion, is not included in the overview of outstanding audit recommendations. In EFSA's opinion, the formal requirements set by the financial regulation to ensure the independence of the accounting officer are already in place. The EFSA Management Board appointed the current accounting officer in 2008. The accounting officer reports to the Head of the Bus Department and to ensure the functional independence of the accounting officer in the performance appraisal workflow, the Head of BuS Department is the reporting officer and the Chair of the Audit Committee the Countersigning officer. The accounting officer may at any time be suspended temporarily or definitely from his duties by the Management Board.

**Table 56.** Summary table on status outstanding audit recommendations

	RATING	AUDIT RECOMMENDATION	TARGET	OWNER	STATUS
2019	<b>Very Important</b>	1. Weaknesses in the time management process (IAS)	Q4 2020	HuCap/ LA/TS	Ready
		2. Weaknesses in appraisal and promotion exercise (IAS)	Q4 2021	HuCap/ TS	Open
	<b>Important</b>	3. Monitoring remuneration cap outside activities and management of conflicts of interest (IAS)	Q2 2021	LA	Open
		4. Working language in procurement procedures (ECA)	Q4 2020	FIN	Ready

### 8.2. Follow-up of recommendations issued following investigations by the European Anti-Fraud Office<sup>59</sup>

During the reporting year EFSA did not have to transmit or follow-up on any suspension of fraud cases to OLAF.

<sup>59</sup> Article 11 Regulation (EU/Euratom) 883/2013 of the European Parliament and of the Council concerning investigations conducted by the European Anti-Fraud Office (OLAF)



## 9. Follow up of observations from the Discharge Authority

On 13 May 2020, the European Parliament (EP) granted to EFSA the Discharge in respect of the implementation of the budget for the financial year 2018. This is the final approval of the budget implementation and the closure of the 2018 annual accounts. Regarding the observations made by the European Parliament in the Discharge 2018 with respect to some aspects of EFSA's operations, EFSA has informed the European Parliament that the majority of the recommendations have been implemented, and the remaining are in the process of being completed.

**Table 57** Summary table on status observations from the Discharge Authority

DISCHARGE OBSERVATION		STATUS
<b>Performance</b>	1. Encourage the Authority to seek further and broader cooperation with all of the Union agencies	Ongoing
	2. Encourage the Authority to pursue the digitalization of its services	Ongoing
	3. Continue paying special attention to public opinion, and commit itself to openness and transparency	Ongoing
<b>Staff Policy</b>	4. Calls for the dependency on external recruitment in this important and sensitive area to be reduced as much as possible	Implemented
	5. Asks the Authority to take measures ensuring that there is better geographical balance within its senior management	Ongoing
<b>Prevention and management of conflicts of interest and transparency and democracy</b>	6. Calls the Authority to change its policy on independence to include the obligation to screen experts' interests only in relation to the mandate of the scientific group that the expert is applying to	Implemented
	7. Calls for the 25% research funding threshold to be removed from the Authority's independence policy	Implemented
	8. Calls on the Authority to adopt a strict cooling-off period as regards financial conflicts of interest and clear policy guidelines on the use of experts	Implemented
<b>Internal Controls</b>	9. Calls on the Authority to report back to the discharge authority on the measures taken to address and implement actions following IAS audit report "Human Resources Management & Ethics in EFSA"	Implemented
<b>Others</b>	10. Calls on the Authority to focus on disseminating the results of its research to the public, and to reach out to the public via social media and other media outlets	Ongoing

## 10. Environment management I

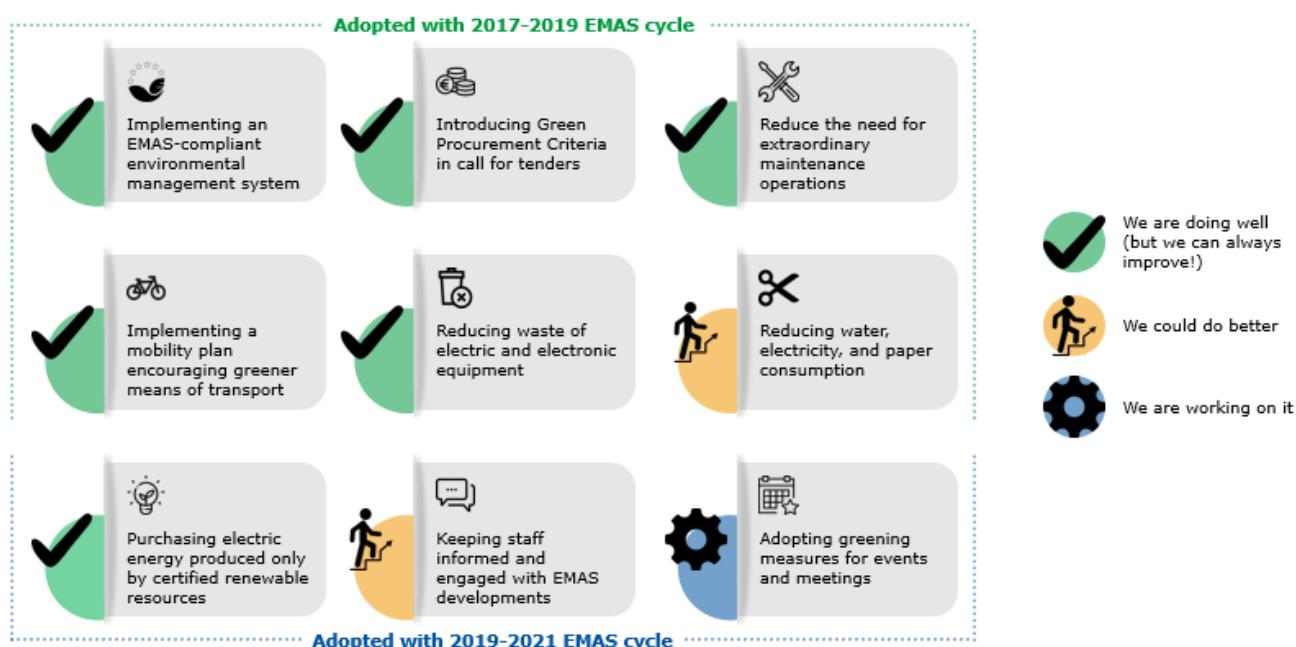
EFSA's commitment to environmental sustainability was high on the 2020 agenda. EFSA maintained the Eco-Management and Audit Scheme (EMAS) registration, which was confirmed after the external audit that took place in June. All the findings from the previous audit were considered closed, and no non-conformities were highlighted, with the process considered effective and running in compliance with the standard. Significant progress was made in the context of the [EMAS 2019/2021 objectives](#): 100% of the energy used by EFSA is produced by [renewable sources](#); EFSA identified a [reference model](#) containing a list of green practices for the organisation of events; and an [internal communication campaign](#) was launched to increase staff knowledge on EMAS principles and objectives and to increase awareness on all projects and initiatives developed and carried out so far in EFSA (e.g. "zero use of plastic at work", massive reduction in paper use, waste recycling). Furthermore, significant reduction in CO2 emissions and savings in terms of travel costs were obtained due to

missions and physical meetings/events suspension/virtualisation in response to the COVID-19 outbreak.

Environmental sustainability was also further supported by introducing green procurement criteria in call for tenders. Market analyses were conducted throughout the year to assess the green options to be included in selection and award criteria, in minimum requirements and certification requests.

Another important milestone reached in the course of the year was the upgrading of EFSA's certification in the field of [health and safety management standards](#) from BS OHSAS 18001 to ISO 45001:2018. EFSA's successful certification to the new norm confirms its adequacy to move from the old standard to the new one.

In-line with EMAS procedures, every three years, EFSA defines an environmental programme setting out specific environmental objectives and an action plan to meet them, which is approved by external auditors. The progress made is illustrated in figure 41.



**Figure 39.** EFSA environmental programme: environmental objectives and action plan

## 11. Assessment by management

### Conclusion on audit results and follow up

EFSA addresses all accepted audit recommendations by proportionate action plans and monitors their implementation regularly. The Assurance adviser reports on the progress made twice per year to EFSA's Audit Committee. None of the issues raised by the auditors were critical. The issue addressed by the Court of Auditors or the very important weakness pointed out in the IAS audit do not point to a significant repetitive error or deficiency in EFSA's internal control system. EFSA's implementation of audit recommendations is in general assessed as positive, auditors find EFSA's actions appropriate and do not report any improper delays.



## Part II(b). External Evaluations

The third external evaluation covered the EFSA's working practices and the impact of its activities in terms of effectiveness, efficiency, coherence, complementarity and EU added value for the period 2011-2017. The recommendations of the MB based on the result of this external evaluation are listed here below. EFSA identified actions to address the recommendations during the Strategy 2020 cycle, and already embedded relevant activities in the design of the strategy 2027 implementation plan. The table below provides a summary of these activities.

**Table 58.** Actions to address MB recommendations

#	MB recommendations consolidated	Actions 2020
1	Enhance the capacity for fit-for-purpose and responsive scientific advice, by improving the planning and responsiveness of the Agency, optimizing the use of resources, harmonizing EU assessments, and utilizing technological development in IT and data management	<ul style="list-style-type: none"> <li>In the context of ART programme leading the implementation of the Transparency regulation measures, the mandate negotiation process is built in collaboration with SANTE, and is embedded in the relevant tools.</li> <li>Regular update at the AF meeting on the EU RA Agenda. Tools to exchange information on risk assessment plans are in place (R4EU, AF surveys) or under development (multiannual sourcing plan)</li> <li>Proactive publication of monitoring and survey data on EFSA's open access platform (Knowledge Junction) and open data portals such as Information Platform for Chemical Monitoring. Automation and artificial intelligence capacity building is explored.</li> </ul>
2	Enhance communication activities to strengthen EFSA's reputation by increasing proactivity of communication, communicating more collaboratively, and contextualizing communication to address societal concerns while using communication science to improve communication about risk assessment	<ul style="list-style-type: none"> <li>Recommendations collected at the Stakeholder Forum in 2019 and through the review of the Stakeholder Engagement Approach (SEA) 2016-2019 are followed to gradually introduce the elements of a new engagement framework, to fulfil the requirements of the Transparency Regulation and meet the ambitions of the Strategy 2027 in the area of public engagement</li> <li>Plan on the Large-Scale Engagement (LSE) project presented. The project aims to evolve EFSA's current engagement mechanisms to meet the demand of the Transparency Regulation and feed into the EC's mandate on Risk Communication, as well as to create the right processes and tools to engage more effectively with our interested parties to improve the quality of our scientific outputs by ensuring access to the right data and expertise, but also increase trust in the risk assessment process. A pilot phase will be carried out to bring EFSA's engagement framework to the next level in view of the Strategy 2027.</li> <li>Broad programme of social advice and research activities, including commissioning of research (e.g. Eurobarometer).</li> </ul>



#	MB recommendations consolidated	Actions 2020
3	Secure long-term efficiency and sustainability of operations by enhancing the efficiency of the advice production system, finding additional ways to utilize the expertise, and increasing EFSA financial resources	<ul style="list-style-type: none"> <li>Broader lean approach initiated across the entire organisation, with the first batch of training and improvement initiatives in 2020. The 'BAUHAUS' initiative started in 2019, evolved to the "Design, validate and integrate a framework that will allow the organisation to make strategic decisions with regards to outsourcing core business decisions" aiming at identifying activities like the preparatory work for the risk assessment and parts of the risk assessment that can be outsourced by using the most appropriate sourcing tool.</li> <li>In parallel, initiatives are ongoing with Sister Agencies<sup>60</sup> and the JRC to promote joint programming and the sharing and joint management of data and scientific expertise. Highlights are the EC HPAC (High Performance Analytics and Computing) initiative, joint projects with ECHA on shared data (e.g. IUCLID) and methodologies (e.g. endocrine disruptors), and other shared initiatives on HR (joint trainings, mobility and shared posts), and research (identification of joint projects under Horizon Europe).</li> <li>Strengthen resource outlook analysis in EFSA programming document and implementation of engagement plans with EC, EP and Council including advocacy messages and initiatives linked to resources/sustainability of the RA model. 'Fees discussion' kept on hold in an endeavour to avoid interferences with the implementation of the Transparency Regulation and accompanying resources.</li> </ul>
4	Continue the transformation to an Open Science Organisation, by making evidence transparent and reusable, making the advice-development process accessible, enhancing the dialogue with stakeholders and safeguarding and explaining the organisation's independence	<ul style="list-style-type: none"> <li>Definition of the dossiers format and document format (IUCLID building blocks for managing PPP and MRL applications submission and validation in collaboration with SANTE and ECHA, FSCAP implementation for other regulated products areas in collaboration with DG SANTE, SIGMA Data formats in animal health area, in collaboration with MSs.)</li> <li>Definition of the Notification of Studies Register data format and its implementation.</li> <li>Proactive dissemination of non confidential dossier content as per TR indications - before and after confidentiality assessment.</li> </ul>
5	Invest in preparedness to cope with complex futures by scanning emerging risks while co-developing adequate assessment methodologies, by co-developing European capacity for future risk governance and by co-influencing EU research funding priorities	<ul style="list-style-type: none"> <li>Membership of the EREN network expanding with additional observers. FAO and WHO now integrated and attending every meeting. Sister Agencies also integrated and participating to meetings.</li> <li>Reflection and plans linked to the 2027 Strategy, including a key-pillar on knowledge management and capacity building.</li> <li>The RAMPro programme prioritises the development of adequate new methodologies to address risk assessment needs of the future.</li> <li>A new instrument is under development, leveraging on the TR sustainability measures, to prioritise and invest in large-multistakeholder projects on developing the needed capabilities for the future (e.g. cumulative exposure assessment)."</li> </ul>

<sup>60</sup> responding to the ENVI Committee of the EP



#	MB recommendations consolidated	Actions 2020
6	Collaborate, cooperate and co-design to meet integrated "One health" protection targets by upgrading collaboration to a strategic level, by utilizing the opportunities of big data and by limitless sharing to tackle complexity and resources constraints.	<ul style="list-style-type: none"> <li>EFSA contribution to the Chemical substances strategy and reflections and plans part of 2027 Strategy, following the "Changing context analysis" performed in EFSA during 2020.</li> <li>HPAC collaboration (Health EU Sister Agencies, JRC, DG SANTE&lt; DIGIT) on shared solutions solving Artificial Intelligence, Data Management as well as Big Data solutions</li> <li>Joint One Health Project on WGS data analysis in collaboration with ECDC</li> <li>RUEDIS Project supporting the improvement of the RUEDIS database with BfR.</li> <li>As a continuation of the "Advisory Forum Task Force on Data Collection and Modelling" the implementation of a shared "data roadmap" with the MSs is aligned with EFSA 2027 Strategy.</li> </ul>

EFSA also carried out a mid-term evaluation of the EFSA Strategy 2020 to take stock of progress made in EFSA's current strategy implementation and identify lessons learned for the next strategy cycle. The results and conclusions focus on improvement areas for EFSA's five strategic objectives and lessons learned considerations on (i) scientific risk assessment, (ii) risk communication and engagement and (iii) knowledge, resources and collaboration and feed the drafting of the new EFSA strategy 2027.



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# Part III. Assessment of the effectiveness of the internal control systems

## 1. Effectiveness of internal control systems

The EFSA Internal Control Framework, based on the equivalent standards laid down by the European Commission and international best practice, was adopted by EFSA's Management Board in December 2017. The Internal Control Framework consists of five internal control components and 17 principles based on the COSO Internal Control Framework. Internal control monitoring criteria for EFSA were defined to ensure an adequate assessment of the presence and functioning of all internal control principles. The assessment was based on the following elements: the internal control monitoring criteria, the results of the ex-post controls, the continuous monitoring and systematic registration of exceptions, non-conformities and internal control weaknesses, and the audit observations from the IAS and ECA.

## 2. Conclusions of assessment of internal control systems

EFSA has adopted an Internal Control Framework to ensure the achievement of its policy and management objectives. EFSA defined the 10 Assurance Pillars to act as an enabler by providing the overall architecture for internal control in EFSA. Compliance with the internal control framework is a compulsory requirement. EFSA uses the organisational structure and the internal control systems suited to achieving its policy and internal control objectives in accordance with the internal control principles and has due regard to the risks associated with the environment in which it operates. In its internal control system, EFSA embedded continuous monitoring measures to ensure that its internal control framework is effective.

EFSA assessed its internal control systems for the reporting year and concluded that overall, all internal control components and principles were present and functioning as intended. In addition, measures will be taken to further strengthen the management of sensitive information, the EFSA process architecture, the process management methodology and risk management & internal control following the Transparency Regulation funds reflection.

In conclusion, management has reasonable assurance that, overall, suitable controls are in place and working as intended; risks are being appropriately monitored and mitigated; and necessary corrective action is being implemented.



### 3. Statement of the Manager in charge of risk management and internal control

I, the undersigned,

Manager in charge of risk management and internal control within EFSA,

In my capacity as Manager in charge of risk management and internal control, I declare that in accordance with EFSA's Internal Control Framework, I have reported my advice and recommendations on the overall state of internal control in the Agency to the Executive Director.

I hereby certify that the information provided in the present Consolidated Annual Activity Report and in its annexes is, to the best of my knowledge, accurate, reliable and complete.

Parma, 10 March 2021

Selomey Yamadjako

SIGNED



# Part IV. Management assurance

## 1. Review of the elements supporting assurance

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

EFSA defined the 10 Assurance Pillars to act as an enabler by providing the overall architecture for internal control in EFSA and defining what it entails:

- Audit Management, *see Part II(a) 2.7 and 2.8*
- Financial Reporting and Discharge, *see Part II(a) 2.9*
- Risk Management and Anti-Fraud Strategy, *see below*
- Internal Control, *see Part III*
- Legality and regularity monitoring, *see below*
- Information management, *see below*
- Evaluation, *see Part II(b)*
- Quality certification, *see below*
- Security and Business Continuity, *see below*
- Health & Safety and Environment, *see Part II(a) 2.10*

The Assurance Governance ensures cross-functional corporate oversight, providing a holistic and integrated view from a policy, planning, monitoring and reporting perspective of respective assurance activities in EFSA.

### *Risk Management and Anti-Fraud Strategy*

Risk management is about identifying and assessing potential issues that could affect the execution of the organisation's activities and the achievements of objectives. As part of EFSA's planning cycle, risks and mitigating actions are identified at process level and captured in EFSA's process documentation. A streamlined impact/likelihood approach is used to perform the risk assessment to select the appropriate risk response. In 2020, the most relevant ones are the delivery of the Transparency Regulation and the SARS-CoV-2 uncertainties which are outlined together with the other critical and cross-cutting risks that could potentially impact the achievement of EFSA's objectives, and respective mitigating actions that reduce the risks to acceptable levels, in EFSA's 2021 Programming Document.

EFSA developed its Anti-Fraud Strategy following an internal risk assessment carried out in accordance with the European Anti-Fraud Office methodology and guidance. There are four main objectives highlighted focusing on maintaining a high level of ethics and fraud awareness, ensuring robustness of fraud detection, strengthening cooperation with OLAF as key actor in the fight against fraud and ensuring effective implementation of anti-fraud measures. In 2020, EFSA initiated the evaluation and revision of the current anti-fraud strategy to develop EFSA's revised Anti-Fraud Strategy, implementing rules and multi-annual action plan on anti-fraud. During the reporting year, EFSA did not have to transmit or follow-up on any suspicion of fraud cases to OLAF.



## Legality and Regularity Monitoring

In accordance with the Internal Control Framework, EFSA has implemented a process for the management and control of exceptions, including the analysis of the root cause, the assessment of the risks and the identification of corrective and/or preventive actions. To ensure traceability, the deviations from all applicable rules and regulations are documented in an exception request, which is recorded in an exception register. In 2020, EFSA recorded 57 deviations, 7 deviations concerned exception requests approved ex-ante, whereas 50 deviations concerned non-conformities noted ex-post. Several deviations were SARS-COV-2 related for special situations where EFSA had to adapt its working arrangements mainly in the areas of human resources, contract management and the electronic submission of applications. The deviations to rules and procedures mainly concerned the timely publication of scientific outputs and minutes, and the correction of published scientific outputs. The financial value of the deviations amounted to EUR 94.215 with one single exception request representing a financial impact of EUR 52.165 due to an interim payment that was not foreseen in the contract.

## Information Management

### Information security

EFSA is actively committed to safeguarding the confidentiality, integrity and availability of all information that it manages, to ensure that regulatory, operational and contractual requirements are fulfilled. EFSA is following the ISO 27001:2013 international standard for information security management. The security of IT systems was improved with security upgrades and multi-factor authentication now requiring virtual private network (VPN) to remotely access certain IT systems. A vulnerability management solution for both on site and cloud servers has been implemented. EFSA has adopted a combination of firewall, intrusion detection and web application firewall to protect cloud servers. EFSA was not affected by any global cyber-attacks during the reporting year, however, one information security incident occurred caused by a malicious external attack to EFSA's information infrastructure with no adverse consequence to EFSA's information management integrity. The implementation of the transparency regulation is also benefiting EFSA's information security through investment in secure online storage for confidential information and by a complete review of the flow of data and documents through EFSA's business processes. The new regulation lifts the level of information security standards while at the same time ensuring greater transparency through the dissemination of public information. The key elements of the regulation improving information security are:

1. Strict control over the storage and access to confidential information
2. Monitoring and audit of access to information assets
3. Enhanced security infrastructure meeting current standards for cloud services

### Data protection

The Following the General Data Protection Regulation (EU) 2016/679 (GDPR) which became applicable in the EU Member States on 25 May 2018, the 'GDPR for EU institutions, bodies, offices and agencies', Regulation (EU) 2018/1725 came into force on 11 December 2018. The GDPR legal framework puts increased emphasis on accountability of controllers and business owners for compliance on the personal data management within their remits following a risk-based approach. The European Data Protection Supervisor (EDPS) is the independent supervisory authority whose primary objective is to ensure that European institutions and bodies respect the right to privacy and data protection when they process personal data.

Throughout 2020, several awareness-raising initiatives and data protection training took place and specific advice on data protection aspects for procurement outsourcing, contract management and for the use of new applications and tools was provided. Data protection impact assessments were performed for several IT systems. During the reporting year, EFSA registered one data breach that



occurred in the context of the EFSA Medical Adviser contact tracing activity after the detection of a SARS-COV-2 positive case at EFSA.

During the reporting year, the European Data Protection Supervisor (EDPS) performed an inspection on the information provided to data subjects when they sign up to newsletters and other subscriptions which resulted in a review of the EFSA website newsletter subscription page. In October 2020, the EDPS initiated a horizontal audit on personal data international transfers through outsourcing, services and operations of European Institutions, bodies and agencies outside the EU for which EFSA provided a mapping of ongoing data processing operations and ongoing contracts involving transfers to third parties. The outcome of this horizontal audit is expected in 2021.

### *Quality certification*

EFSA's Quality Management System was awarded in 2016 the ISO 9001:2015 certification attesting EFSA's ability to consistently produce services that meet EFSA's customers' requirements and foster a culture of continuous improvement. In 2020, most of the work performed on processes and procedures was focused on the requirements for the implementation of the Transparency Regulation. A single reporting tool called Hyperion integrating all process performance indicators was introduced to improve the performance management at process level. Training on process management methodology, result based management and the new Hyperion tool was provided for process owners. The process management handbook was drafted and is pending final validation.

The 2020 surveillance audit by the certification body confirmed EFSA's ISO 9001:2015 Quality Management certification. The certification auditors reported zero no non-conformities and two areas for improvement concerning process improvement initiatives (PIIs), the identification of indicators to measure PIIs and the monitoring of PIIs.

### *Security and Business Continuity*

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

EFSA's Business Continuity is to maintain the continuity of its activity, systems, facilities and processes and where these are disrupted by an event to enable it to return to normal operations as soon as possible, taking fully into account the impact of any delay on the EFSA's quality of service, reputation and budget. EFSA's business continuity plan is based on a business impact analysis and used by trained staff to ensure that EFSA is able to continue working to the extent possible in case of a major disruption. EFSA's contingency plan was activated in due time when the information of SARS-COV-2 spreading in the Lombardy region was released. EFSA activated its Business Continuity Plan and the Crisis Management Team (CMT) convened regularly since February 21, 2020 to deal the crisis situation. The 2020 surveillance audit by the certification body confirmed EFSA's ISO 22301:2012 Business Continuity management certification.

### *Health & Safety*

EFSA is committed to establish and continuously promote a sound management system that aims at ensuring a healthy and safe workplace and a sustainable business environment. In 2020, the external certification body has confirmed EFSA's ISO 14001:2015 environmental management standard and the Eco-Management and Audit Scheme (EMAS) registration. EFSA's certification in the field of health and safety at work was upgraded from the BS OHSAS 18001 to the ISO 45001:2018 management standard.

## **2. Reservations**

Not applicable



## Part V. Declaration of assurance

I, the undersigned, Director of EFSA,

In my capacity as authorising officer,

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

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

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

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

Parma, 10 March 2021

Bernhard Url

SIGNED



# Annexes

Draft

# Annex I. Core business statistics

## (a) Questions closed in 2020

Table 59 Questions closed in 2020

Questions per strategic objective and type of output	REPRO							RASA				TOTAL	
	APDESK	FEED	FIP	GMO	NUTRI	PRES	PREV	ALPHA	AMU	BIOCON-TAM	DATA	SCER	
<b>SO1 – Prioritise public and stakeholder engagement in the process of scientific assessment</b>													
<b>SO1 – EFSA scientific outputs</b> – general risk assessment				5		4	4	53		19	2		87
Of which:													
– conclusion on pesticides peer review				2			4						4
– opinion of the scientific committee / scientific panel								46		13			61
– guidance of the scientific committee / scientific panel				1									0
– statement of the scientific committee / scientific panel										2			3
– reasoned opinion						3							3
– scientific report of EFSA				1				7		4	2		14
– guidance of EFSA													0
– statement of EFSA				1		1							2
<b>SO1 – Technical reports</b> – general risk assessment			1	4			1	84		9	8		107
<b>SO1 – Other publications (external scientific reports/event reports)</b> – general risk assessment				2				6		7			15
– Other publications - external scientific report				1				3		7			11
– Other publications - event report				1				3					4
<b>SO1 – Sub total – general risk assessment</b>		1	11		4	5	143		35	10			209
<b>SO1 – EFSA scientific outputs</b> – evaluation of regulated products	109	123	10	23	81	50			2				398
Of which:													



Questions per strategic objective and type of output	REPRO							RASA				TOTAL	
	APDESK	FEED	FIP	GMO	NUTRI	PRES	PREV	ALPHA	AMU	BIOCON-TAM	DATA	SCER	
- conclusion on pesticides peer review					3	49				2			52
- opinion of the scientific committee / scientific panel	109	123	10	23						2			267
- guidance of the scientific committee / scientific panel													
- statement of the scientific committee / scientific panel						1							1
- reasoned opinion					66								66
- scientific report of EFSA													
- guidance of EFSA													
- statement of EFSA					12								12
<b>SO1 – Technical reports</b> – evaluation of regulated products		3		6		15							24
<b>SO1 – Other publications (external scientific reports/event reports)</b> – evaluation of regulated products			2										2
- Other publications - external scientific report			2										2
- Other publications - event report													
<b>SO1 – Sub total</b> – evaluation of regulated products	109	126	12	29	81	65			2				424
<b>SO1 – Total</b>	109	127	23	29	85	70	143		37	10			633
<b>SO2 – Widen EFSA's evidence base and optimise access to its data</b>													
<b>SO2 – EFSA scientific outputs</b>													
<b>SO2 – Technical reports</b>								7		2			9
<b>SO2 – Other publications (external scientific reports/event reports)</b>								1		4	1		6
- Other publications - external scientific report										4	1		5
- Other publications - event report							1						1
<b>SO2 – Total</b>							8			6	1		15
<b>SO3 – Build the EU's scientific assessment capacity and knowledge community</b>													
<b>SO3 – EFSA scientific outputs</b>													
<b>SO3 – Technical reports</b>								2		1			3



Questions per strategic objective and type of output	REPRO							RASA				TOTAL		
	APDESK	FEED	FIP	GMO	NUTRI	PRES	PREV	ALPHA	AMU	BIOCON-TAM	DATA	SCER		
<b>SO3 – Other publications (external scientific reports/event reports)</b>								1	3				4	
– Other publications - external scientific report								1	3				4	
– Other publications - event report														
<b>SO3 – Total</b>								1	3	2		1	7	
<b>SO4 – Prepare for future risk assessment challenges</b>														
<b>SO4 – EFSA scientific outputs</b>		1		2		3	2					1	2	11
Of which:														
– opinion of the scientific committee / scientific panel				1			1					1	3	
– scientific report of EFSA						3	1						4	
– statement of the scientific committee / scientific panel				1									1	
– guidance of the scientific committee / scientific panel		1										1	2	
– guidance of EFSA (regulated products)														
– statement of EFSA											1		1	
<b>SO4 – Technical reports</b>		1				2			1			5	9	
<b>SO4 – Other publications (external scientific reports/event reports)</b>				1			6	9	1	1		4	22	
– Other publications - external scientific report			1				3	9	1	1		1	16	
– Other publications - event report						3						3	6	
<b>SO4 – Total</b>		2		3		5	8	9	2	1	1	11	42	
<b>Total questions</b>	0	111	127	26	29	90	78	161	5	40	17	13	697	

**Table 60.** Questions closed by food sector area for SO1 general risk assessment

SO1 General risk assessment			
EFSA Unit	Total by Unit	Food/feed sector area	Questions closed
Animal and plant health	143	Animal Diseases	20
		Animal welfare	5
		Plant Health	118
Biological hazards and contaminants	35	AMR	2
		BIOCONTAM - Other areas	2
		Contaminants in Feed	2
		Contaminants in Food	11
		Contaminants in food and feed	1
		Food Hygiene	5
		Foodborne zoonosis	8
		Micro-organisms	2
		TSE	2
Evidence management	10	Contaminants in Food	1
		Pesticides MRL Monitoring (Reg. 396/2005 - Art. 31)	3
		EFSA Guidance documents	6
Food Ingredients and Packaging	1	Food contact materials	1
GMO	11	GMO generic	9
		RA methodology	2
Pesticide Peer Review	5	Pesticides peer review - renewal of approval	2
		Pesticides peer review - review of approval	3
Pesticide Residues	4	Pesticides MRL Request (Reg. 396/2005 - Art. 43)	4
<b>Total</b>			<b>209</b>

**Table 61.** Questions closed by food sector area for SO1 regulated products

SO1 Regulated products			
EFSA Unit	Total by Unit	Food/feed sector area	Questions closed
Biological hazards and contaminants	2	Animal By-Products	2
FEED	109	Feed additives - applications	109
Food Ingredients and Packaging	126	Enzymes	38
		Flavourings	37
		Food additives	29
		Food contact materials	22

SO1 Regulated products			
EFSA Unit	Total by Unit	Food/feed sector area	Questions closed
GMO	12	GMO generic	2
		GMOs applications for renewal under Reg. 1829/2003 / Commission Implementing Regulation (EU) No 503/2013	4
		GMOs applications under Reg. 1829/2003 / Commission Implementing Regulation (EU) No 503/2013	6
Nutrition	29	Food allergens	1
		Food for specific groups	2
		Health claims Art. 13/5	3
		Health claims Art. 14	1
		Health claims other	2
		Notification on traditional foods from third countries	2
		Novel Foods application	17
		Nutrient sources	1
Pesticide Peer Review	65	Pesticides peer review - amendment approval conditions	1
		Pesticides peer review - basic substances	9
		Pesticides peer review - confirmatory data	9
		Pesticides peer review - new active substances	13
		Pesticides peer review - renewal of approval	32
		Pesticides peer review - review of approval	1
Pesticide Residues	81	Pesticides MRL Application (Reg. 396/2005 - Art. 10)	48
		Pesticides MRL Review (Reg.396/2005 - Art. 12)	33
Grand Total			424

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

Details on the actual backlog and its reduction per food sector area during 2020 are presented in table 62, while current status of bulk evaluations is included in table 63.

**Table 62.** Regulated products - Backlog reduction in 2020

Regulated products area	# at year start	# at year end
FEED	56	35
Feed additives - applications	56	35
GMO	1	1
GMO - miscellaneous	1	1

Regulated products area	# at year start	# at year end
PRES	<b>41</b>	<b>18</b>
Pesticides MRL Application (Reg. 396/2005 - Art. 10)	41	18
PREV	<b>8</b>	<b>3</b>
Pesticides peer review - miscellaneous	8	3

**Table 63.** Regulated products - Bulk evaluation in 2020

Status	Regulated products area	# at year start	# at year end
Deadlines agreed with Risk Manager	FIP	<b>439</b>	<b>348</b>
	Flavourings <sup>61</sup>	73	35
	Enzymes <sup>62</sup>	238	206
	Food additives – re-evaluation	128	107
	PRES	<b>146</b>	<b>80</b>
	Pesticides MRL Review (Reg. 396/2005 - Art. 12) - ex backlog	113	80
Pending Risk Manager decision	NUTRI	<b>1548</b>	<b>1548</b>
	Health Claims (Art.13.2) - botanicals	1548	1548

<sup>61</sup> 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.

<sup>62</sup> The number takes into account the questions closed for food enzymes applications until end 2020, and 4 additional question received during the year.

## (b) Status of programme and projects

**Table 64.** Programmes- Status report

Strategic Objective	EFSA Programmes	Status
<b>Architecture Transformation Programme (ART)</b>		
<ul style="list-style-type: none"> <li>- <b>Strategic Objective 1</b></li> <li>- Strategic Objective 2</li> <li>- Strategic Objective 3</li> <li>- Strategic Objective 4</li> <li>- <b>Strategic Objective 5</b></li> </ul>	To prepare EFSA for the requirements of the Transparency Regulation, which will come into force on 27 March 2021, has the double objective of driving the various changes related to processes, organisation, technology and information management needed within EFSA's new remit, and leaning EFSA's core and enabling processes	
<b>Expertise Management Programme (EMP)</b>		
<ul style="list-style-type: none"> <li>- Strategic Objective 1</li> <li>- Strategic Objective 2</li> <li>- <b>Strategic Objective 3</b></li> <li>- Strategic Objective 4</li> <li>- Strategic Objective 5</li> </ul>	To build the EU scientific assessment capacity and knowledge community and creates an environment and culture that reflect EFSA's values	
<b>Information Management Programme (IMP)</b>		
<ul style="list-style-type: none"> <li>- Strategic Objective 1</li> <li>- <b>Strategic Objective 2</b></li> <li>- Strategic Objective 3</li> <li>- Strategic Objective 4</li> <li>- Strategic Objective 5</li> </ul>	To coordinate all projects related to EFSA's information at 360 degrees: from information collection and (co)creation, to information classification and registration, from data analysis and data reporting to information sharing and re-use	
<b>Risk Assessment Methodology Programme (RAMPro)</b>		
<ul style="list-style-type: none"> <li>- Strategic Objective 1</li> <li>- Strategic Objective 2</li> <li>- Strategic Objective 3</li> <li>- <b>Strategic Objective 4</b></li> <li>- Strategic Objective 5</li> </ul>	To ensure that EFSA is prepared for present and future challenges in a dynamic food safety system, by innovating and harmonising its risk assessment methodologies	

**Table 65.** Projects and Process improvement initiatives under SO1 – Status report per expected result

<b>Strategic Objective 1</b>	
<b>Foster engagement throughout the development of scientific assessments</b>	
<b>Fit-for-purpose &amp; timely advice to RM addressing stakeholders' expectations</b>	<i>Risk assessment project</i>
<b>Stakeholders engagement in EFSA RA process</b>	<i>Relationship Management Project</i>



**Table 66.** Projects and Process improvement initiatives under SO2 – Status report per expected result

Strategic Objective 2		
<b>Adopt an Open Data approach</b>		
<b>Improved access to data</b>	<i>Open ScAIE</i>	Closed
	<i>DATA DOI</i>	Closed
<b>Improve data interoperability to facilitate data exchange</b>		
<b>Increased interoperability of data</b>	<i>Data collection and analyses on animal disease outbreaks</i>	
	<i>Interoperating 'One Health' system</i>	
	<i>DAMA 2.0</i>	
<b>Wider data coverage</b>		

**Table 67.** Projects and Process improvement initiatives under SO3 – Status report per expected result

Strategic Objective 3		
<b>Foster growth of the RA community with international organisations</b>		
<b>Building &amp; sharing capacity within the RA community at individual level</b>	<i>Talent Management Project</i>	
	<i>External Talent Pool &amp; Attraction Package Project</i>	On hold
	<i>Strategic Competencies Analysis - SCA Project</i>	
	<i>EFSA Academy</i>	On hold
<b>Review and further develop EFSA's scientific assessment model</b>		
<b>Strengthened capacity using innovative ways</b>	<i>Joining forces at EU level - Artificial Intelligence</i>	
<b>Strengthen capacity building and capacity sharing</b>		
<b>Building &amp; sharing capacity within the RA community at organisational level</b>	<i>Innovative approach for Article 36 networking</i>	Closed



**Table 68.** Projects and Process improvement initiatives under SO4 – Status report per expected result

Strategic Objective 4		
<b>Become a hub in methodologies, tools and guidance documents for RA</b>		
<b>Accessibility of EFSA methods and tools</b>	<i>EFSA Toolkit for BMD analysis</i>	
<b>Develop and implement harmonised methodologies and guidance documents for RA</b>		
	<i>Benchmark Dose Model</i>	
	<i>EFSA Framework for problem formulation</i>	
	<i>EFSA Template for protocol development</i>	
	<i>Outsourcing of the application of NGS on noroviruses</i>	
	<i>PRIMo revision 4 (Pesticide Residue Intake model)</i>	
	<i>Harmonised exposure assessment methods for food of animal origin</i>	
	<i>Update guidance on the assessment of smoke flavourings</i>	
	<i>Update Gd exposure operators, workers, residents, bystanders</i>	
	<i>In vitro comparative metabolism</i>	
	<i>OECD MetaPath: Incorporation of pesticide residue data</i>	
	<i>RUEDIS database</i>	
	<i>Adverse Outcome Pathways- endocrine disruptors</i>	



<b>Strengthen EFSA's ability to anticipate and respond to food safety risks</b>	<i>Update of the EFSA pesticides genotoxicity database</i>	
	<i>Critical appraisal forms for ecotox studies</i>	
	<i>GD on impact of water treatment processes</i>	
	<i>GD Characterise, document, explain uncertainties in RA</i>	
	<i>Develop cross-cutting guidances</i>	
	<i>SC GD appraising, integrating evidence epidemiological studies</i>	
	<i>Risk-benefit assess of fish consumption in relation to dioxins</i>	
<b>Foster use of new approaches, enhanced ability to anticipate &amp; respond to risks</b>	<i>Wild life surveillance</i>	
	<i>PLH preparedness to the risks of new plant pests</i>	
	<i>Athropod vectors</i>	
	<i>Syndromic Surveillance</i>	
	<i>Revision and update of AHAW Panel GD</i>	
	<i>WGS Umbrella</i>	
	<i>Concept paper platform landscape-based ERA</i>	
	<i>NT Lepidoptera model</i>	
	<i>Procurement on proteins with adverse effects</i>	



*PROC\_HLADQ peptide modelling 2018*



*GD environ concentrations active substances of PPP in soil*



*Integrated testing strategy - developmental neurotoxicity pest*



*Revision of the EFSA GD on RA for Birds and Mammals*



*Data collection in support of ED assess non-target organisms*

**Closed**

*Operations of the Scientific Panel on PPP and their Residues*



*Guidance on non-target terrestrial organisms*

**On hold**

*RA for metals used as active substances*



*CRA of pesticides from 2020 onwards -*



*Revision of the EFSA GD of the RA of PPP BEES*



*MUST-B*



*GD on the human, animal and environmental risk assessment*



*Scientific opinions SC overarching elements of ERA*



*Update of the 2012 SC scientific opinion on the TTC*



*Synthetic Biology*



*Scientific Committee Guidance on aneugenicity assessment*



*Identification of emerging chemical risks in food*





	<i>Capacity building for microbiome assessment</i>	
	<i>Integrating new approaches in chemical risk assessment</i>	

**Table 69.** Projects and Process improvement initiatives under SO5 – Status report per expected result

Strategic Objective 5		
Organisation & processes: improving organisational performance/capabilities		
<b>Assurance management and compliance with rules</b>	<i>Independence Policy</i>	
<b>Quality and continuous improvement</b>	<i>Records and Correspondence Management Project</i>	
<b>Results-based management</b>	<i>BIKE</i>	On hold
<b>Staying relevant in the organisational and institutional evolving context</b>	<i>Organisational Design</i>	
<b>World class environment to achieve EFSA's strategic capabilities</b>	<i>Digital collaboration</i>	
	<i>Travel Management Model</i>	
	<i>Enabling services Project</i>	

### (c) Impact - Outcome- Output indicators: Source of data

**Table 70.** Key performance indicators - Source of data and frequency of measurement

SO	Type	KPI	Frequency	Tool /Source of data <sup>63</sup>
<b>MULTIANNUAL WORK PROGRAMME</b>				
SO1	Impact	<i>Impact of media coverage</i>	Quarterly	Media Impact Analysis (MIA)
SO1	Impact	<i>Satisfaction on EFSA journal</i>	Quarterly	External provider - Wiley
SO1	Impact	<i>Satisfaction on RA process (All stakeholders; Applicants; Risk managers)</i>	Every two years	Customer/Stakeholder feedback survey
SO1	Impact	<i>Satisfaction on other communication products</i>	Every two years	Customer/Stakeholder feedback survey
SO2	Impact	<i>Satisfaction on SO2: all Stakeholders</i>	Every two years	Customer/Stakeholder feedback survey
SO3	Impact	<i>Number of Member States active in sharing RA plan</i>	Quarterly	Manual calculation
SO3	Impact	<i>Potential divergence identified before the adoption of an opinion</i>	Quarterly	Manual calculation
SO3	Impact	<i>Potential duplication identified before an activity is started</i>	Quarterly	Manual calculation
SO3	Impact	<i>Follow-up actions within 10 days of identification of potential duplication</i>	Quarterly	Manual calculation
SO3	Impact	<i>Satisfaction on SO3: (EU, international, third countries; Individual experts)</i>	Every two years	Customer/Stakeholder feedback survey
SO3	Impact	<i>Outreach of supporting publications on grants and procurement (access, citations, downloads)</i>	Quarterly	External provider - Wiley
SO4	Impact	<i>% of questions delivered within the initially agreed timelines</i>	Yearly	RAW – Register of questions
SO4	Impact	<i>% of questions for which data, expertise, methods is readily available</i>	Yearly	Manual calculation
SO4	Impact	<i>Satisfaction on SO4: (Stakeholders; EU, international, third countries; Risk Managers)</i>	Every two years	Customer/Stakeholder feedback survey
SO4	Impact	<i>Use of EFSA's guidances (article access, citations, downloads)</i>	Quarterly	Wiley
SO4	Impact	<i>Use of EFSA's tools</i>	Quarterly	R4EU
SO5	Impact	<i>Accounts are closed</i>	Yearly	Manual calculation
SO5	Impact	<i>Discharge is granted</i>	Yearly	Manual calculation
SO5	Impact	<i>Observations are followed up within the prescribed deadlines</i>	Yearly	Manual calculation
SO5	Impact	<i>Proportion of Impact, Outcome, Output KPIs reaching target</i>	Quarterly	Hyperion - Oracle Planning and Budgeting Cloud
SO5	Impact	<i>Ratio of effort (FTE) spent in operational activities</i>	Yearly	Syssper

<sup>63</sup> Tool / source of data will in some cases change in 2021 due to technological updates linked to TR implementation.

SO	Type	KPI	Frequency	Tool /Source of data <sup>63</sup>
SO5	Impact	<i>Projects: improved index (delivery on budget, on time, in scope or better)</i>	Quarterly	Manual calculation
SO1	Outcome	<i>Impact, visibility and discoverability of EFSA's scientific outputs</i>	Quarterly	External provider - Wiley
SO1	Outcome	<i>Increase followers from social media platforms</i>	Quarterly	Web-based application
SO1	Outcome	<i>Number of subscribers to online subscription products (newsletter and alerts)</i>	Quarterly	Web-based application
SO1	Outcome	<i>Traffic to EFSA web content from social media</i>	Quarterly	Web-based application
SO1	Outcome	<i>Traffic to EFSA's web content (web metrics): number of sessions</i>	Quarterly	Web-based application
SO1	Outcome	<i>Proportion of EFSA's scientific outputs with direct access to datasets/metadata</i>	Quarterly	Knowledge Junction
SO1	Outcome	<i>Social interactions</i>	Quarterly	Web-based application
SO1	Outcome	<i>Number of public consultation comments received</i>	Yearly	Manually
SO1	Outcome	<i>Survey feedback from SEA members on EFSA's engagement activities</i>	Every three years	Survey with SEA members
SO2	Outcome	<i>Data quality index</i>	Yearly	Data Warehouse
SO2	Outcome	<i>Increased maturity in data interoperability : EIF/IMM index</i>	Yearly	Manual calculation
SO2	Outcome	<i>Number of data collection dashboards/aggregates published</i>	Quarterly	EU Open Data Portal, EFSA website
SO2	Outcome	<i>Number of publicly accessible data collections with no data aggreg. from EFSA</i>	Quarterly	Data Warehouse
SO2	Outcome	<i>User statistics from the data warehouse</i>	Quarterly	Data Warehouse
SO2	Outcome	<i>User statistics from the evidence hub</i>	Quarterly	tracking of data re-use through DOIs/ Microstrategy
SO3	Outcome	<i>Balance of applicants in terms of age, gender, and geography</i>	Every three years	Taleo
SO3	Outcome	<i>Elapsed time to hire (in months) working group experts</i>	Yearly	Taleo
SO3	Outcome	<i>Number of applicants (total and eligible), in total for the Panel renewals</i>	Every three years	Taleo
SO3	Outcome	<i>Application rate for EFSA's open calls</i>	Yearly	e-Submission of procurement
SO3	Outcome	<i>Number of Article 36 organisations applying to EFSA grants</i>	Yearly	Manual calculation
SO3	Outcome	<i>Number of joint activities with international partners under coop. agreements</i>	Quarterly	Manual calculation
SO3	Outcome	<i>Number of joint projects awarded in the reporting period</i>	Quarterly	Manual calculation
SO3	Outcome	<i>Number of Member States that have participated in joint projects</i>	Quarterly	Manual calculation
SO3	Outcome	<i>Number of partners that have participated in joint projects</i>	Quarterly	Manual calculation

SO	Type	KPI	Frequency	Tool /Source of data <sup>63</sup>
SO3	Outcome	Number of priority areas in the EU RAA covered	Quarterly	Manual calculation
SO3	Outcome	Number of projects not funded primarily by EFSA	Yearly	Manual calculation
SO3	Outcome	Number of research projects (EU/international) to which EFSA is participating	Yearly	Manual calculation
SO4	Outcome	Number of capabilities included in implementation plan further developed	Yearly	Manual calculation
SO5	Outcome	% of tele-meetings (experts & networks) over total meetings	Quarterly	MOS
SO5	Outcome	Social collaboration platforms (staff, experts, networks)	Quarterly	Web-based application
SO5	Outcome	Competence management maturity level via compliance with ESCO	Every three years	Sysper
SO5	Outcome	Management feedback survey (Leadership, Line Management)	Yearly	Management Feedback Survey
SO5	Outcome	Occupancy rate (%) Statutory staff (EFSA baseline only; TR new hires) year average	Quarterly	Sysper and manual calculation
SO5	Outcome	Staff Engagement Survey (Engagement, Favourable, Organisational awareness/commitment)	Every two years	Staff Engagement Survey
SO5	Outcome	Number of 'critical', 'significant' or 'very important' findings	Quarterly	Manual calculation
SO5	Outcome	Performance based management maturity level	Yearly	Manual calculation
SO5	Outcome	World class IT maturity level service compliance and satisfaction	Yearly	Manual calculation

#### ANNUAL WORK PROGRAMME

SO1	Output	Number of media enquiries addressed within agreed deadlines	Quarterly	Manual calculation
SO1	Output	Number of public consultations on EFSA outputs	Quarterly	RAW- Register of questions
SO1	Output	Number of service catalogue activities with applicants	Quarterly	RAW – Register of questions (APDESK meetings database)
SO1	Output	Number of stakeholders' enquiries addressed within agreed deadlines	Quarterly	Manual calculation
SO1	Output	Percentage of positive feedback on regulated product opinions from applicants	Quarterly	Survey
SO1	Output	Positive feedback from engagement activities with registered stakeholders	Quarterly	Survey
SO1	Output	Proportion of scientific outputs delivered within 28 working days of adoption	Quarterly	Manual calculation
SO1	Output	Reduction of bulk evaluation for MRL Art.12	Quarterly	RAW- Register of questions
SO1	Output	Total number of registered stakeholders	Quarterly	Manual calculation
SO1-SO4	Output	Number of questions delivered for "other publication" (external reports, event reports)	Quarterly	RAW- Register of questions
SO1-SO4	Output	Number of questions delivered for scientific output/technical report	Quarterly	RAW- Register of questions



SO	Type	KPI	Frequency	Tool /Source of data <sup>63</sup>
SO1-SO4	Output	<i>Proportion of scientific/technical questions adopted within deadline</i>	Quarterly	RAW- Register of questions
SO2	Output	<i>Number of new tools</i>	Quarterly	Manual calculation
SO3	Output	<i>Number of cooperation agreements with international/non-EU country organisations</i>	Quarterly	Manual calculation
SO3	Output	<i>Number of international cooperation activities (meetings, events, missions)</i>	Quarterly	Manual calculation
SO3	Output	<i>Number of MS cooperation activities</i>	Quarterly	Manual calculation
SO5	Output	<i>Commitment execution; Payment execution (differentiated and non-differentiated credits)</i>	Quarterly	ABAC
SO5	Output	<i>Service Delivery Index</i>	Quarterly	Survey



# Annex II. Statistics on financial management

## (a) Budget execution

**Table 71.** Expenditures

Title Chapter Article Item	Heading 2020	Initial com- mitment ap- propriations	Amended budget	Current com- mitment ap- propriations	Commit- ment execu- tion	% com- mitted	Initial pay- ment ap- propriations	Amended budget	Current payment appropriations	Payment execution	% pai- d
<b>1</b>	<b>STAFF</b>										
11	STAFF EXPENDITURE										
<b>110</b>	<b><i>Salaries and allowances</i></b>										
1100	Salaries and allowances of staff provided for in establishment plan	33,157,000.00	33,157,000.00	33,002,657.65	33,002,657.65	100 %	33,157,000.00	33,157,000.00	33,002,657.65	33,002,657.65	100 %
1104	Entitlements on Entering and Leaving the Service	320,000.00	320,000.00	227,179.97	227,179.97	100 %	320,000.00	320,000.00	227,179.97	227,179.97	100 %
Article 110 - Total		33,477,000.00	33,477,000.00	33,229,837.62	33,229,837.62	100 %	33,477,000.00	33,477,000.00	33,229,837.62	33,229,837.62	100 %
<b>111</b>	<b><i>Other staff</i></b>										
1113	Stagiaires	1,064,000.00	1,014,924.33	976,404.34	976,404.34	100 %	1,064,000.00	1,014,924.33	976,404.34	976,404.34	100 %
1115	Contract staff	7,047,000.00	7,047,000.00	6,956,130.17	6,956,130.17	100 %	7,047,000.00	7,047,000.00	6,956,130.17	6,956,130.17	100 %
1116	Visiting experts, National Experts on Detachment	810,000.00	770,000.00	735,697.83	735,697.83	100 %	810,000.00	770,000.00	735,697.83	735,171.83	100 %
1117	Authority officials temporarily assigned to national civil services, to international organisations or to public or private institutions	0.00	0.00	0.00	0.00	0%	0.00	0.00	0.00	0.00	0% 0.00
Article 111 - Total		8,921,000.00	8,831,924.33	8,668,232.34	8,668,232.34	100 %	8,921,000.00	8,831,924.33	8,668,232.34	8,667,706.34	100 %
<b>112</b>	<b><i>Interim staff</i></b>										
1120	Interim services	2,000,000.00	2,000,000.00	2,694,608.32	2,694,608.32	100 %	2,000,000.00	2,000,000.00	2,694,608.32	2,255,653.49	84 %
Article 112 - Total		2,000,000.00	2,000,000.00	2,694,608.32	2,694,608.32	100 %	2,000,000.00	2,000,000.00	2,694,608.32	2,255,653.49	84 %
<b>113</b>	<b><i>Establishment or maintenance of pension rights for temporary staff</i></b>										
1133	Establishment or maintenance of pension rights for temporary staff	0.00	0.00	0.00	0.00	0%	0.00	0.00	0.00	0.00	0%



Title Chapter Article Item	Heading 2020	Initial com- mitment ap- propriations	Amended budget	Current commit- ment ap- propriations	Commit- ment exe- cution	% com- mitted	Initial pay- ment ap- propriations	Amended budget	Current payment appropri- ations	Payment execution	% paid
	Article 113 - Total	0.00	0.00	0.00	0.00	0%	0.00	0.00	0.00	0.00	0%
	CHAPTER 11 - TOTAL	44,398,000.00	44,308,924.33	44,592,678.28	44,592,678.28	100%	44,398,000.00	44,308,924.33	44,592,678.28	44,153,197.45	99%
CHAPTER 12  <b>120</b>	EXPENDITURE RELATING TO STAFF RECRUITMENT  <i>Expenditure relating to Staff recruitment</i>										
1200	Miscellaneous expenditure on recruitment	172,000.00	150,500.00	148,201.71	148,201.71	100%	172,000.00	150,500.00	148,201.71	134,601.14	91%
	Article 120 - Total	172,000.00	150,500.00	148,201.71	148,201.71	100%	172,000.00	150,500.00	148,201.71	134,601.14	91%
	CHAPTER 12 - TOTAL	172,000.00	150,500.00	148,201.71	148,201.71	100%	172,000.00	150,500.00	148,201.71	134,601.14	91%
CHAPTER 13  <b>130</b>	MISSIONS AND DUTY TRAVEL  <i>Missions and travel ex- penses</i>										
1300	Missions and travel ex- penses	250,000.00	29,183.49	19,159.49	19,159.49	100%	250,000.00	29,183.49	19,159.49	19,159.49	100%
1301	Shuttles for missions and duty	60,000.00	8,597.44	5,597.44	5,597.44	100%	60,000.00	8,597.44	5,597.44	5,597.44	100%
	Article 130 - Total	310,000.00	37,780.93	24,756.93	24,756.93	100%	310,000.00	37,780.93	24,756.93	24,756.93	100%
	CHAPTER 13 - TOTAL	310,000.00	37,780.93	24,756.93	24,756.93	100%	310,000.00	37,780.93	24,756.93	24,756.93	100%
CHAPTER 14  <b>141</b>	SOCIOMEDICAL INFRA- STRUCTURE  <i>Medical service</i>										
1410	Medical service	240,000.00	240,000.00	234,501.00	234,501.00	100%	240,000.00	240,000.00	234,501.00	206,587.29	88%
	Article 141 - Total	240,000.00	240,000.00	234,501.00	234,501.00	100%	240,000.00	240,000.00	234,501.00	206,587.29	88%
	CHAPTER 14 - TOTAL	240,000.00	240,000.00	234,501.00	234,501.00	100%	240,000.00	240,000.00	234,501.00	206,587.29	88%
CHAPTER 15  <b>150</b>	TRAINING  <i>Training, language courses and retraining for staff</i>										
1500	Further training, language courses and retraining for staff	500,000.00	300,000.00	293,855.90	293,855.90	100%	500,000.00	300,000.00	293,855.90	231,089.58	79%
	Article 150 - Total	500,000.00	300,000.00	293,855.90	293,855.90	100%	500,000.00	300,000.00	293,855.90	231,089.58	79%
	CHAPTER 15 - TOTAL	500,000.00	300,000.00	293,855.90	293,855.90	100%	500,000.00	300,000.00	293,855.90	231,089.58	79%
CHAPTER 16	SOCIAL WELFARE										



Title Chapter Article Item	Heading 2020	Initial com- mitment ap- propriations	Amended budget	Current commit- ment ap- propriations	Commit- ment exe- cution	% com- mitted	Initial pay- ment ap- propriations	Amended budget	Current payment appropri- ations	Payment execution	% paid
<b>160</b>	<b><i>Special assistance grants, other interventions and complementary aid for disabled</i></b>										
1600	Special assistance grants, other interventions and complementary aid for disabled	10,000.00	10,000.00	2,967.69	2,967.69	100 %	10,000.00	10,000.00	2,967.69	2,967.69	100 %
	Article 160 - Total	10,000.00	10,000.00	2,967.69	2,967.69	100 %	10,000.00	10,000.00	2,967.69	2,967.69	100 %
<b>161</b>	<b><i>Social contacts between staff</i></b>										
1610	Social contacts between staff	35,000.00	6,000.00	1,280.00	1,280.00	100 %	35,000.00	6,000.00	1,280.00	1,280.00	100 %
	Article 161 - Total	35,000.00	6,000.00	1,280.00	1,280.00	100 %	35,000.00	6,000.00	1,280.00	1,280.00	100 %
<b>161</b>	<b><i>Early childhood centres and other creches</i></b>										
1630	Early childhood centres, creches and EU school contribution	1,410,000.00	1,410,000.00	1,757,917.08	1,757,917.08	100 %	1,410,000.00	1,410,000.00	1,757,917.08	1,730,597.08	98 %
	Article 161 - Total	1,410,000.00	1,410,000.00	1,757,917.08	1,757,917.08	100 %	1,410,000.00	1,410,000.00	1,757,917.08	1,730,597.08	98 %
	CHAPTER 16 - TOTAL	1,455,000.00	1,426,000.00	1,762,164.77	1,762,164.77	100 %	1,455,000.00	1,426,000.00	1,762,164.77	1,734,844.77	98 %
<b>18</b>	<b>EXTERNAL SERVICES</b>										
<b>180</b>	<b><i>External services</i></b>										
1800	Translation and interpretation	100,000.00	100,000.00	26,544.75	26,544.75	100 %	100,000.00	100,000.00	26,544.75	26,544.75	100 %
1801	Payment for administrative assistance from the Community institutions	272,000.00	272,000.00	252,000.00	252,000.00	100 %	272,000.00	272,000.00	252,000.00	222,746.97	88 %
1802	Consultancy and HR services	605,000.00	586,500.00	16,380.00	16,380.00	100 %	605,000.00	586,500.00	16,380.00	0.00	0 %
1803	Other services	454,000.00	336,544.48	228,773.69	228,773.69	100 %	454,000.00	336,544.48	228,773.69	178,430.01	78 %
	Article 180 - Total	1,431,000.00	1,295,044.48	523,698.44	523,698.44	100 %	1,431,000.00	1,295,044.48	523,698.44	427,721.73	82 %
	CHAPTER 18 - TOTAL	1,431,000.00	1,295,044.48	523,698.44	523,698.44	100 %	1,431,000.00	1,295,044.48	523,698.44	427,721.73	82 %
	<b>TITLE 1 - TOTAL</b>	<b>48,506,000.00</b>	<b>47,758,249.74</b>	<b>47,579,857.03</b>	<b>47,579,857.03</b>	<b>100 %</b>	<b>48,506,000.00</b>	<b>47,758,249.74</b>	<b>47,579,857.03</b>	<b>46,912,798.89</b>	<b>99 %</b>
<b>2</b>	<b>BUILDINGS, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE LINKED TO AUTHORITY</b>										
20	INVESTMENTS IN IMMOVABLE PROPERTY, RENTAL OF BUILDING AND ASSOCIATED COSTS										
<b>200</b>	<b><i>Building</i></b>										
2000	Rent	90,000.00	90,000.00	32,899.46	32,899.46	100 %	90,000.00	90,000.00	32,899.46	32,899.46	100 %



Title Chapter Article Item	Heading 2020	Initial com- mitment ap- propriations	Amended budget	Current commit- ment ap- propriations	Commit- ment exe- cution	% com- mitted	Initial pay- ment ap- propriations	Amended budget	Current payment appropri- ations	Payment execution	% paid
2001	Acquisition	1,675,000.00	1,706,357.80	1,904,469.07	1,904,469.07	100 %	1,675,000.00	1,706,357.80	1,904,469.07	1,676,359.72	88 %
2002	Studies and technical assistance in connection with building projects	690,000.00	690,000.00	608,587.43	608,587.43	100 %	690,000.00	690,000.00	608,587.43	526,315.93	86 %
2003	Refurbishment of premises/fitting out	1,278,053.00	1,154,952.16	618,883.46	618,883.46	100 %	1,278,053.00	1,154,952.16	618,883.46	582,776.49	94 %
	Article 200 - Total	3,733,053.00	3,641,309.96	3,164,839.42	3,164,839.42	100 %	3,733,053.00	3,641,309.96	3,164,839.42	2,818,351.60	89 %
<b>202</b>	<b><i>Expenditure on buildings</i></b>										
2020	Water, gas, electricity and heating	530,000.00	390,000.00	355,831.28	355,831.28	100 %	530,000.00	390,000.00	355,831.28	280,744.93	79 %
2021	Cleaning and maintenance	673,000.00	653,000.00	646,751.71	646,751.71	100 %	673,000.00	653,000.00	646,751.71	583,897.03	90 %
2023	Security and surveillance of buildings	731,000.00	713,000.00	693,132.57	693,132.57	100 %	731,000.00	713,000.00	693,132.57	588,873.07	85 %
2024	Insurance	35,000.00	35,000.00	26,210.64	26,210.64	100 %	35,000.00	35,000.00	26,210.64	26,210.64	100 %
2025	Other expenditure on buildings	850,000.00	694,738.20	492,532.43	492,532.43	100 %	850,000.00	694,738.20	492,532.43	449,979.79	91 %
	Article 202 - Total	2,819,000.00	2,485,738.20	2,214,458.63	2,214,458.63	100 %	2,819,000.00	2,485,738.20	2,214,458.63	1,929,705.46	87 %
	CHAPTER 20 - TOTAL	6,552,053.00	6,127,048.16	5,379,298.05	5,379,298.05	100 %	6,552,053.00	6,127,048.16	5,379,298.05	4,748,057.06	88 %
<b>21</b>	<b>INFORMATION TECHNOLOGY AND EXPENDITURE ON DATA PROCESSING</b>										
<b>210</b>	<b><i>Purchase and maintenance of IT for administration and non-operational</i></b>										
2100	Purchase and maintenance of IT equipment and standard software	3,295,797.00	3,295,797.00	4,381,827.21	4,369,783.80	100 %	3,295,797.00	3,295,797.00	4,381,827.21	2,889,929.86	66 %
2103	External services for the operation, implementation and maintenance of software and user support	2,412,000.00	2,278,749.74	2,455,763.48	2,455,763.48	100 %	2,412,000.00	2,278,749.74	2,455,763.48	1,305,000.10	53 %
	Article 210 - Total	5,707,797.00	5,574,546.74	6,837,590.69	6,825,547.28	100 %	5,707,797.00	5,574,546.74	6,837,590.69	4,194,929.96	61 %
	CHAPTER 21 - TOTAL	5,707,797.00	5,574,546.74	6,837,590.69	6,825,547.28	100 %	5,707,797.00	5,574,546.74	6,837,590.69	4,194,929.96	61 %
<b>22</b>	<b>MOVABLE PROPERTY AND ASSOCIATED COSTS</b>										
<b>220</b>	<b><i>Technical equipment and installations</i></b>										
2200	Technical equipment and installations	125,000.00	67,820.35	54,337.89	54,337.89	100 %	125,000.00	67,820.35	54,337.89	54,337.89	100 %
	Article 220 - Total	125,000.00	67,820.35	54,337.89	54,337.89	100 %	125,000.00	67,820.35	54,337.89	54,337.89	100 %
<b>221</b>	<b><i>Furniture</i></b>										



Title Chapter Article Item	Heading 2020	Initial com- mitment ap- propriations	Amended budget	Current commit- ment ap- propriations	Commit- ment exe- cution	% com- mitted	Initial pay- ment ap- propriations	Amended budget	Current payment appropri- ations	Payment execution	% paid
2210	Furniture	409,669.00	409,669.00	272,069.14	272,069.14	100 %	409,669.00	409,669.00	272,069.14	259,336.34	95 %
	Article 221 - Total	409,669.00	409,669.00	272,069.14	272,069.14	100 %	409,669.00	409,669.00	272,069.14	259,336.34	95 %
	CHAPTER 22 - TOTAL	534,669.00	477,489.35	326,407.03	326,407.03	100 %	534,669.00	477,489.35	326,407.03	313,674.23	96 %
23 230	CURRENT ADMINISTRATIVE EXPENDITURE <i>Stationery and office supplies</i>										
2300	Stationery and office supplies	56,500.00	16,500.00	16,499.95	16,499.95	100 %	56,500.00	16,500.00	16,499.95	10,296.84	62 %
	Article 230 - Total	56,500.00	16,500.00	16,499.95	16,499.95	100 %	56,500.00	16,500.00	16,499.95	10,296.84	62 %
232	<b><i>Financial charges</i></b>										
2320	Bank and other financial charges	1,000.00	1,000.00	350.00	350.00	100 %	1,000.00	1,000.00	350.00	163.00	47 %
	Article 232 - Total	1,000.00	1,000.00	350.00	350.00	100 %	1,000.00	1,000.00	350.00	163.00	47 %
233	<b><i>Legal expenses</i></b>										
2330	Legal expenses and damages	220,000.00	220,000.00	137,020.00	137,020.00	100 %	220,000.00	220,000.00	137,020.00	24,520.00	18 %
	Article 233 - Total	220,000.00	220,000.00	137,020.00	137,020.00	100 %	220,000.00	220,000.00	137,020.00	24,520.00	18 %
235	<b><i>Other operating expenditure</i></b>										
2350	Miscellaneous insurance	9,000.00	9,000.00	3,850.00	3,850.00	100 %	9,000.00	9,000.00	3,850.00	2,691.35	70 %
	Article 235 - Total	9,000.00	9,000.00	3,850.00	3,850.00	100 %	9,000.00	9,000.00	3,850.00	2,691.35	70 %
239	<b><i>Publications</i></b>										
2390	Publications	11,000.00	11,000.00	7,500.00	7,500.00	100 %	11,000.00	11,000.00	7,500.00	7,500.00	100 %
	Article 239 - Total	11,000.00	11,000.00	7,500.00	7,500.00	100 %	11,000.00	11,000.00	7,500.00	7,500.00	100 %
	CHAPTER 23 - TOTAL	297,500.00	257,500.00	165,219.95	165,219.95	100 %	297,500.00	257,500.00	165,219.95	45,171.19	27 %
24 240	POSTAL CHARGES AND TELECOMMUNICATIONS <i>Postal charges and telecommunications</i>										
2400	Postal charges and telecommunications	228,660.00	228,660.00	184,801.37	184,801.37	100 %	228,660.00	228,660.00	184,801.37	140,754.69	76 %
	Article 240 - Total	228,660.00	228,660.00	184,801.37	184,801.37	100 %	228,660.00	228,660.00	184,801.37	140,754.69	76 %
	CHAPTER 24 - TOTAL	228,660.00	228,660.00	184,801.37	184,801.37	100 %	228,660.00	228,660.00	184,801.37	140,754.69	76 %



Title Chapter Article Item	Heading 2020	Initial com- mitment ap- propriations	Amended budget	Current commit- ment ap- propriations	Commit- ment exe- cution	% com- mitted	Initial pay- ment ap- propriations	Amended budget	Current payment appropri- ations	Payment execution	% paid
25	GOVERNANCE EXPENDI- TURES										
<b>250</b>	<b><i>Governance expendi- tures</i></b>										
2500	Management Board meet- ings	80,000.00	80,000.00	30,319.87	30,319.87	100 %	80,000.00	80,000.00	30,319.87	17,944.87	59 %
	Article 250 - Total	80,000.00	80,000.00	30,319.87	30,319.87	100 %	80,000.00	80,000.00	30,319.87	17,944.87	59 %
	CHAPTER 25 - TOTAL	80,000.00	80,000.00	30,319.87	30,319.87	100 %	80,000.00	80,000.00	30,319.87	17,944.87	59 %
	<b>TITLE 2 - TOTAL</b>	<b>13,400,679. 00</b>	<b>12,745,244. 25</b>	<b>12,923,636. 96</b>	<b>12,911,593. 55</b>	<b>100 %</b>	<b>13,400,679. 00</b>	<b>12,745,24 4.25</b>	<b>12,923,63 6.96</b>	<b>9,460,532. 00</b>	<b>73 %</b>
<b>3</b>	<b>OPERATING EXPENDITURE LINKED TO AUTHORITY</b>										
30	SCIENTIFIC EVALUATION OF REGULATED PRODUCTS										
<b>302</b>	<b><i>REPRO Experts Meet- ings</i></b>										
3020	REPRO Experts Meetings	5,749,444.00	5,349,082.00	5,248,725.61	5,248,725.61	100 %	5,749,444.00	5,349,082.0 0	5,248,725.6 1	5,160,618.0 8	98 %
3020-APDESK	APDESK: Experts meetings	30,436.00	5,500.00	4,500.00	4,500.00	100 %	30,436.00	5,500.00	4,500.00	4,500.00	100 %
3020-FEED	FEED: Experts meetings	1,145,837.00	1,078,837.00	880,837.00	880,837.00	100 %	1,145,837.00	1,078,837.0 0	880,837.00	880,594.50	100 %
3020-FIP	FIP: Experts meetings	1,981,935.00	1,931,935.00	2,112,273.56	2,112,273.56	100 %	1,981,935.00	1,931,935.0 0	2,112,273.5 6	2,077,376.5 2	98 %
3020-GMO	GMO: Experts meetings	703,972.00	665,546.00	557,773.62	557,773.62	100 %	703,972.00	665,546.00	557,773.62	551,248.62	99 %
3020-NUTRI	NUTRI: Experts meetings	751,954.00	751,954.00	939,922.00	939,922.00	100 %	751,954.00	751,954.00	939,922.00	909,909.59	97 %
3020-PRES	PRES: Experts meetings	35,807.00	35,807.00	53,627.00	53,627.00	100 %	35,807.00	35,807.00	53,627.00	53,627.00	100 %
3020-PREV	PREV: Expert meetings	1,099,503.00	879,503.00	699,792.43	699,792.43	100 %	1,099,503.00	879,503.00	699,792.43	683,361.85	98 %
	Article 302 - Total	5,749,444.00	5,349,082.00	5,248,725.61	5,248,725.61	100 %	5,749,444.00	5,349,082.0 0	5,248,725.6 1	5,160,618.0 8	98 %
	CHAPTER 30 - TOTAL	5,749,444.00	5,349,082.00	5,248,725.61	5,248,725.61	100 %	5,749,444.00	5,349,082.0 0	5,248,725.6 1	5,160,618.0 8	98 %
<b>31</b>	<b>RISK ASSESSMENT AND SCIENTIFIC ASSIS- TANCE</b>										
<b>312</b>	<b><i>RASA Experts Meetings</i></b>										
3120	RASA Experts Meetings	4,898,090.00	4,898,090.00	5,065,434.58	5,065,434.58	100 %	4,898,090.00	4,898,090.0 0	5,065,434.5 8	4,952,646.4 1	98 %
3120-ALPHA	ALPHA: Experts meetings	1,839,603.00	1,839,603.00	2,388,337.56	2,388,337.56	100 %	1,839,603.00	1,839,603.0 0	2,388,337.5 6	2,313,687.8 0	97 %
3120-AMU	AMU: Experts meetings	8,952.00	8,952.00	0.00	0.00	0%	8,952.00	8,952.00	0.00	0.00	0%
3120-BIO- CONTAM	BIOCONTAM: Experts meetings	1,898,865.00	1,898,865.00	1,646,598.00	1,646,598.00	100 %	1,898,865.00	1,898,865.0 0	1,646,598.0 0	1,618,472.0 9	98 %



Title Chapter Article Item	Heading 2020	Initial com- mitment ap- propriations	Amended budget	Current commit- ment ap- propriations	Commit- ment exe- cution	% com- mitted	Initial pay- ment ap- propriations	Amended budget	Current payment appropri- ations	Payment execution	% paid
3120-DATA	DATA: Experts meetings	107,422.00	107,422.00	1,570.45	1,570.45	100 %	107,422.00	107,422.00	1,570.45	1,570.45	100 %
3120-SCER	SCER: Experts meetings	1,043,248.00	1,043,248.00	1,028,928.57	1,028,928.57	100 %	1,043,248.00	1,043,248.00	1,028,928.57	1,018,916.07	99 %
	Article 312 - Total	4,898,090.00	4,898,090.00	5,065,434.58	5,065,434.58	100 %	4,898,090.00	4,898,090.00	5,065,434.58	4,952,646.41	98 %
<b>313</b>	<b><i>Crisis support</i></b>										
3130	Crisis support	0.00	0.00	0.00	0.00	0%	0.00	0.00	0.00	0.00	0%
	Article 313 - Total	0.00	0.00	0.00	0.00	0%	0.00	0.00	0.00	0.00	0%
	CHAPTER 31 - TOTAL	4,898,090.00	4,898,090.00	5,065,434.58	5,065,434.58	100 %	4,898,090.00	4,898,090.00	5,065,434.58	4,952,646.41	98 %
32	EFSA SCIENTIFIC COOP- ERATION										
<b>321</b>	<b><i>EFSA Grants &amp; Procure- ment</i></b>										
3210	EFSA Grants & Procure- ment	11,489,899.00	11,489,899.00	11,877,299.41	11,877,086.00	100 %	7,286,004.00	7,286,004.00	7,673,404.41	7,668,868.89	100 %
	Article 321 - Total	11,489,899.00	11,489,899.00	11,877,299.41	11,877,086.00	100 %	7,286,004.00	7,286,004.00	7,673,404.41	7,668,868.89	100 %
<b>322</b>	<b><i>Scientific Cooperation meetings</i></b>										
3220	Scientific Cooperation meetings	225,586.00	22,916.21	14,372.26	14,372.26	100 %	225,586.00	22,916.21	14,372.26	14,372.26	100 %
	Article 322 - Total	225,586.00	22,916.21	14,372.26	14,372.26	100 %	225,586.00	22,916.21	14,372.26	14,372.26	100 %
<b>323</b>	<b><i>Risk Communication</i></b>										
3230	Risk Communication, Web management, communica- tion activities and materi- als	0.00	0.00	1,932.80	1,932.80	100 %	0.00	0.00	1,932.80	0.00	0%
	Article 323 - Total	0.00	0.00	1,932.80	1,932.80	100 %	0.00	0.00	1,932.80	0.00	0%
	CHAPTER 32 - TOTAL	11,715,485.00	11,512,815.21	11,893,604.47	11,893,391.06	100 %	7,511,590.00	7,308,920.21	7,689,709.47	7,683,241.15	100 %
34	COMMUNICATIONS										
<b>341</b>	<b><i>Risk Communication</i></b>										
3410	Risk Communication, Web management, communica- tion activities and materi- als	2,489,000.00	2,405,250.00	2,553,817.77	2,553,817.77	100 %	2,489,000.00	2,405,250.00	2,553,817.77	2,076,848.24	81 %
	Article 341 - Total	2,489,000.00	2,405,250.00	2,553,817.77	2,553,817.77	100 %	2,489,000.00	2,405,250.00	2,553,817.77	2,076,848.24	81 %
<b>342</b>	<b><i>External Relations</i></b>										



Title Chapter Article Item	Heading 2020	Initial com- mitment ap- propriations	Amended budget	Current commit- ment ap- propriations	Commit- ment exe- cution	% com- mitted	Initial pay- ment ap- propriations	Amended budget	Current payment appropri- ations	Payment execution	% paid
3420	External Relations	1,005,000.00	991,204.17	217,453.57	217,453.57	100 %	1,005,000.00	991,204.17	217,453.57	178,590.74	82 %
	Article 342 - Total	1,005,000.00	991,204.17	217,453.57	217,453.57	100 %	1,005,000.00	991,204.17	217,453.57	178,590.74	82 %
	CHAPTER 34 - TOTAL	3,494,000.00	3,396,454.17	2,771,271.34	2,771,271.34	100 %	3,494,000.00	3,396,454.17	2,771,271.34	2,255,438.98	81 %
35 <b>350</b>	HORIZONTAL OPERATIONAL SUPPORT <i>Operational IT Systems</i>										
3500	Operational IT Systems	11,996,200.00	11,913,474.16	13,934,500.76	13,923,989.49	100 %	11,996,200.00	11,913,474.16	13,934,500.76	8,743,928.50	63 %
3501	Multiannual operational IT projects	0.00	0.00	0.00	0.00	0%	60,400.00	60,400.00	60,400.00	60,400.00	0%
	Article 350 - Total	11,996,200.00	11,913,474.16	13,934,500.76	13,923,989.49	100 %	12,056,600.00	11,973,874.16	13,994,900.76	8,804,328.50	63 %
<b>351</b>	<i>Operational support</i>										
3511	Translation, Interpretation, Linguistic Proofreading and Editing	190,000.00	190,000.00	152,500.00	152,500.00	100 %	190,000.00	190,000.00	152,500.00	144,285.18	95 %
3512	Library	620,000.00	620,000.00	633,703.29	633,703.29	100 %	620,000.00	620,000.00	633,703.29	562,706.23	89 %
3513	Mission of staff related to operational duties	900,000.00	110,123.14	75,488.52	75,488.52	100 %	900,000.00	110,123.14	75,488.52	75,488.52	100 %
3514	Shuttles and prepaid travels for experts and shuttle for staff related to operational duties	2,050,000.00	446,701.23	251,701.23	251,701.23	100 %	2,050,000.00	446,701.23	251,701.23	251,701.23	100 %
3515	Catering	50,000.00	6,328.65	4,119.21	4,119.21	100 %	50,000.00	6,328.65	4,119.21	4,027.41	98 %
	Article 351 - Total	3,810,000.00	1,373,153.02	1,117,512.25	1,117,512.25	100 %	3,810,000.00	1,373,153.02	1,117,512.25	1,038,208.57	93 %
<b>352</b>	<i>Conference &amp; outreach</i>										
3520	Conferences, outreach and representation cost	1,095,000.00	751,693.25	573,312.14	573,312.14	100 %	1,095,000.00	751,693.25	573,312.14	396,991.89	69 %
	Article 352 - Total	1,095,000.00	751,693.25	573,312.14	573,312.14	100 %	1,095,000.00	751,693.25	573,312.14	396,991.89	69 %
<b>353</b>	<i>Operational development, control and quality</i>										
3530	Operational Development, Control and Quality	3,325,000.00	3,325,000.00	1,915,400.66	1,915,400.66	100 %	3,325,000.00	3,325,000.00	1,915,400.66	757,437.55	40 %
	Article 353 - Total	3,325,000.00	3,325,000.00	1,915,400.66	1,915,400.66	100 %	3,325,000.00	3,325,000.00	1,915,400.66	757,437.55	40 %
	CHAPTER 35 - TOTAL	20,226,200.00	17,363,320.43	17,540,725.81	17,530,214.54	100 %	20,286,600.00	17,423,720.43	17,601,125.81	10,996,966.51	62 %
	<b>TITLE 3 - TOTAL</b>	<b>46,083,219.00</b>	<b>42,519,761.81</b>	<b>42,519,761.81</b>	<b>42,509,037.13</b>	<b>100 %</b>	<b>41,939,724.00</b>	<b>38,376,266.81</b>	<b>38,376,266.81</b>	<b>31,048,911.13</b>	<b>81 %</b>



Title Chapter Article Item GRAND TO- TAL	Heading 2020	Initial com- mitment ap- propriations 107,989,898 .00	Amended budget 103,023,25 5.80	Current commit- ment ap- propriations 103,023,25 5.80	Commit- ment exe- cution 103,000,48 7.71	% com- mitted 100 %	Initial pay- ment ap- propriations 103,846,40 3.00	Amended budget 98,879,76 0.80	Current payment appropri- ations 98,879,76 0.80	Payment execution 87,422,24 2.02	% paid 88 %

### (b). number and value of Budget transfers

**Table 72.** Budget Transfers January – December 2020

Title Chapter Article Item	Budget Headings	Commitment and payment appropriations 2020			
		Initial	Amended budget	Transfers	Current
1	STAFF				
11	STAFF EXPENDITURE				
110	Salaries and allowances				
1100	Salaries and allowances of staff provided for in establishment plan	33,157,000.00	33,157,000.00	-154,342.35	33,002,657.65
1104	Entitlements on Entering and Leaving the Service	320,000.00	320,000.00	-92,820.03	227,179.97
	tot. of 110	33,477,000.00	33,477,000.00	-247,162.38	33,229,837.62
111	Other staff				
1113	Stagiaires	1,064,000.00	1,014,924.33	-38,519.99	976,404.34
1115	Contract staff	7,047,000.00	7,047,000.00	-90,869.83	6,956,130.17
1116	Visiting experts, National Experts on Detachment	810,000.00	770,000.00	-34,302.17	735,697.83
1117	Authority officials temporarily assigned to national civil services, to international organisations or to public or private institutions	0.00	0.00	0.00	0.00
	tot. of 111	8,921,000.00	8,831,924.33	-163,691.99	8,668,232.34
112	Interim staff				
1120	Interim services	2,000,000.00	2,000,000.00	694,608.32	2,694,608.32
	tot. of 112	2,000,000.00	2,000,000.00	694,608.32	2,694,608.32
113	Establishment or maintenance of pension rights for temporary staff				
1133	Establishment or maintenance of pension rights for temporary staff	0.00	0.00	0.00	0.00
	tot. of 113	0.00	0.00	0.00	0.00
	tot. of 11	44,398,000.00	44,308,924.33	283,753.95	44,592,678.28
12	EXPENDITURE RELATING TO STAFF RECRUITMENT				



Title Chapter Article Item	Budget Headings	Commitment and payment appropriations 2020			
		Initial	Amended budget	Transfers	Current
120	<b>Expenditure relating to Staff recruitment</b>				
1200	Miscellaneous expenditure on recruitment	172,000.00	150,500.00	-2,298.29	148,201.71
	tot. of 120	172,000.00	150,500.00	-2,298.29	148,201.71
	tot. of 12	172,000.00	150,500.00	-2,298.29	148,201.71
13	<b>MISSIONS AND DUTY TRAVEL</b>				
130	<b>Missions and travel expenses</b>				
1300	Missions and travel expenses	250,000.00	29,183.49	-10,024.00	19,159.49
1301	Shuttles for missions and duty	60,000.00	8,597.44	-3,000.00	5,597.44
	tot. of 130	310,000.00	37,780.93	-13,024.00	24,756.93
	tot. of 13	310,000.00	37,780.93	-13,024.00	24,756.93
14	<b>SOCIOMEDICAL INFRASTRUCTURE</b>				
141	<b>Medical service</b>				
1410	Medical service	240,000.00	240,000.00	-5,499.00	234,501.00
	tot. of 141	240,000.00	240,000.00	-5,499.00	234,501.00
	tot. of 14	240,000.00	240,000.00	-5,499.00	234,501.00
15	<b>TRAINING</b>				
150	<b>Training, language courses and retraining for staff</b>				
1500	Further training, language courses and retraining for staff	500,000.00	300,000.00	-6,144.10	293,855.90
	tot. of 150	500,000.00	300,000.00	-6,144.10	293,855.90
	tot. of 15	500,000.00	300,000.00	-6,144.10	293,855.90
16	<b>SOCIAL WELFARE</b>				
160	<b>Special assistance grants, other interventions and complementary aid for disabled</b>				
1600	Special assistance grants, other interventions and complementary aid for disabled	10,000.00	10,000.00	-7,032.31	2,967.69
	tot. of 160	10,000.00	10,000.00	-7,032.31	2,967.69
161	<b>Social contacts between staff</b>				
1610	Social contacts between staff	35,000.00	6,000.00	-4,720.00	1,280.00
	tot. of 161	35,000.00	6,000.00	-4,720.00	1,280.00
163	<b>Early childhood centres and other creches</b>				



Title Chapter Article Item	Budget Headings	Commitment and payment appropriations 2020			
		Initial	Amended budget	Transfers	Current
1630	Early childhood centres, crèches and EU school contribution	1,410,000.00	1,410,000.00	347,917.08	1,757,917.08
	tot. of 163	1,410,000.00	1,410,000.00	347,917.08	1,757,917.08
	tot. of 16	1,455,000.00	1,426,000.00	336,164.77	1,762,164.77
18	EXTERNAL SERVICES				
180	External services				
1800	Translation and interpretation	100,000.00	100,000.00	-73,455.25	26,544.75
1801	Payment for administrative assistance from the Community institutions	272,000.00	272,000.00	-20,000.00	252,000.00
1802	Consultancy and HR services	605,000.00	586,500.00	-570,120.00	16,380.00
1803	Other services	454,000.00	336,544.48	-107,770.79	228,773.69
	tot. of 180	1,431,000.00	1,295,044.48	-771,346.04	523,698.44
	tot. of 18	1,431,000.00	1,295,044.48	-771,346.04	523,698.44
	tot. of 1	48,506,000.00	47,758,249.74	-178,392.71	47,579,857.03

Title Chapter Article Item	Budget Headings	Commitment and payment appropriations 2020			
		Initial	Amended budget	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	90,000.00	90,000.00	-57,100.54	32,899.46
2001	Acquisition	1,675,000.00	1,706,357.80	198,111.27	1,904,469.07
2002	Studies and technical assistance in connection with building projects	690,000.00	690,000.00	-81,412.57	608,587.43
2003	Refurbishment of premises/fitting out	1,278,053.00	1,154,952.16	-536,068.70	618,883.46
	tot. of 200	3,733,053.00	3,641,309.96	-476,470.54	3,164,839.42
202	Expenditure on buildings				
2020	Water, gas, electricity and heating	530,000.00	390,000.00	-34,168.72	355,831.28
2021	Cleaning and maintenance	673,000.00	653,000.00	-6,248.29	646,751.71



Title Chapter Article Item	Budget Headings	Commitment and payment appropriations 2020			
		Initial	Amended budget	Transfers	Current
2023	Security and surveillance of buildings	731,000.00	713,000.00	-19,867.43	693,132.57
2024	Insurance	35,000.00	35,000.00	-8,789.36	26,210.64
2025	Other expenditure on buildings	850,000.00	694,738.20	-202,205.77	492,532.43
	tot. of 202	2,819,000.00	2,485,738.20	-271,279.57	2,214,458.63
	tot. of 20	6,552,053.00	6,127,048.16	-747,750.11	5,379,298.05
21	INFORMATION TECHNOLOGY AND EXPENDITURE ON DATA PROCESSING				
210	Purchase and maintenance of IT for administration and non operational				
2100	Purchase and maintenance of IT equipment and standard software	3,295,797.00	3,295,797.00	1,086,030.21	4,381,827.21
2103	External services for the operation, implementation and maintenance of software and user support	2,412,000.00	2,278,749.74	177,013.74	2,455,763.48
	tot. of 210	5,707,797.00	5,574,546.74	1,263,043.95	6,837,590.69
	tot. of 21	5,707,797.00	5,574,546.74	1,263,043.95	6,837,590.69
22	MOVABLE PROPERTY AND ASSOCIATED COSTS				
220	Technical equipment and installations				
2200	Technical equipment and installations	125,000.00	67,820.35	-13,482.46	54,337.89
	tot. of 220	125,000.00	67,820.35	-13,482.46	54,337.89
221	Furniture				
2210	Furniture	409,669.00	409,669.00	-137,599.86	272,069.14
	tot. of 221	409,669.00	409,669.00	-137,599.86	272,069.14
	tot. of 22	534,669.00	477,489.35	-151,082.32	326,407.03
23	CURRENT ADMINISTRATIVE EXPENDITURE				
230	Stationery and office supplies				
2300	Stationery and office supplies	56,500.00	16,500.00	-0.05	16,499.95
	tot. of 230	56,500.00	16,500.00	-0.05	16,499.95
232	Financial charges				
2320	Bank and other financial charges	1,000.00	1,000.00	-650.00	350.00
	tot. of 232	1,000.00	1,000.00	-650.00	350.00
233	Legal expenses and damages				



Title Chapter Article Item	Budget Headings	Commitment and payment appropriations 2020			
		Initial	Amended budget	Transfers	Current
2330	Legal expenses and damages	220,000.00	220,000.00	-82,980.00	137,020.00
	tot. of 233	220,000.00	220,000.00	-82,980.00	137,020.00
235	<b>Other operating expenditure</b>				
2350	Miscellaneous insurance	9,000.00	9,000.00	-5,150.00	3,850.00
	tot. of 235	9,000.00	9,000.00	-5,150.00	3,850.00
239	<b>Publications</b>				
2390	Publications	11,000.00	11,000.00	-3,500.00	7,500.00
	tot. of 239	11,000.00	11,000.00	-3,500.00	7,500.00
	tot. of 23	297,500.00	257,500.00	-92,280.05	165,219.95
24	<b>POSTAL CHARGES AND TELECOMMUNICATIONS</b>				
240	<b>Postal charges and telecommunications</b>				
2400	Postal charges and telecommunications	228,660.00	228,660.00	-43,858.63	184,801.37
	tot. of 240	228,660.00	228,660.00	-43,858.63	184,801.37
	tot. of 24	228,660.00	228,660.00	-43,858.63	184,801.37
25	<b>GOVERNANCE EXPENDITURE</b>				
250	<b>Governance expenditure</b>				
2500	Management Board meetings	80,000.00	80,000.00	-49,680.13	30,319.87
	tot. of 250	80,000.00	80,000.00	-49,680.13	30,319.87
	tot. of 25	80,000.00	80,000.00	-49,680.13	30,319.87
	tot. of 2	13,400,679.00	12,745,244.25	178,392.71	12,923,636.96

Title Chapter Article Item	Budget Headings	Commitment appropriations 2020				Payment appropriations 2020			
		Initial	Amended budget	Transfers	Current	Initial	Amended budget	Transfers	Current
3	<b>OPERATING EXPENDITURE LINKED TO THE AUTHORITY</b>								
30	SCIENTIFIC EVALUATION OF REGULATED PRODUCTS								



Title Chapter Article Item	Budget Headings	Commitment appropriations 2020				Payment appropriations 2020			
		Initial	Amended budget	Transfers	Current	Initial	Amended budget	Transfers	Current
302	REPRO Experts meetings								
3020	REPRO Experts Meetings	5,749,444.00	5,349,082.00	-100,356.39	5,248,725.61	5,749,444.00	5,349,082.00	-100,356.39	5,248,725.61
	tot. of 302	5,749,444.00	5,349,082.00	-100,356.39	5,248,725.61	5,749,444.00	5,349,082.00	-100,356.39	5,248,725.61
	tot. of 30	5,749,444.00	5,349,082.00	-100,356.39	5,248,725.61	5,749,444.00	5,349,082.00	-100,356.39	5,248,725.61
31	RISK ASSESSMENT & SCIENTIFIC ASSISTANCE								
312	RASA Experts meetings								
3120	RASA Experts Meetings	4,898,090.00	4,898,090.00	167,344.58	5,065,434.58	4,898,090.00	4,898,090.00	167,344.58	5,065,434.58
	tot. of 312	4,898,090.00	4,898,090.00	167,344.58	5,065,434.58	4,898,090.00	4,898,090.00	167,344.58	5,065,434.58
313	Crisis support								
3130	Crisis support	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	tot. of 313	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	tot. of 31	4,898,090.00	4,898,090.00	167,344.58	5,065,434.58	4,898,090.00	4,898,090.00	167,344.58	5,065,434.58
32	EFSA SCIENTIFIC COOPERATION								
321	EFSA Grants & Procurement								
3210	EFSA Grants & Procurement	11,489,899.00	11,489,899.00	387,400.41	11,877,299.41	7,286,004.00	7,286,004.00	387,400.41	7,673,404.41
	tot. of 321	11,489,899.00	11,489,899.00	387,400.41	11,877,299.41	7,286,004.00	7,286,004.00	387,400.41	7,673,404.41
322	Scientific Cooperation meetings								
3220	Scientific Cooperation meetings	225,586.00	22,916.21	-8,543.95	14,372.26	225,586.00	22,916.21	-8,543.95	14,372.26
	tot. of 343	225,586.00	22,916.21	-8,543.95	14,372.26	225,586.00	22,916.21	-8,543.95	14,372.26
323	Pre-accession and ENP Programmes								
3230	Pre-accession programme	0.00	0.00	1,932.80	1,932.80	0.00	0.00	1,932.80	1,932.80
3231	ENPI (European Neighbourhood programme)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	tot. of 323	0.00	0.00	1,932.80	1,932.80	0.00	0.00	1,932.80	1,932.80
	tot. of 32	11,715,485.00	11,512,815.21	380,789.26	11,893,604.47	7,511,590.00	7,308,920.21	380,789.26	7,689,709.47
34	COMMUNICATIONS								
341	Risk Communication								
3410	Risk Communication, Web management, communication activities and materials	2,489,000.00	2,405,250.00	148,567.77	2,553,817.77	2,489,000.00	2,405,250.00	148,567.77	2,553,817.77
	tot. of 341	2,489,000.00	2,405,250.00	148,567.77	2,553,817.77	2,489,000.00	2,405,250.00	148,567.77	2,553,817.77



Title Chapter Article Item	Budget Headings	Commitment appropriations 2020				Payment appropriations 2020			
		Initial	Amended budget	Transfers	Current	Initial	Amended budget	Transfers	Current
342	External Relations								
3420	External Relations	1,005,000.00	991,204.17	-773,750.60	217,453.57	1,005,000.00	991,204.17	-773,750.60	217,453.57
	tot. of 342	1,005,000.00	991,204.17	-773,750.60	217,453.57	1,005,000.00	991,204.17	-773,750.60	217,453.57
	tot. of 34	3,494,000.00	3,396,454.17	-625,182.83	2,771,271.34	3,494,000.00	3,396,454.17	-625,182.83	2,771,271.34
35	HORIZONTAL OPERATIONS								
350	Operational IT Systems								
3500	Operational IT Systems	11,996,200.00	11,913,474.16	2,021,026.60	13,934,500.76	11,996,200.00	11,913,474.16	2,021,026.60	13,934,500.76
3501	Multiannual operational IT projects	0.00	0.00	0.00	0.00	60,400.00	60,400.00	0.00	60,400.00
	tot. of 350	11,996,200.00	11,913,474.16	2,021,026.60	13,934,500.76	12,056,600.00	11,973,874.16	2,021,026.60	13,994,900.76
351	Operational support								
3511	Translation, Interpretation, Linguistic Proofreading and Editing	190,000.00	190,000.00	-37,500.00	152,500.00	190,000.00	190,000.00	-37,500.00	152,500.00
3512	Library	620,000.00	620,000.00	13,703.29	633,703.29	620,000.00	620,000.00	13,703.29	633,703.29
3513	Mission of staff related to operational duties	900,000.00	110,123.14	-34,634.62	75,488.52	900,000.00	110,123.14	-34,634.62	75,488.52
3514	Shuttles and prepaid travels for experts and shuttle for staff related to operational duties	2,050,000.00	446,701.23	-195,000.00	251,701.23	2,050,000.00	446,701.23	-195,000.00	251,701.23
3515	Catering	50,000.00	6,328.65	-2,209.44	4,119.21	50,000.00	6,328.65	-2,209.44	4,119.21
	tot. of 351	3,810,000.00	1,373,153.02	-255,640.77	1,117,512.25	3,810,000.00	1,373,153.02	-255,640.77	1,117,512.25
352	Conferences & Outreach								
3520	Conferences, outreach and representation cost	1,095,000.00	751,693.25	-178,381.11	573,312.14	1,095,000.00	751,693.25	-178,381.11	573,312.14
	tot. of 352	1,095,000.00	751,693.25	-178,381.11	573,312.14	1,095,000.00	751,693.25	-178,381.11	573,312.14
353	Operational development, control and quality								
3530	Operational Development, Control and Quality	3,325,000.00	3,325,000.00	-1,409,599.34	1,915,400.66	3,325,000.00	3,325,000.00	-1,409,599.34	1,915,400.66
	tot. of 353	3,325,000.00	3,325,000.00	-1,409,599.34	1,915,400.66	3,325,000.00	3,325,000.00	-1,409,599.34	1,915,400.66
	tot. of 35	20,226,200.00	17,363,320.43	177,405.38	17,540,725.81	20,286,600.00	17,423,720.43	177,405.38	17,601,125.81
	tot. of 3	46,083,219.00	42,519,761.81	0.00	42,519,761.81	41,939,724.00	38,376,266.81	0.00	38,376,266.81

### (c) Budget outturn and cancellation of appropriations

**Table 73** Calculation budget outturn

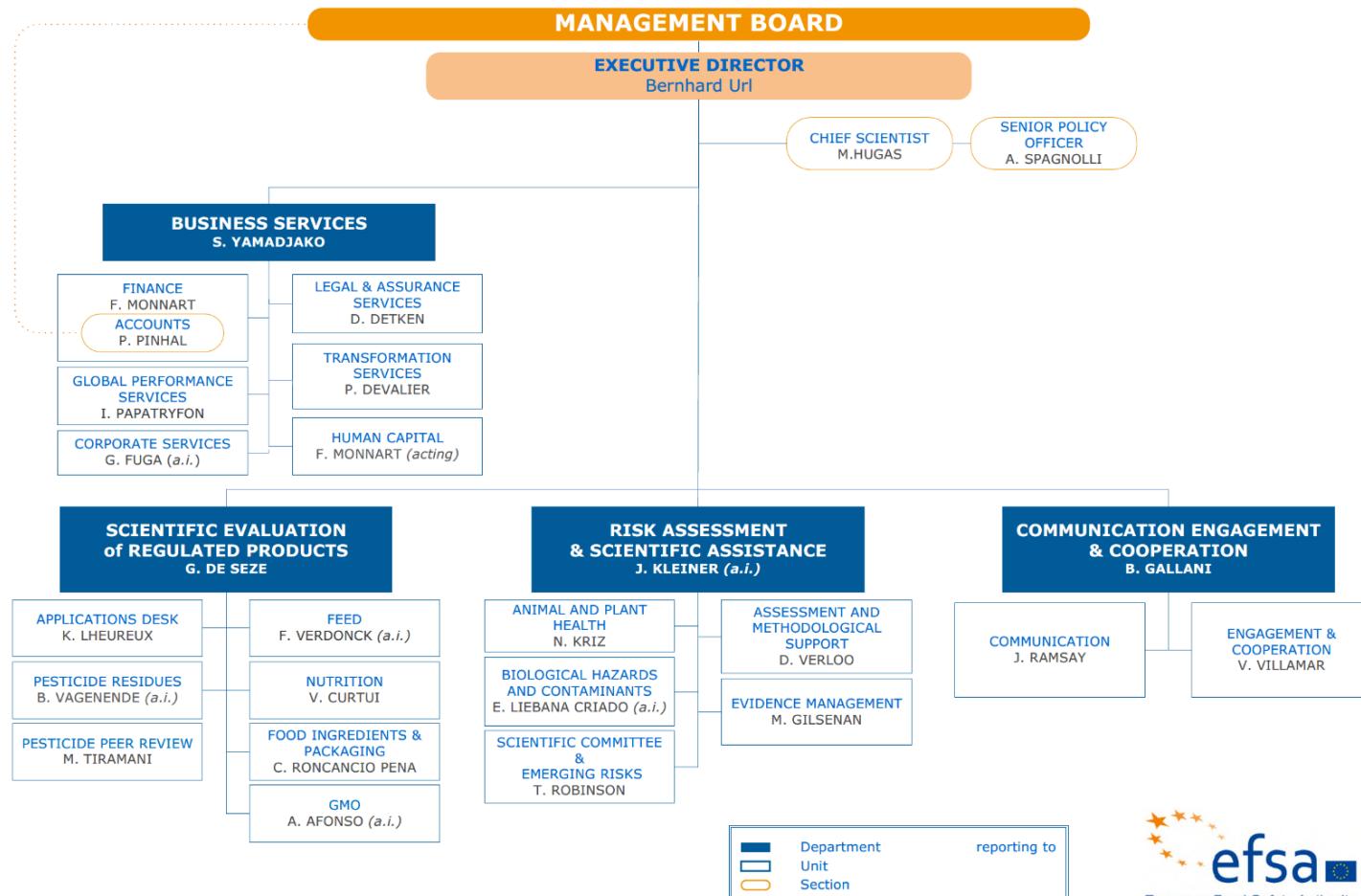
Budget out-turn	2018	2019	2020
Reserve from the previous years' surplus (+)			
Revenue actually received (+)	80,359,603.57	80,496,256.65	99,371,850.48
Payments made (-)	-73,606,299.19	-72,966,330.23	-88,130,988.95
Carry-over of appropriations (-)	-7,131,112.74	-7,854,893.86	-12,297,809.31
Cancellation of appropriations carried over (+)	206,165.59	424,520.61	324,289.38
Exchange-rate differences (+/-)	-146.85	-1,475.69	-745.54
Adjustment for carry-over from previous years of assigned revenue	614,253.89	335,797.06	1,084,754.98
Out-turn pre-accession programme DG Neighbourhood and Enlargement Negotiations	0.00	-4,499.95	na
<b>Total</b>	<b>442,464.27</b>	<b>429,374.59</b>	<b>351,351.04</b>

Out of the EUR 103.0 million in commitment appropriations available, EUR 103.0 million or 100 % (100 % in 2019) was utilised, leaving EUR 0.02 million in commitment appropriations unutilised. Out of the EUR 98.9 million of C1 payment appropriations available, EUR 87.4 million or 88% (91.5 % in 2019) was paid. EUR 11.5 million corresponding to 12.4% of non-differentiated credits from all fund sources (9.3% in 2019) was carried forward and € 0.02 million of non-differentiated payment appropriations linked to commitments not executed were cancelled. A minor amount<sup>(64)</sup> of differentiated payment appropriations remained unutilised. Out of the EUR 6.8 million in payment appropriations carried over, EUR 6.5 million or 95% was paid, leaving EUR 0.3 million unutilised. The budget out-turn 2020 is in line with previous years and stands at million EUR 0.4 million (€ 0.4 million in 2019) or 0.4% of total revenue, stemming mainly from adjustment for carry-over from previous years. Tight treasury management and payment forecast system allow optimisation of treasury utilisation, thereby keeping the out-turn low.

<sup>(64)</sup>€ 4,536



# Annex III. Organisational chart



**Figure 40.** Organisational chart (31/12/2020)

# Annex IV. Establishment plan and additional information on Human Resources management

**Table 74.** Establishment plan 2020

Function Group and Grade	2020			
	Authorised under the EU Budget		Filled as of 31.12.2020	
	Permanent	Temporary	Permanent	Temporary
	posts	posts	posts	posts
<b>AD16</b>				
<b>AD15</b>		1		1
<b>AD14</b>				
<b>AD13</b>		4		3
<b>AD12</b>		4		4
<b>AD11</b>		8		5
<b>AD10</b>		19		15
<b>AD9</b>	1	40		37
<b>AD8</b>	3	62	3	61
<b>AD7</b>	1	59	2	55
<b>AD6</b>		43		49
<b>AD5</b>		10		13
<b>Total AD</b>	<b>5</b>	<b>250</b>	<b>5</b>	<b>243</b>
<b>AST11</b>				
<b>AST10</b>				
<b>AST9</b>				
<b>AST8</b>		1		
<b>AST7</b>		4		3

Function Group and Grade	2020			
	Authorised under the EU Budget		Filled as of 31.12.2020	
	Permanent	Temporary	Permanent	Temporary
	posts	posts	posts	posts
<b>AST6</b>		6		7
<b>AST5</b>		21		18
<b>AST4</b>		34		32
<b>AST3</b>		22		23
<b>AST2</b>		11		13
<b>AST1</b>				1
<b>Total AST</b>	<b>0</b>	<b>99</b>	<b>0</b>	<b>97</b>
<b>Total</b>	<b>5</b>	<b>349</b>	<b>5</b>	<b>340</b>
<b>Grand total</b>	<b>354</b>		<b>345</b>	

**Table 75.** Information on recruitment grade/function group for each type of post

<b>Key functions (examples – terminology should be adjusted to each agency's job titles)</b>	<b>Type of contract (official, TA or CA)</b>	<b>Function group, grade of recruitment*</b>	<b>Indication whether the function is dedicated to administrative support or operations [subject to definitions used in screening methodology]</b>
<b>CORE FUNCTIONS</b>			
Executive Director (Senior Manager)	TA	AD 14	Coordination
Adviser/Senior Expert	TA	AD 13	Operational
Head of Department (Manager)	TA	AD 12	Coordination/Operational
Head of Unit (Manager)	Official/TA	AD 9	Coordination/Operational/Administration
Senior Scientific Officer	Official/TA	AD 8	Operational/Administration

<b>Key functions (examples – terminology should be adjusted to each agency's job titles)</b>	<b>Type of contract (official, TA or CA)</b>	<b>Function group, grade of recruitment*</b>	<b>Indication whether the function is dedicated to administrative support or operations [subject to definitions used in screening methodology]</b>
Scientific Officer	Official/TA/CA	AD 5 / FGIV 14	Operational/Administration
Junior Scientific Officer	CA	FGIV 13	Operational/administration
Technical Assistant	TA/CA	AST4 / FGIII	Operational/Administration
Assistant	TA/CA	AST 1 / FGI	Operational/Administration
<b>SUPPORT FUNCTIONS</b>			
Head of Business Services (Head of Administration)	TA	AD 12	Administration
Head of Unit (Manager)	Official/TA	AD 9	Coordination/Operational
Senior Officer	Official/TA	AD 8	Administration
Officer	Official/TA/CA	AD 5 / FGIV 14	Administration
Junior Officer	CA	FGIV 13	Administration
Technical Assistant	TA/CA	AST4 / FGIII	Administration
Assistant	TA/CA	AST 1 / FGI	Administration
<b>SPECIAL FUNCTIONS</b>			
Data Protection Officer	TA	AD 6	Administration
Accounting Officer	TA	AD 6	Administration
Assurance Advisory Officer (Internal Audit)	TA	AD 6	Administration

**Table 76.** Implementing rules

<b>Decisions adopted by the MB in analogy of EC decisions on 30/06/2020 (Decision no. wp200605-a5)</b>
Commission Decision C(2004)1318 of 7 April 2004 on the duties of Commission drivers and the Commission Decision C(2019)7822 of 30 October 2019 amending Commission Decision C(2004) 1318 of 7 April 2004 on the duties of Commission drivers.
Commission Decision C(2020)1559 of 16 March 2020 amending Decision C(2013)9051 of 16 December 2013 on leave when arrival of a new born child in a household applicable by analogy to EFSA.
Commission Decision C(2019)6855 of 4 October 2019 on procedures for dealing with professional incompetence

**Table 77.** Results of the benchmarking exercise in accordance with provision of Art. 29 (3) Framework Financial Regulation and Methodology for Agencies Job Screening (a)

<b>Job Type (sub) category</b>	<b>2019*</b>	<b>2020</b>
<b>Administrative support and Coordination</b>	<b>18.20%</b>	<b>17.50%</b>
Administrative Support	14.60%	13.40%
Coordination	3.60%	4.10%
<b>Operational</b>	<b>77.60%</b>	<b>78.50%</b>
Top level Operational Coordination	1.60%	1.40%
Programme management and Implementation	62.50%	64.70%
Evaluation & Impact assessment	0.70%	0.60%
General operational	12.80%	11.80%
<b>Neutral</b>	<b>4.20%</b>	<b>4.00%</b>
Finance/ Control	3.90%	3.70%
Linguistics	0.30%	0.30%
<b>Total</b>	<b>100.00%</b>	<b>100.00%</b>

# Annex V. Human and financial resources by activity

## 1. Financial resources per strategic objective

**Table 78** Budget allocations per strategic objective (% of the total EFSA budget)

EFSA'S strategic objective	Executed 2019 M€	Budget 2020		Executed 2020	
		M€	%	M€	%
SO1 Prioritise public and stakeholder engagement in the process of scientific assessment	29.92	40.46	42 %	43.68	42%
SO2 Widen EFSA's evidence base and optimise access to its data	4.93	12.33	5 %	4.68	5%
SO3 Build the EU's risk assessment capacity and knowledge community	7.84	11.02	10 %	8.91	9%
SO4 Prepare for future risk assessment challenges	6.22	9.2	11 %	10.44	10%
SO5 Create an environment and culture that reflects EFSA's values	31.01	34.99	32 %	35.26	34%
Of which operations	13.76	15.54	17 %	17.75	17%
Of which support	17.25	19.45	15 %	17.51	17%
<b>Total EFSA</b>	<b>79.98</b>	<b>107.99</b>	<b>100 %</b>	<b>103.00</b>	<b>100%</b>

"of which TR" - financial resources per strategic objective allocated to Transparency regulation implementation	Financial Resources			
	Initial plan	%	Actual	%
SO1. Prioritise public and stakeholder engagement in the process of scientific assessment	7.83	31%	16.98	57%
SO2. Widen EFSA's evidence base and optimise access to its data	6.16	24%	-0.01	0%
SO3. Build the EU's risk assessment capacity and knowledge community	3.6	14%	1.75	6%
SO4. Prepare for future risk assessment challenges	1.2	5%	0.38	1%
SO5. Create an environment and culture that reflects EFSA's values	6.81	27%	10.58	36%

"of which TR" - financial resources per strategic objective allocated to Transparency regulation implementation	Financial Resources			
	Initial plan	%	Actual	%
— of which operations	3.39	13%		
— of which support	3.41	13%		
<b>Total EFSA</b>	<b>25.6</b>	<b>100 %</b>	<b>29.68</b>	<b>100 %</b>

of which TR by TR objective		Resources dedicated to TR by objective			
		Initial Plan	%	Actual	%
TRA: Improve and clarify the rules on transparency, especially with regards to the scientific studies supporting the risk assessment	EUR million	<b>0.05</b>	0%	<b>0.07</b>	0%
	FTEs	<b>2</b>	5%	<b>0</b>	0%
QUA: Increase the guarantees of reliability, objectivity and independence of studies used by EFSA in its risk assessment for authorisation purposes	EUR million	<b>3.19</b>	12%	<b>0.12</b>	0%
	FTEs	<b>6</b>	13%	<b>0</b>	0%
CAP: Improve the governance, strengthen the involvement of Member States and address the limitations affecting the long term scientific capacity of EFSA	EUR million	<b>5.50</b>	21%	<b>3.83<sup>65</sup></b>	13%
	FTEs	<b>4</b>	9%	<b>0</b>	0%
COM: Develop a more effective and transparent risk communication with the public in collaboration with Member States	EUR million	<b>2.45</b>	10%	<b>3.36<sup>66</sup></b>	11%
	FTEs	<b>2</b>	5%	<b>2</b>	3%
CROSS CUTTING - DEVELOPMENT	EUR million	<b>11.63</b>	45%	<b>22.31<sup>67</sup></b>	75%
	FTEs	<b>22</b>	53%	<b>56</b>	97%
CROSS CUTTING - SUPPORTING PROCESSES	EUR million	<b>2.79</b>	11%	<b>-0.01</b>	0%
	FTEs	<b>6</b>	15%	<b>0</b>	0%
<b>Total EFSA</b>	EUR million	<b>25.61</b>		<b>29.68</b>	
	FTEs	<b>42</b>		<b>57</b>	

<sup>65</sup> Partial implementation of new indemnity regime for experts.

<sup>66</sup> Increased role for focal points, increased outreach and advocacy measures.

<sup>67</sup> Implementation of cross-cutting organisational and IT solutions including infrastructures adaptation (and increased T2 costs).

## 2. FTEs and budget indicators per strategic objective

**Table 79** Input indicators for SO1 (FTEs and Budget as full cost of all Titles)

Input Indicators			
Total SO1	Resources invested per year	Target 2020	Executed 2020
	FTEs	216	216
	Budget (M, €)	40.46	43.68
Scientific – general risk assessment			
Input sub-indicator	FTEs	57	57
	Budget (M, €)	13.13	16.39
Scientific – regulated products evaluation			
Input sub-indicator	FTEs	139	139
	Budget (M, €)	22.33	22.85
Communication & engagement			
Input sub-indicator	FTEs	20	20
	Budget (M, €)	4.92	4.47

**Table 80** Input indicators for SO2 (FTEs and Budget as full cost of all Titles)

Input Indicators			
Total SO2	Resources invested per year	Target 2020	Executed 2020
	FTEs	24	24
	Budget (K, €)	12.33	4.68

**Table 81** Input indicators for SO3 (FTEs and Budget as full cost of all Titles)

Input Indicators			
Total SO3	Resources invested per year	Target 2020	Executed 2020
	FTEs	31	31
	Budget (K, €)	11.02	8.91

**Table 82** Input indicators for SO4 (FTEs and Budget as full cost of all Titles)

Input Indicators			
Total SO4	Resources invested per year	Target 2020	Executed
	FTEs	43	43
	Budget (K, €)	9.2	10.44

**Table 83** Input indicators for SO5 (FTEs and Budget as full cost of all Titles)

Input Indicator			
Total SO5	Resources invested per year	Target 2020	Executed
	FTEs	192	192
	Budget (K, €)	34.99	35.26

### 3. Human resources per strategic objective

**Table 84** FTE allocations per strategic objective

EFSA'S strategic objective	Executed 2019 FTE <sup>69</sup> /posts	Plan 2020		Executed 2020 <sup>68</sup>	
		FTE/posts	%	FTE	%
SO1 Prioritise public and stakeholder engagement in the process of scientific assessment	194	216	42%	216	42%
SO2 Widen EFSA's evidence base and optimise access to its data	18	24	5%	24	5%
SO3 Build the EU's risk assessment capacity and knowledge community	31	31	6%	31	6%
SO4 Prepare for future risk assessment challenges	27	43	9%	43	9%
SO5 Create an environment and culture that reflects EFSA's values	192	192	38%	192	38%
Of which operations	71	71	14%	71	14%
Of which support	121	121	24%	121	24%
<b>Total EFSA</b>	<b>462</b>	<b>506</b>	<b>100%</b>	<b>506</b>	<b>100%</b>

"of which TR" - human resources per strategic objective allocated to Transparency regulation implementation	Human Resources			
	Initial plan	%	Actual	%
SO1. Prioritise public and stakeholder engagement in the process of scientific assessment	12	29%	27.72	48%
SO2. Widen EFSA's evidence base and optimise access to its data	4	10%	0.00	0%
SO3. Build the EU's risk assessment capacity and knowledge community	2	5%	0.13	0%
SO4. Prepare for future risk assessment challenges	4	10%	0.00	0%
SO5. Create an environment and culture that reflects EFSA's values	19	46%	29.60	52%
— of which operations	6	14%		
— of which support	14	34%		
<b>Total EFSA</b>	<b>42</b>	<b>100 %</b>	<b>57.45</b>	

<sup>68</sup> Due to the transition to Sysper2 during year 2020 and the different ways actual time spent from staff is collected, the information of actual allocation of time spent by activity is not available for year 2020. For this the actual distribution has been assumed equal to the initial plan.

<sup>69</sup> Actual available FTEs.

# Annex VI. Contribution, grant and service level agreements. Financial Framework Partnership Agreements

**Table 85.** Contribution, grant and service level agreements

	General information					Financial and HR impacts				
	Date of signature	Total amount	Duration	Counterpart	Short description	Amount	N-1		N	
<b>Grant agreements</b>										
1. GP/EFSA/ALPHA/2017/02 LOT 3 GA	21/11/2017	n/a Framework Partnership Agreement	48	UTH	ENTRUSTING SUPPORT TASKS IN THE AREA OF PLANT HEALTH - PEST CATEGORISATION LARGE GROUPS: TEPHRITIDAE FAMILY (FRUIT FLIES)	Amount	CA	PA	CA	PA
2. GP/EFSA/ALPHA/2017/02 LOT 2 GA 3	22/11/2017	n/a Framework Partnership Agreement	48	AGENCE NATIONALE DE LA SECURITE SANITAIRE DE L'ALIMENTATION DE L'ENVIRONNEMENT ET DU TRAVAIL (ANSES)	ENTRUSTING SUPPORT TASKS IN THE AREA OF PLANT - PLANT PEST SURVEILLANCE	Amount	CA	PA	CA	PA
3. GP/EFSA/ALPHA/2017/02 LOT 3 GA 2	22/11/2017	n/a Framework Partnership Agreement	48	UNIVERSITAT JAUME I DE CASTELLO (UJI)	ENTRUSTING SUPPORT TASKS IN THE AREA OF PLANT HEALTH - PEST CATEGORISATION LARGE GROUPS: TEPHRITIDAE FAMILY (FRUIT FLIES)	Amount	CA	PA	CA	PA
4. GP/EFSA/ALPHA/2017/02 LOT 1 GA 1	22/11/2017	n/a Framework Partnership Agreement	48	AGENCE NATIONALE DE LA SECURITE SANITAIRE DE L'ALIMENTATION DE L'	ENTRUSTING SUPPORT TASKS IN THE AREA OF PLANT	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNES				

	General information					Financial and HR impacts			
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N	
				ENVIRONNEMENT ET DU TRAVAIL (ANSES)	HEALTH - HORIZON SCANNING	Number of SNEs			
5. GP/EFSA/ALPHA/2017/02 LOT 2 GA 1	22/11/2017	n/a Framework Partnership Agreement	48	JULIUS KUHN INSTITUT (JKI)	ENTRUSTING SUPPORT TASKS IN THE AREA OF PLANT - PLANT PEST SURVEILLANCE	Amount	CA	PA	
6. GP/EFSA/PRAS/2017/02-02	24/11/2017	n/a Framework Partnership Agreement	48	AGENCE NATIONALE DE LA SECURITE SANITAIRE DE L'ALIMENTATION DE L'ENVIRONNEMENT ET DU TRAVAIL (ANSES)	ENTRUSTING NEW PREPARATORY TASKS FALLING WITHIN THE MISSION OF THE EFSA PESTICIDES UNIT	Amount	CA	PA	
7. GP/EFSA/PRAS/2017/02-03	24/11/2017	n/a Framework Partnership Agreement	48	BENAKI PHYTOPATHOLOGICAL INSTITUTE (BPI)	ENTRUSTING NEW PREPARATORY TASKS FALLING WITHIN THE MISSION OF THE EFSA PESTICIDES UNIT	Amount	CA	PA	
8. GP/EFSA/ALPHA/2017/02 LOT 3 GA 3	27/11/2017	n/a Framework Partnership Agreement	48	NATIONAL INSTITUTE FOR PUBLIC HEALTH AND THE ENVIRONMENT (RIVM)	ENTRUSTING SUPPORT TASKS IN THE AREA OF PLANT HEALTH - PEST CATEGORISATION LARGE GROUPS: TEPHRITIDAE FAMILY (FRUIT FLIES)	Amount	CA	PA	
9. GP/EFSA/ALPHA/2017/02 LOT 4 GA 1	27/11/2017	n/a Framework Partnership Agreement	48	NATIONAL INSTITUTE FOR PUBLIC HEALTH AND THE ENVIRONMENT (RIVM)	ENTRUSTING SUPPORT TASKS IN THE AREA OF PLANT HEALTH - PEST CATEGORISATION OF LARGE GROUPS: VIRAL AND BACTERIAL PATHOGENS OF POTATO	Amount	CA	PA	
10. GP/EFSA/ALPHA/2017/02 LOT 5 GA 1	27/11/2017		48	CONSIGLIO NAZIONALE DELLE RICERCHE (CNR)	ENTRUSTING SUPPORT TASKS IN THE	Amount	CA	PA	

	General information					Financial and HR impacts				
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N		
		n/a Framework Partnership Agreement			AREA OF PLANT HEALTH - PEST CATEGORISATION OF LARGE GROUPS VIRAL AND BACTERIAL PATHOGENS	Number of CAs				
						Number of SNEs				
11. GP/EFSA/ALPHA/2017/02 LOT 2 GA 2	27/11/2017	n/a Framework Partnership Agreement	48	NATIONAL INSTITUTE FOR PUBLIC HEALTH AND THE ENVIRONMENT (RIVM)	ENTRUSTING SUPPORT TASKS IN THE AREA OF PLANT - PLANT PEST SURVEILLANCE	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
12. GP/EFSA/PRAS/2017/02-04	30/11/2017	n/a Framework Partnership Agreement	48	NATIONAL AGRICULTURAL AND FOOD CENTRE	ENTRUSTING NEW PREPARATORY TASKS FALLING WITHIN THE MISSION OF THE EFSA PESTICIDES UNIT	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
13. GP/EFSA/ALPHA/2017/02 LOT 1 GA 2	12/01/2017	n/a Framework Partnership Agreement	48	UNIVERSITY OF NATURAL RESOURCES AND APPLIED LIFE SCIENCES (BOKU)	ENTRUSTING SUPPORT TASKS IN THE AREA OF PLANT HEALTH - HORIZON SCANNING	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
14. GP/EFSA/PRAS/2017/02-01	12/04/2017	n/a Framework Partnership Agreement	48	AZIENDA SOCIO-SANITARIA TERRITORIALE FATEBENEFRATELLI SACCO	ENTRUSTING NEW PREPARATORY TASKS FALLING WITHIN THE MISSION OF THE EFSA PESTICIDES UNIT	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
15. GP/EFSA/PRAS/2017/02-05	12/04/2017	n/a Framework Partnership Agreement	48	COLLEGE VOOR DE TOELATING VAN GEWASBESCHERMINGSMIDDELEN EN BIOCIDEN*BOARD FOR THE AUTHORISATION OF PLANTPROTECTION PRODUCTS AND BIOCIDES	ENTRUSTING NEW PREPARATORY TASKS FALLING WITHIN THE MISSION OF THE EFSA PESTICIDES UNIT	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
16. GP/EFSA/FIP/2018/01 LOT 1	11/07/2018		48	TECHNICAL UNIVERSITY OF DENMARK (DTU)	ENTRUSTING SUPPORT TASKS IN THE	Amount	CA	PA	CA	PA

	General information					Financial and HR impacts					
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N			
		n/a Framework Partnership Agreement			AREA OF FOOD INGREDIENTS AND PACKAGING - DEVELOPMENT OF A NEW GUIDANCE ON THE DATA REQUIRED FOR THE RISK ASSESSMENT OF FLAVOURINGS TO BE USED IN OR ON FOODS.	Number of CAs					
17. GP/EFSA/FIP/2018/01 LOT 2	11/07/2018	n/a Framework Partnership Agreement	48	TECHNICAL UNIVERSITY OF DENMARK (DTU)	ENTRUSTING SUPPORT TASKS IN THE AREA OF FOOD INGREDIENTS AND PACKAGING - SUPPORT IN THE SAFETY EVALUATION OF FOOD ENZYMES.	Number of SNEs					
18. GP/EFSA/FIP/2018/01 LOT 3	11/09/2018	n/a Framework Partnership Agreement	48	THE UNIVERSITY OF HERTFORDSHIRE HIGHER EDUCATION CORPORATION	ENTRUSTING SUPPORT TASKS IN THE AREA OF FOOD INGREDIENTS AND PACKAGING - IMPLEMENTATION OF THE EVIDENCE BASED RA FOR RE-EVALUATION OF APPROVED SWEETENERS, BPA, SUBSTANCES AUTHORISED FOR USE IN FCM.	Amount	CA	PA	CA	PA	
19. GP/EFSA/AMU/2020/02	09/10/2020	n/a Framework Partnership Agreement	48	BUNDESIINSTITUT FUR RISIKOBEWERTUNG*FEDERAL INSTITUTE FOR RISK ASSESSMENT BFR	TOOLS FOR EVIDENCE MANAGEMENT IN GLOBAL INFORMATION NETWORKS TO ACHIEVE SCIENTIFIC ADVICE ON FOOD AND FEED SAFETY	Number of CAs					
	12/09/2016	375000	51	UNIVERSITEIT UTRECHT	ASSESSMENT OF THE FREEDOM OF	Number of SNEs	Amount	CA	PA	CA	PA

	General information					Financial and HR impacts			
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N	
"20. GA/EFSA/AFSCO/2016/01-03 " LOT 3					ANIMAL DISEASE/INFECTION	Number of CAs			
						Number of SNEs			
21. GP/EFSA/AFSCO/2017/04	15/12/2017	314503.29	38	FERA SCIENCE LIMITED	ALPHA SMART MONITORING OF AIRBORNE PLANT PATHOGENS	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
22. GP/EFSA/ALPHA/2017/02 LOT 1 GA 1 - SA 3	12/03/2019	249999.93	36	AGENCE NATIONALE DE LA SECURITE SANITAIRE DE L'ALIMENTATION DE L'ENVIRONNEMENT ET DU TRAVAIL (ANSES)	MEDIA AND LITERATURE MONITORING	Amount	CA	PA	CA
									PA
						Number of CAs			
23. GP/EFSA/ALPHA/2017/02 LOT 3 GA 1 - SA N.2	06/04/2020	54761.85	7	UNIVERSITY OF THESSALY (UTH)	PEST CATEGORISATION OF LARGE GROUPS: TEPHРИTIDAE FAMILY (FRUIT FLIES)	Amount	CA	PA	CA
									PA
						Number of CAs			
24. GP/EFSA/ALPHA/2018/02	12/06/2018	200000	37	AGRICULTURAL INSTITUTE OF SLOVENIA	IMAGE ANALYSIS FOR EARLY DETECTION OF QUARANTINE PLANT PESTS	Amount	CA	PA	CA
									PA
						Number of CAs			
25. GP/EFSA/ALPHA/2018/03	12/11/2018	45000	27	BENAKI PHYTOPATHOLOGICAL INSTITUTE (BPI)	PILOT APPLICATION OF SMART SURVEILANCE TOOLS FOR CITRUS BLACK SPOT PATHOGEN IN GREECE	Amount	CA	PA	CA
									PA
						Number of CAs			
26. GP/EFSA/ALPHA/2018/03	12/10/2018	80000	27	CONSIGLIO PER LA RICERCA IN AGRICOLTURA L'ANALISI DELL'ECONOMIA AGRARIA	PILOT APPLICATION OF SMART SURVEILANCE TOOLS FOR CITRUS BLACK SPOT PATHOGEN IN ITALY	Amount	CA	PA	CA
									PA
						Number of CAs			
27. GP/EFSA/ALPHA/2019/04	19/12/2019	200000	38			Number of SNEs			
						Amount	CA	PA	CA
									PA

	General information					Financial and HR impacts			
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N	
28. GP/EFSA/AMU/2016/01-SA 5	27/11/2018	314671.5	28	INSTITUTO VALENCIANO DE INVESTIGACIONES AGRARIAS (IVIA)	RISK ASSESSMENT UNCERTAINTY				
						Number of CAs			
						Number of SNEs			
29. GP/EFSA/AMU/2016/01-SA 7	26/11/2019	134397.8	17	FEDERAL INSTITUTE FOR RISK ASSESSMENT (BFR)	MAP AND ANALYSE GLOBAL FOOD AND FEED SUPPLY CHAINS	Amount	CA	PA	
						Number of CAs			
						Number of SNEs			
30. GP/EFSA/AMU/2019/01	08/07/2019	150000	18	NATIONAL INSTITUTE FOR PUBLIC HEALTH AND THE ENVIRONMENT (RIVM)	EFSA PLATFORM FOR BAYESIAN BENCHMARK DOSE ANALYSIS	Amount	CA	PA	
						Number of CAs			
						Number of SNEs			
31. GP/EFSA/PRAS/2016/02 - SC 5	03/12/2020	184236.26	13	NATIONAL INSTITUTE FOR PUBLIC HEALTH AND THE ENVIRONMENT (RIVM)	ELABORATION OF PROSPECTIVE SCENARIOS FOR CUMULATIVE RISK ASSESSMENT OF PESTICIDES	Amount	CA	PA	
						Number of CAs			
						Number of SNEs			
32. GP/EFSA/AFSCO/2017/01	05/12/2017	55845.9	55	NATIONAL FOOD AGENCY (SLV)	EVIDENCE BASED RISK RANKING OF CHEMICAL AND MICROBIOLOGICAL HAZARDS IN FOOD	Amount	CA	PA	
						Number of CAs			
						Number of SNEs			
33. GP/EFSA/ENCO/2018/02	14/08/2018	60000	37	NATIONAL INSTITUTE OF BIOLOGY (NIB)	POTENTIAL EXPOSURE OF BUMBLE-BEES AND OTHER WILD POLLINATORS TO PESTICIDES IN SPRAYING IN THE	Amount	CA	PA	
						Number of CAs			
						Number of SNEs			

	General information					Financial and HR impacts				
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N		
					EARLY MORNING AND EVENING					
34. GP/EFSA/ENCO/2018/03 - GA01	17/12/2018	98063.5	26	NATIONAL AND KAPODISTRIAN UNIVERSITY OF ATHENS (UOA)	PARTNERING GRANTS: NOVEL FOODS AS RED MEAT REPLACERS, AN INSIGHT USING RISK BENEFIT ASSESSMENT METHODS (THE NOVRBA PROJECT)	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
35. GP/EFSA/ENCO/2018/03 - GA02	12/12/2018	99812.24	32	ECONOMIC AND FOOD SAFETY (ASAE)	PARTNERING GRANTS: IMPROVING DATA QUALITY FOR RISK ASSESSMENT	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
36. GP/EFSA/ENCO/2018/03 - GA03	04/10/2019	98156.17	26	FEDERAL INSTITUTE FOR RISK ASSESSMENT (BFR)	PARTNERING GRANTS: STANDARDISING MOLECULAR DETECTION METHODS TO IMPROVE RISK ASSESSMENT CAPACITY FOR FOODBORNE PROTOZOAN PARASITES, USING CRYPTOSPORIDIUM IN READY-TO-EAT SALAD AS A MODEL	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
37. GP/EFSA/ENCO/2018/03 - GA04	29/03/2019	100000	26	UNIVERSIDAD DE GRANADA	PARTNERING GRANTS: KNOWLEDGE PLATFORM FOR ASSESSING THE RISK OF BIOSPHENOLS ON GUT MICROBIOTA AND ITS ROLE IN OBESOGENIC PHENOTYPE: LOOKING FOR BIOMARKERS	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				

	General information					Financial and HR impacts					
	Date of signature	Total amount	Duration	Counterpart	Short description	Amount	N-1		N		
							CA	PA	CA	PA	
38. GP/EFSA/ENCO/2018/03	07/04/2019	60000	37	ICELANDIC AND VETERINARY AUTHORITY MAST	FOOD AU-	STUDYING THE DYNAMICS OF ESBL/AMPC PRODUCING E. COLI AND RESISTANCE PLASMIDS BETWEEN DIFFERENT RESERVOIRS USING STANDARD PHENOTYPIC METHODS ALONG WITH THE WHOLE GENOME SEQUENCING (WGS)	Amount	CA	PA	CA	PA
39. GP/EFSA/ENCO/2020/01	26/03/2020	25000	10	NATIONAL SANITARY VETERINARY AND FOOD SAFETY (ANSVSA)	AWARENESS RAISING VIDEO TO PREVENT SPREAD OF ASF IN ROMANIA	Amount	CA	PA	CA	PA	
"40. GP/EFSA/AFSCO/2017/03 "	03/01/2018	375000	36	THE UNIVERSITY OF MANCHESTER	DETECTION AND QUANTIFICATION OF ALLERGENS IN FOODS AND MINIMUM ELICITING DOSES IN FOOD ALLERGIC INDIVIDUALS	Amount	CA	PA	CA	PA	
41.GP/EFSA/PRAS/2017/02; GA 02; SA 1-2019	15/10/2019	131689.9	25	AGENCE NATIONALE DE LA SECURITE SANITAIRE DE L'ALIMENTATION DE L'ENVIRONNEMENT ET DU TRAVAIL (ANSES)	ENTRUSTING NEW PREPARATORY TASKS FALLING WITHIN THE MISSION OF THE EFSA PESTICIDES UNIT	Amount	CA	PA	CA	PA	
42. GP/EFSA/PRAS/2017/02 - GP 03 - SA2	22/06/2018	140420.88	40	BENAKI PHYTOPATHOLOGICAL INSTITUTE (BPI)	ENTRUSTING NEW PREPARATORY TASKS FALLING WITHIN THE MISSION OF THE EFSA PESTICIDES UNIT	Amount	CA	PA	CA	PA	
43. GP/EFSA/PRAS/2017/02; GA 03; SA 1	08/05/2019	98500	17	BENAKI PHYTOPATHOLOGICAL INSTITUTE (BPI)	ENTRUSTING NEW PREPARATORY	Amount	CA	PA	CA	PA	

	General information					Financial and HR impacts			
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N	
					TASKS FALLING WITHIN THE MISSION OF THE EFSA PESTICIDES UNIT	Number of CAs			
						Number of SNEs			
44. GP/EFSA/PRAS/2017/02; GA 03; SA 3	29/08/2019	98500	19	BENAKI PHYTOPATHOLOGICAL INSTITUTE (BPI)	ENTRUSTING NEW PREPARATORY TASKS FALLING WITHIN THE MISSION OF THE EFSA PESTICIDES UNIT	Amount	CA	PA	
						Number of CAs			
						Number of SNEs			
45. GP/EFSA/PRAS/2017/02; GA 05; SA 2-2020	04/02/2020	75776.58	12	BOARD FOR THE AUTHORISATION OF PLANTPROTECTION PRODUCTS AND BIO-CIDES (CTGB)	ENTRUSTING NEW PREPARATORY TASKS FALLING WITHIN THE MISSION OF THE EFSA PESTICIDES UNIT	Amount	CA	PA	
						Number of CAs			
						Number of SNEs			
46. GP/EFSA/PREV/2020/01	06/11/2020	250000	28	TECHNICAL UNIVERSITY OF DENMARK (DTU)	UPDATE OF A DATABASE OF TOXICITY ENDPOINTS OF PESTICIDES	Amount	CA	PA	
						Number of CAs			
						Number of SNEs			
47. GP/EFSA/AFSCO/2015/03 SA01	05/06/2016	120000	56	AGENCIA ESPANOLA DE SEGURIDAD ALIMENTARIA Y NUTRICION	MANAGEMENT AND SCIENTIFIC COORDINATION	Amount	CA	PA	
						Number of CAs			
						Number of SNEs			
48. GP/EFSA/SCER/2020/02	17/09/2020	100000	15	AGENCE NATIONALE DE LA SECURITE SANITAIRE DE L'ALIMENTATION DE L'ENVIRONNEMENT ET DU TRAVAIL (ANSES)	EFSA PILOT PROJECT ON NEW APPROACH METHODOLOGIES (NAMS) FOR TEBUFENPYRAD RISK ASSESSMENT. PART 1. DEVELOPMENT OF PHYSIOLOGICALLY-BASED KINETIC (PK) MODEL COUPLED WITH PULMONARY AND DERMAL EXPOSURE	Amount	CA	PA	
						Number of CAs			
						Number of SNEs			

	General information					Financial and HR impacts				
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1		N	
49. GP/EFSA/AFSCO/2017/09	19/01/2018	59311.04	24	REPUBBLIKA TA MALTA*REPUBLIQUE DE MALTE*REPUBLIC OF MALTA	Cooperation in crisis preparedness for Phyllosticta citricarpa in the European Union	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
50. PARTNERING GRANT GA/EFSA/ AFSCO/2017/01 – GA05	30/11/2017	100000	26	STATENS VETERINARME-DICINSKA ANSTALT*	Communication inside Risk Assessment and Risk Management (COMRISK)	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
51. SA03 GP/EFSA/ALPHA/2017/02 – LOT 5 GA 1	24/06/2019	25000.47	7	CONSIGLIO NAZIONALE DELLE RICERCHEISTITUTO PER LA BIOECONOMIA	Entrusting support tasks in the area of Plant Health – Lot 5 Pest categorisation of large groups: viral and bacterial pathogens of fruit crops	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
52. GP/EFSA/FIP/2018/01 – LOT 3 - SA 03 - UNI HERTS	12/04/2019	19984.24	2	THE UNIVERSITY OF HERTFORDSHIRE HIGHER EDUCATION CORPORATION*	Entrusting support tasks in the area of Food Ingredients and Packaging – Lot 3 Implementation of the evidence-based risk assessment for the re-evaluation of: (i) approved sweeteners (ii) Bisphenol A (iii) Substances authorised for use in Food Contact Materials (FCM)	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
53. GA/EFSA/ALPHA/2019/02	06/03/2019	45000	8	NATIONAL SANITARY VETERINARY AND FOOD SAFETY AUTHORITY*AUTORITATEA NATIONALA SANITARA VETERINARA SI PENTRU SIGURANTA ALIMENTELOR*ANVSA	Analysis of risk factors leading to the latest ASF events with focus on the specific situation in Romania	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				

	General information					Financial and HR impacts				
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1		N	
54. PARTNERING GRANT GA/EFSA/ AFSCO/2017/01 - GA09	12/04/2017	99766.24	27	UNIVERSITA DEGLI STUDI DI MODENA EREGGIO EMILIA*UNIMORE UNIVERSITY OF MODENA AND REGGIO EMILIA	Dose-response relationships in health risk assessment of nutritional and toxicological factors in food: development and application of novel biostatistical methods	Amount	CA	PA	CA	PA
55. PARTNERING GRANT GA/EFSA/ AFSCO/2017/01 - GA04	22/11/2017	99700	27	INSTITUT NATIONAL DE RECHERCHE POUR L'AGRICULTURE, L'ALIMENTATION ET L'ENVIRONNEMENT	Risk assessment for influenza D in Europe	Amount	CA	PA	CA	PA
56. PARTNERING GRANT GA/EFSA/ AFSCO/2017/01 - GA08	12/04/2017	81463.2	27	INSTITUT NATIONAL DE RECHERCHE POUR L'AGRICULTURE, L'ALIMENTATION ET L'ENVIRONNEMENT	Novel and improved tools for monitoring and tackling genetic selection in the potato cyst nematode, <i>Globodera pallida</i> , populations (PALADAPT)	Amount	CA	PA	CA	PA
57. GP/EFSA/ALPHA/2018/01	09/04/2018	40805.1	18	POLLUMA-JANDUSAMET*AGRICULTURAL BOARD	Cooperation in crisis preparedness for <i>Agrilus planipennis</i> in the European Union	Amount	CA	PA	CA	PA
58. GP/EFSA/PRAS/2017/02; GA 03; SA 3; BPI	10/05/2018	82509.57	18	BENAKI PHYTOPATHOLOGICAL INSTITUTE*BPI	Entrusting new preparatory tasks falling within the mission of the EFSA Pesticides unit	Amount	CA	PA	CA	PA
59. GA/EFSA/AFSCO/2016/01-01 - LOT 1	02/09/2017	368301.12	39	WAGENINGEN UNIVERSITEIT*WAGENINGENUNIVERSITY	Methods and systems for the identification of emerging food risks	Amount	CA	PA	CA	PA
	19/08/2019		10			Amount	CA	PA	CA	PA

	General information					Financial and HR impacts				
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N		
60. GP/EFSA/PRAS/2017/02; GA 05		n/a Framework Partnership Agreement		COLLEGE VOOR DE TOELATING VAN GEWASBESCHERMINGSMIDDELEN EN BIOCIDEN*BOARD FOR THE AUTHORISATION OF PLANTPROTECTION PRODUCTS AND BIOCIDES	Entrusting new preparatory tasks falling within the mission of the EFSA Pesticides unit					
61. GP/EFSA/ENCO/2018/05_GA1	27/06/2019	28771.6	14	UNIVERSIDAD POLITECNICA DE CARTAGENA*	Fellow hosting sites - TRAINING IN TOOLS TO DEVELOP RISK RANKING AND QUANTITATIVE RISK ASSESSMENT USING SPANISH READY TO EAT FOOD EXAMPLES	Amount	CA	PA	CA	PA
62. GP/EFSA/ENCO/2018/05_GA9	25/07/2019	33948.2	13	KONINKRIJK DER NEDERLANDEN*ROYAUME DES PAYS-BAS KINGDOM OF THE NETHERLANDS	fellow hosting sites - MODELLING AND MAGNITUDE ESTIMATION OF CROSS-CONTAMINATION IN THE KITCHEN FOR QUANTITATIVE MICROBIOLOGICAL RISK ASSESSMENT (QMRA)	Amount	CA	PA	CA	PA
63. GP/EFSA/ENCO/2018/05_GA4	25/07/2019	28771.6	13	INSTITUTO NACIONAL DE INVESTIGACIONES Y TECNOLOGIA AGRARIA Y ALIMENTARIA OA MP	fellow hosting sites - STUDY OF THE DIFFERENT EVALUATION AREAS IN THE PESTICIDES RISK ASSESSMENT PROCESS_INIA	Amount	CA	PA	CA	PA
64. GP/EFSA/ENCO/2018/05_GA7	25/07/2019	40240.2	13	FOLKEHELSEINSTITUTTET	fellow hosting sites - RA OF PHTHALATES BASED ON AGGREGATED EXPOSURE FROM FOODS AND COSMETICS FOR TWO 24H PERIODS AND COMPARISON	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				

	General information					Financial and HR impacts				
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N		
					WITH BIOMONITORING DATA USING THE MONTE CARLO RISK ASSESSMENT TOOL_NIPH					
65. GP/EFSA/ENCO/2018/05_GA5	25/07/2019	41384.2	13	DANMARKS TEKNISKE UNIVERSITET*TECHNICAL UNIVERSITY OF DENMARK DTU	fellow hosting sites - ANALYSIS AND RA OF ELEMENTS IN BBY FOOD INCLUDING A SCREENING FOR A RANGE OF ELEMENTS, WHICH MAY INFLUENCE FOOD	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
66. GP/EFSA/ENCO/2018/05_GA8	25/07/2019	37837.8	13	UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND*PRE BREXIT	fellow hosting sites - LIVESTOCK HEALTH AND FOOD CHAIN RA_DEFRA	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
67. GP/EFSA/ENCO/2018/05_GA10	30/07/2019	57543.2	13	UNIVERSIDAD DE LEON*ULE	fellow hosting sites - IDENTIFICATION OF RISK FACTORS AND HOTSPOTS OF ANTI-BIOTIC RESISTANCE ALONG WITH THE FOOD CHAIN USING NEXT-GENERATION SEQUENCING_UNIVERSIDAD DE LEON	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
68. GP/EFSA/ENCO/2018/05_GA15	08/12/2019	30144.4	13	UNIVERSITA DEGLI STUDI DI PERUGIA	fellow hostig sites - A RA MODEL FOR ESCHERICHIA COLI IN LYMPH NODES OF BOVINE CARCASSES_UNIVERSITA' DI PERUGIA	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
69. GP/EFSA/ENCO/2018/05_GA14	14/08/2019	27313	13	UNIVERSIDADE PORTO*	fellow hosting sites - RA RELATED TO FOOD ADDITIVES AND CONTAMINANTS EXPOSURE DURING	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				

	General information					Financial and HR impacts				
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N		
					INFANCY AND ADOLESCENCE_UNIVERSITY OF PORTO					
70. GP/EFSA/ENCO/2018/05_GA6	28/08/2019	75675.6	12	UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND*PRE BREXIT	fellow hosting sites - INTEGRATION OF TOOLS AND SOCIAL SCIENCE INTO FOOD SAFETY RA_FSA	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
71. GP/EFSA/ENCO/2018/05_GA13	16/09/2019	31574.4	12	BUNDESMINISTERIUM FÜR RISIKOBEWERTUNG*FEDERAL INSTITUTE FOR RISK ASSESSMENT BFR	fellow hosting sites - RISK ASSESSMENT AND TOXICOLOGICAL RESEARCH OF MICRO- AND NANOPLASTICS AFTER ORAL EXPOSURE VIA FOOD PRODUCTS	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
72. GP/EFSA/ENCO/2018/05_GA2	16/09/2019	31574.4	12	BUNDESMINISTERIUM FÜR RISIKOBEWERTUNG*FEDERAL INSTITUTE FOR RISK ASSESSMENT BFR	fellow hosting sites - RISK ASSESSMENT OF FOOD CONTACT MATERIALS (BFR)	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
73. GP/EFSA/ENCO/2018/05_GA3	16/09/2019	31574.4	12	BUNDESMINISTERIUM FÜR RISIKOBEWERTUNG*FEDERAL INSTITUTE FOR RISK ASSESSMENT BFR	fellow hosting sites - RISK ASSESSMENT OF BOTANICAL PREPARATIONS USED IN FOOD SUPPLEMENTS AND FORTIFIED FOODS (BFR)	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
74. SA01 FPA GP/EFSA/ALPHA/2017/02 - LOT 2 GA 1	12/01/2017	234324.9	35	JULIUS KUHN INSTITUT BUNDESFORSCHEUNGSSINNSTITUT FÜR KULTURPFLANZEN*INSTITUT FOR NATIONAL AND INTERNATIONALPLANT HEALTH JKI	Entrusting support tasks in the area of Plant Health - Lot 2 regarding plant pest surveillance	Amount	CA	PA	CA	PA
						Number of CAs				
						Number of SNEs				
75. GP/EFSA/PRAS/2017/02; GA 03; SA 1-2019	09/04/2019	46470.24	13	BENAKI PHYTOPATHOLOGICAL INSTITUTE*BPI	Entrusting new preparatory tasks falling within the mission of	Amount	CA	PA	CA	PA
						Number of CAs				

	General information					Financial and HR impacts			
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N	
					the EFSA Pesticides unit	Number of SNEs			
76. GP/EFSA/FIP/2018/01 – LOT 2 - SA 01	10/10/2019	79321.77	12	DANMARKS TEKNISKE UNIVERSITET*TECHNICAL UNIVERSITY OF DENMARK DTU	Entrusting support tasks in the area of Food Ingredients and Packaging  Lot 2: Support in the safety evaluation of food enzymes	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
77. SA01 FPA GP/EFSA/ALPHA/2017/02 – LOT 2 GA 2	12/06/2017	82368	35	KONINKRIJK DER NEDERLANDEN*ROYAUME DES PAYS-BAS KINGDOM OF THE NETHERLANDS	Entrusting support tasks in the area of Plant Health - Lot 2 Plant pest surveillance	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
78. GA/EFSA/SCER/2015/01	15/07/2016	899177.41	52	ISTITUTO SUPERIORE DI SANITA*	Modelling human variability in toxicokinetic and toxicodynamic processes using Bayesian	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
79. FPA GP/EFSA/AFSCO/2015/03 SA02	29/06/2016	90000	54	INSTITUTO DE SALUD CARLOS III*	Risk characterization of ciguatera food poisoning in Europe - To determine the incidence and epidemiological characteristics of ciguatera cases in Europe."	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
80. FPA GP/EFSA/AFSCO/2015/03 SA03	30/05/2016	575854	55	INSTITUT DE RECERCA I TECNOLOGIA AGROALIMENTARIES*INSTITUTE FOR FOOD AND AGRICULTURE RESEARCH AND TECHNOLOGY	Risk characterization of ciguatera food poisoning in Europe - "Evaluation of ctxs in seafood and the environment for the risk assessment of ciguatera fish poisoning (cfp), with the consequent obtention of reference material"	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			

	General information					Financial and HR impacts				
	Date of signature	Total amount	Duration	Counterpart	Short description	Amount	N-1		N	
							CA	PA	CA	PA
81. GP/EFSA/AFSCO/2015/03 SA04	FPA 31/05/2016	214145.66	55	UNIVERSIDAD DE VIGO*	Risk characterization of ciguatera food poisoning in Europe - "Characterization of ciguatoxins present in EU contaminated profiles by LC MS/MS and HRMS: Development of standards and secondary reference materials" Risk characterization of ciguatera food poisoning in Europe	Number of CAs				
82. GP/EFSA/ALPHA/2017/01	19/12/2017	200000	37	UNIVERSITAT DE LES ILLES BALEARS*UNIVERSIDAD DE LAS ISLAS BALEARES	Collection of data and information in Balearic islands on biology of vectors and potential vectors of <i>Xylella fastidiosa</i>	Number of SNEs				
83. GP/EFSA/PRAS/2016/02	14/11/2019	n/a Framework Partnership Agreement	14	KONINKRIJK DER NEDERLANDEN*ROYAUME DES PAYS-BAS KINGDOM OF THE NETHERLANDS	Implementation of Cumulative Risk Assessment of Pesticides (Part II)	Amount	CA	PA	CA	PA
84. GP/EFSA/PRAS/2016/02- RIVM -SC 4	12/04/2019	99811.85	13	KONINKRIJK DER NEDERLANDEN*ROYAUME DES PAYS-BAS KINGDOM OF THE NETHERLANDS	Implementation of Cumulative Risk Assessment of Pesticides (Part II)	Number of CAs				
85. GP/EFSA/ALPHA/2020/01	12/08/2020	n/a Framework Partnership Agreement	48	Benaki Phytopathological Institute	Tasking Grant - Entrusting support tasks in the area of Plant health Commodity risk assessment for High Risk Plants (plants for planting for ornamental purpose)	Number of SNEs				

	General information					Financial and HR impacts				
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1		N	
86. FINLAND - FOCAL POINT AGREEMENT 2020	13/05/2020	60000	8	RUOKAVIRASTO*FINNISH FOOD AUTHORITY	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA	PA
							Number of CAs			
87. AUSTRIA - FOCAL POINT AGREEMENT 2020	13/05/2020	70000	8	AUSTRIAN HEALTH AGENCY UND ERNAHRUNGSSICHERHEIT GMBH	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA	PA
							Number of CAs			
88. BELGIUM - FOCAL POINT AGREEMENT 2020	05/12/2020	78750	8	KONINKRIJK BELGIE*ROYAUME DE BELGIQUE KONIGREICH BELGIEN KINGDOM OF BELGIUM	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA	PA
							Number of CAs			
89. BULGARIA - FOCAL POINT AGREEMENT 2020	05/12/2020	48438	8	RISK ASSESSMENT CENTRE*RAC	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA	PA
							Number of CAs			
90. CYPRUS - FOCAL POINT AGREEMENT 2020	05/11/2020	86500	8	KYPRIAKI DIMOKRATIA*REPUBLIQUE DECHYPRE REPUBLIC OF CYPRUS KIBRIS CUMHURIYETI	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA	PA
							Number of CAs			
91. CZECH REPUBLIC - FOCAL POINT AGREEMENT 2020	05/12/2020	50000	8	CESKA REPUBLIKA*REPUBLIQUE TCHEQUE*CZECH REPUBLIC	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA	PA
							Number of CAs			
92. DENMARK - FOCAL POINT AGREEMENT 2020	05/11/2020	100000	8	DANMARKS TEKNISKE UNIVERSITET*TECHNICAL UNIVERSITY OF DENMARK DTU	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA	PA
							Number of CAs			

	General information					Financial and HR impacts			
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N	
						Number of SNEs			
93. ESTONIA - FOCAL POINT AGREEMENT 2020	26/05/2020	44375	7	EESTI VABARIIK*REPUBLIQUE D ESTONIE-PUBLIC OF ESTONIA	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
94. FRANCE- FOCAL POINT AGREEMENT 2020	15/05/2020	110000	8	AGENCE NATIONALE DE LA SECURITE SANITAIRE DE L'ALIMENTATION DE L'ENVIRONNEMENT ET DU TRAVAIL*ANSES	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
95. GERMANY- FOCAL POINT AGREEMENT 2020	19/05/2020	80438	8	BUNDESINSTITUT FUR RISIKOBEWERTUNG*FEDERAL INSTITUTE FOR RISK ASSESSMENT BFR	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
96. GREECE - FOCAL POINT AGREEMENT 2020	05/11/2020	50000	8	ENIEOS FOREAS ELEGHOU TROFINON*EFET HELLENIC FOOD AUTHORITY	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
97. HUNGARY - FOCAL POINT AGREEMENT 2020	18/05/2020	50000	8	NEMZETI ELELMISZER- LANC-BIZTONSAGI HIVATAL*NATIONAL FOOD CHAIN SAFETY OFFICE	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
98. ICELAND- FOCAL POINT AGREEMENT 2020	06/12/2020	28125	7	MATVAELASTOFNUN*ICELANDIC FOOD AND VETERINARY AUTHORITY MAST	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
99. IRELAND - FOCAL POINT AGREEMENT 2020	14/05/2020	80000	8	FOOD SAFETY AUTHORITY OF IRELAND*FSAI	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA

	General information					Financial and HR impacts			
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N	
				UDARAS SABHAIL-TEACHTA BIA NA HEIREANN		Number of CAs			
				REPUBLICA ITALIANA* REPUBLIQUE ITALIENNE ITALIAN REPUBLIC	FOCAL POINT AGREEMENT 2020	Number of SNEs			
100. ITALY - FOCAL POINT AGREEMENT 2020	29/05/2020	80000	7	REPUBLICA ITALIANA* REPUBLIQUE ITALIENNE ITALIAN REPUBLIC	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
101. LATVIA - FOCAL POINT AGREEMENT 2020	05/12/2020	76500	8	PARTIKAS DROSIBAS, DZIVNIEKU VESELIBAS UN VIDES ZINATNISKAIS INSTITUTS BIOR*RESEARCH INSTITUTE OF FOOD SAFETY ANIMAL HEALTH AND ENVIRONMENT	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
102. LITHUANIA - FOCAL POINT AGREEMENT 2020	05/08/2020	50000	8	LIETUVOS RESPUBLIKA*REPUBLIQUE DE LITUANIE REPUBLIC OF LITHUANIA	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
103. LUXEMBOURG - FOCAL POINT AGREEMENT 2020	05/11/2020	65625	8	GRAND DUCHE DE LUXEMBOURG*GROUSSHERZOGTUM VU LETZEBURG GRAND DUCHYOF LUXEMBOURG	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
104. MALTA - FOCAL POINT AGREEMENT 2020	22/06/2020	50000	6	MALTA COMPETITION AND CONSUMER AFFAIRS AUTHORITY*	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
105. NETHERLANDS - FOCAL POINT AGREEMENT 2020	13/05/2020	90000	8	KONINKRIJK DER NEDERLANDEN*ROYAUME DES PAYS-BAS KINGDOM OF THE NETHERLANDS	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			

	General information					Financial and HR impacts			
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N	
						Number of SNEs			
106. NORWAY - FOCAL POINT AGREEMENT 2020	18/05/2020	66500	8	FOLKEHELSEINSTITUTTET	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
107. POLAND - FOCAL POINT AGREEMENT 2020	14/05/2020	63500	8	GLOWNY INSPEKTORAT SANITARNY*CHIEFSANITARY INSPECTORATE	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
108. PORTUGAL - FOCAL POINT AGREEMENT 2020	18/05/2020	76500	8	REPUBLICA PORTUGUESA*REPUBLIQUE-PORTUGAISE PORTUGUESE REPUBLIC	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
109. ROMANIA - FOCAL POINT AGREEMENT 2020	29/05/2020	50000	7	NATIONAL SANITARY VETERINARY AND FOOD SAFETY AUTHORITY*AUTORITATEA NATIONALA SANITARA VETERINARA SI PENTRU SIGURANTA ALIMENTELOR*ANSVSA	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
110. SLOVAKIA - FOCAL POINT AGREEMENT 2020	27/05/2020	42187.5	7	SLOVENSKA REPUBLIKA*REPUBLIQUE SLOVAQUE SLOVAK REPUBLIC	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
111. SLOVENIA- FOCAL POINT AGREEMENT 2020	13/05/2020	50000	8	REPUBLIKA SLOVENIJA*REPUBLIQUE DESLOVENIE REPUBLIC OF SLOVENIA	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
112. SPAIN - FOCAL POINT AGREEMENT 2020	14/05/2020	80000	8	AGENCIA ESPANOLA DE SEGURIDAD	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA

	General information					Financial and HR impacts			
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N	
				ALIMENTARIA Y NUTRICION		Number of CAs			
						Number of SNEs			
113. SWEDEN - FOCAL POINT AGREEMENT 2020	14/05/2020	63438	8	LIVSMEDELSVERKET* NATIONAL FOOD AGENCY SLV NFA	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
114. CROATIA- FOCAL POINT AGREEMENT 2020	05/12/2020	50000	8	HRVATSKI CENTAR ZA POLJOPRIVREDU HRANU I SELO*CROATIAN AGENCY FOR AGRICULTURE AND FOOD	FOCAL POINT AGREEMENT 2020	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
115. GP/EFSA/PRAS/2017/02; GA 05; SA 1-2020	05/04/2020	886.72	2	COLLEGE VOOR DE TOELATING VAN GEWASBESCHERMINGSMIDDELEN EN BIOCIDEN*BOARD FOR THE AUTHORISATION OF PLANTPROTECTION PRODUCTS AND BIOCIDES	Entrusting new preparatory tasks falling within the mission of the EFSA Pesticides unit	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
116. GP/EFSA/FIP/2018/01 – LOT 3 - SA 04 - BPA	05/06/2020	172312.47	8	THE UNIVERSITY OF HERTFORDSHIRE HIGHER EDUCATION CORPORATION*	Entrusting support tasks in the area of Food Ingredients and Packaging - Lot 3 Implementation of the evidence-based risk assessment for the re-evaluation of: (i) approved sweeteners (ii) Bisphenol A (iii) Substances authorised for use in Food Contact Materials (FCM) pathogens of fruit crops	Amount	CA	PA	CA
									PA
						Number of CAs			
						Number of SNEs			
117. GP/EFSA/SCER/2020/01	18/05/2020	30000	6	ISTITUTO ZOOPROFILATTICO	Crisis exercise training	Amount	CA	PA	CA
									PA

	General information					Financial and HR impacts			
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N	
				SPERIMENTALE DELL'ABRUZZO E DEL MOLISE G CAPORALE		Number of CAs			
118. GP/EFSA/PRAS/2016/02- RIVM -SC 6	28/07/2020	50015.07	5	KONINKRIJK DER NEDER- LANDEN*ROYAUME DES PAYS-BAS KINGDOM OF THE NETHERLANDS	Implementation of Cumulative Risk As- sessment of Pesti- cides (Part II)	Number of SNEs			
						Amount	CA	PA	CA
									PA
119. GP/EFSA/AMU/2020/02 - SA01	26/10/2020	104101.8	14	BUNDESINSTITUT FUR RISIKOBEWER- TUNG*FEDERAL INSTI- TUTE FOR RISK ASSESS- MENT BFR	CONFIGURATION OF THE IUCLID DATA- BASE FOR USE OF DOSSIER EVALUA- TION OF ACTIVE SUBSTANCES IN PLANT PROTECTION PRODUCTS BY MS	Number of CAs			
						Number of SNEs			
120. GP/EFSA/AMU/2020/02 - SA04	30/10/2020	149828.25	19	BUNDESINSTITUT FUR RISIKOBEWER- TUNG*FEDERAL INSTI- TUTE FOR RISK ASSESS- MENT BFR	FIRST UPDATE OF THE EU DATABASE OF PROCESSING FACTORS FOR PES- TICIDE RESIDUES	Amount	CA	PA	CA
									PA
						Number of CAs			
121. GP/EFSA/AMU/2020/05	30/10/2020	50000	3	LIVSMEDELSVERKET*NA- TIONAL FOOD AGENCY SLV NFA	Proof of Concept for Data Connection to a Member State na- tional data system	Number of SNEs			
						Amount	CA	PA	CA
									PA
122. SA02 GP/EFSA/ALPHA/2017/02 LOT 2 GA 2	FPA 20/11/2020	13503.6	3	KONINKRIJK DER NEDER- LANDEN*ROYAUME DES PAYS-BAS KINGDOM OF THE NETHERLANDS	ENTRUSTING SUP- PORT TASKS IN THE AREA OF PLANT - PLANT PEST SUR- VEILLANCE	Number of CAs			
						Number of SNEs			
123. GP/EFSA/FIP/2018/01 - LOT 2 - SA 02 ENZYMES	17/12/2020	89941.5	13	DANMARKS TEKNISKE UNIVERSITET*TECH- NICAL UNIVERSITY OF DENMARK DTU	Entrusting support tasks in the area of Food Ingredients and Packaging - Lot 2	Amount	CA	PA	CA
									PA
						Number of CAs			

	General information					Financial and HR impacts			
	Date of signature	Total amount	Duration	Counterpart	Short description		N-1	N	
					Support in the safety evaluation of food enzymes	Number of SNEs			
124. GP/EFSA/AMU/2020/02 - SA02	15/12/2020	167187.90	38	BUNDESMINISTERIUM FÜR RISIKOBEWERTUNG*FEDERAL INSTITUTE FOR RISK ASSESSMENT BFR	RUEDIS AS AN INFORMATION MANAGEMENT TOOL AND DATABASE FOR PESTICIDE RESIDUES TRIALS DATA	Amount	CA	PA	CA
<b>Total grant agreements: 124</b>	<b>11,047,657.42</b>					Number of CAs			
						Number of SNEs			
<b>Contribution agreements</b>									
1. Support to the implementation of Preparatory measures for the participation of IPA beneficiaries in the European Food Safety Authority 2019-2022, contract 2019/405-828	28/02/2019	162,000	36	Drago Marojevic	Support to the implementation of Preparatory measures for the participation of IPA beneficiaries in the European Food Safety Authority 2019-2022, contract 2019/405-828 <sup>70</sup>	Amount	CA	PA	CA
							54000		54000
						Number of CAs			
						Number of SNEs	1		1
<b>Total contribution agreements</b>	<b>162,000</b>					Amount	CA	PA	CA
						Number of CAs			
						Number of SNEs			

<sup>70</sup> In March 2019, EFSA's Management Board approved the signature of a grant agreement with DG NEAR of € 0.5 million (R0 budget) to allow EFSA to support food safety risk assessment training activities to neighbour countries; the grant amount was increased to € 0.75 million in December of the same year, prolonging its duration until 2022

	General information					Financial and HR impacts					
	Date of signature	Total amount	Duration	Counterpart	Short description	Amount	CA	PA	CA	PA	
<b>Service level agreements</b>											
1. JRC/35116/2020	16/09/2020	870,000	5 years	European Commission (Joint research Centre)	Text Mining and Analysis and use of JRC tools						
2. SLA/EFSA-ECHA/IUCLID MVP 2020-21	22/04/2020	2,077,341.00	15 months	ECHA - European Chemicals Agency	Iuclid minimum viable products 2020-2021	Amount	CA	PA	CA	PA	
<b>Total service-level agreements</b>		<b>2,947,341</b>							4		
<b>TOTAL</b>		<b>14,156,998.42</b>				Amount	CA	PA	CA	PA	

# Annex VII. Environment management

EFSA's commitment to environmental sustainability was high on the 2020 agenda. Here are the main actions implemented to reduce EFSA's impact on the environment by CORSER, FIN and Team Strategy 2027.

An important achievement in this area was maintaining the Eco-Management and Audit Scheme (EMAS) registration, which was confirmed after the external audit that took place in June. All the findings from the previous audit were considered closed, and no non-conformities were highlighted, with the process considered effective and running in compliance with the standard. Significant progress was made in the context of the [EMAS 2019/2021 objectives](#): 100% of the energy used by EFSA is produced by [renewable sources](#). Furthermore, EFSA calculated that due to missions and physical meetings/events suspension/virtualisation in response to the COVID-19 outbreak, +90% reduction in CO2 emissions and travel costs were obtained. EFSA identified a [reference model](#) containing a list of green practices for the organisation of events; and an [internal communication campaign](#) was launched to increase staff knowledge on EMAS principles and objectives and to increase awareness on all projects and initiatives developed and carried out so far in EFSA (e.g. "zero use of plastic at work", massive reduction in paper use, waste recycling).

Environmental sustainability was also further supported by introducing green procurement criteria in call for tenders. Market analyses were conducted throughout the year to assess the green options to be included in selection and award criteria, in minimum requirements and certification requests. For example, the contract for the Bar and Canteen service includes criteria that consider the so-called FLOSS principle (fair, local, organic, seasonal, sustainable), the use of products coming from sustainable production and indications to avoid the use of plastic and single-use items. EFSA has also included the principle of environmental sustainability in its draft Strategy 2027, as part of the broader sustainability concept considered throughout the Strategy document *"From EFSA's vision, to EFSA's values and strategic objectives"*.

Another important milestone reached in the course of the year was the upgrading of EFSA's certification in the field of [health and safety management standards](#) from BS OHSAS 18001 to ISO 45001:2018. EFSA's successful certification to the new norm confirms its adequacy to move from the old standard to the new one. Finally, environmental sustainability was encouraged by removing all water dispensers installed in the tower building. That was a small but important step towards an eco-friendlier workplace: a journey that started with building our venue according to high environmentally responsible and resource-efficient standards, and enriched by the EMAS registration which allows us to continuously monitor and improve the environmental performance of our workplace.

# Annex VIII. (draft/final) Annual Accounts

The Final Annual Accounts will be published [here](#), once adopted in June 2021.

**Draft**

# IX. Annual Report on the implementation of EFSA's policy on independence

## 1. Executive Summary

Independence is one of EFSA's key values, and the Authority attaches great importance to the safeguard of the independence of its experts, staff and procedures. This annual report provides a comprehensive picture of the investments and efforts made by EFSA during the reporting period for the implementation of its Policy on Independence. During the course of 2020, although some independence-related activities have been deprioritized as a result of an internal reprioritisation exercise connected to the immediate impact of the COVID-19 pandemic, EFSA:

- Screened a total of 3.042 annual Declarations of Interest (ADoIs) submitted by its scientific experts and identified 31 conflicts of interest (CoIs);
- Processed 18 Declarations of Interest (DoIs) submitted by its Management Board members, 6 DoIs of former members of its Management Board, 375 DoIs of staff members, where 1 CoI was prevented, 86 DoIs of members of the Selection Boards in the context of selection procedures for vacant positions as statutory staff members and 108 DoIs of candidates preselected in the context of recruitment procedures, where in some instances ordinary risk mitigation measures were adopted;
- Screened 74 "Institutional DoIs" and 390 "individual DoIs" submitted by participants in procurement and grant awarding procedures, where no CoIs were identified;
- Evaluated the applications of 10 former staff members wishing to engage in occupational activities, 8 of which were considered overlapping with EFSA's tasks, and applied 3 restrictions;
- Made available one e-training to experts and staff members;
- Updated the list of "public institutions" published online and classified 457 organisations.

In order to carry out the above activities and to further improve its Policy on Independence, EFSA invested a total of 4 full-time equivalents and EUR 511,450. Investment is expected to continue in 2021, as EFSA will focus on the deployment of the complete DoI IT solution, transparency, as well as further implementing and enhancing its internal regulatory framework. Without prejudice to the outcome of the review of the rules on Competing Interest Management initiated in Q4 2020, the analysis of the findings outlined by the present report shows that the regulatory system currently in place adequately safeguards the independence of EFSA's scientific work.

## 2. Background

Regulation (EC) No 178/2002<sup>71</sup> laying down the general principles and requirements of food law and establishing the European Food Safety Authority, prescribes that EFSA shall be a point of reference for risk assessment in the food chain by virtue of the quality of its scientific outputs and of its independence. Independence and high standards of professional conduct are crucial to EFSA's work, for it is essential that interested parties and the public at large trust the process leading to the adoption of its scientific outputs.

<sup>71</sup> Regulation (EC) No 178/2002 of the European Parliament and of the Council of 28 January 2002 laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety, OJ L 031 , 01/02/2002, 2-24 as last amended.

Against this background, as acknowledged in the “EFSA Strategy 2020”, EFSA’s motto of delivering “Trusted science for safe food” requires adherence to robust ethics and integrity standards<sup>72</sup>. An impartial scientific process populated with datasets gathered or developed in an objective manner and processed by scientists devoid of conflicts of interest is of fundamental importance to achieve EFSA’s objective of being truly accountable to EU citizens and its institutional partners.

Adequate management of Conflicts of Interest (CoI) is of key importance for EFSA. In its Policy on Independence<sup>73</sup>, EFSA committed to making publicly available an annual report on independence-related activities, thereby increasing the transparency of related processes. This is further implemented by the Decision on Competing Interest Management, on the management of competing interests applicable to all members of EFSA’s Scientific Committee, Scientific Panels, Working Groups, participants in peer-review meetings, network members, members of EFSA’s governance bodies, hearing experts, observers, participants in procurement and grant-awarding procedures as well as staff of EU institutions, bodies or other agencies taking an active role in EFSA’s meetings<sup>74</sup>

This annual report aims at providing a clear picture of the investments and efforts made by the Authority to meet the expectations of EU citizens and its institutional partners. In the reference year, due to the circumstances linked to the COVID-19 pandemic, some independence-related activities besides screening of Declarations of Interest (DoIs) have been deprioritised by EFSA due to the need to divert internal resources to the development of measures aimed at ensuring business continuity and the performance of EFSA’s activities remotely.

### 3. Regulatory developments

Independence is one of EFSA’s core values, together with openness, scientific excellence, innovation and cooperation. For this reason, in line with the idea of a lean evolution, the Authority adopts a continuous improvement approach characterised by the “Plan-Do-Check-Act” cycle<sup>75</sup>. In accordance with Article 26(3) of the Decision of the Executive Director on Competing Interest Management, in Q4 2020, EFSA launched the review of its rules on Competing Interest Management, which is expected to be completed by Q2 2021. In the reference period, EFSA kept enhancing the internal regulatory framework necessary for the implementation of its 2017 Policy on Independence. The key features of the Decision on Competing Interest Management can be found on EFSA’s website<sup>76</sup>.

As a follow-up action to the internal audit performed by the European Commission’s Internal Audit Service in May 2018, EFSA started applying as of 2020 a new set of internal instructions on the prevention of conflicts of interest of the Selection Board’s Members within the recruitment procedures of EFSA Statutory Staff.

In the reference period, EFSA continued developing a regulatory framework for the implementation of articles 11 and 11a of the EU Staff Regulations on the prevention of conflicts of interest of EFSA employees and candidates to EFSA vacant positions<sup>77</sup>. In view of the fact that this forthcoming Deci-

<sup>72</sup> EFSA, EFSA Strategy 2020. Trusted science for safe food. Protecting consumers’ health with independent scientific advice on the food chain, available online at [https://www.efsa.europa.eu/sites/default/files/corporate\\_publications/files/strategy2020.pdf](https://www.efsa.europa.eu/sites/default/files/corporate_publications/files/strategy2020.pdf).

<sup>73</sup> EFSA’s Policy on Independence. How the European Food Safety Authority assures the impartiality of professionals contributing to its operations, mb170621-a2, available online at <http://www.efsa.europa.eu/en/corporate/pub/policyonindependence>.

<sup>74</sup> EFSA, Decision of the Executive Director of EFSA on Competing Interest Management, EFSA/LA/DEC/19568050/2018, available online at <http://www.efsa.europa.eu/en/corporate/pub/independencepolicy17>.

<sup>75</sup> So called “Deming cycle”, as further reviewed by Imai and Ishikawa, contemplates a continuous improvement process based on four phases: Planning, where issues are identified, hypothesis developed and strategic decisions taken; Doing, where the solutions are tested and implemented on a small scale, and the results measures; Checking, where the results are evaluated and a decision is taken whether the hypothesis and related solution is concerned; and Acting, where the successful solution is implemented: Deming, W.E., 1950. *Elementary Principles of the Statistical Control of Quality*, JUSE; Ishikawa, K., 1985. *What is Total Quality Control? The Japanese Way*. Translated by David, J. Lu. Englewood Cliffs, NJ: Prentice-Hall, Inc, pages 56-61

<sup>76</sup> Trusted Science for safe food, available online at <https://www.efsa.europa.eu/en/howework/independentscience>

<sup>77</sup> Regulation No 31 (EEC), 11 (EAEC), laying down the Staff Regulations of Officials and the Conditions of Employment of Other Servants of the European Economic Community and the European Atomic Energy Community, OJ P 045 14.6.1962, p. 1385

sion is implementing the EU Staff Regulations, it must undergo the *ex-ante* agreement by the European Commission set out in Article 110 of the EU Staff Regulations. The aim is to propose the new rules for adoption by the EFSA Management Board by Q4 2021.

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

In the reference period, EFSA screened a total of 3.042 Annual DoIs submitted by its scientific experts.

In the course of 2020, EFSA also processed 18 DoIs submitted by Management Board members in charge and made publicly available<sup>78</sup> 6 DoIs as part of the registry of activities of former Management Board members<sup>79</sup>.

DoIs have to be submitted also by all tenderers and participants to grant awarding procedures regarding the outsourcing of scientific tasks or projects. In the reference year, this resulted in 71 calls being launched for which DoIs were requested, which led to the screening of a total number of 74 "institutional DoI" as well as of 390 "individual DoIs". In the context of these screening processes, no conflicts of interests were identified.

Finally, the Authority also processed 375 DoIs of staff members, 86 DoIs of members of the Selection Boards in the context of selection procedures for vacant positions as statutory staff members and 108 DoIs of candidates being pre-selected for engagement as contract agents, temporary agents, seconded national experts, or national experts in professional training. As far as the screening of DoIs of staff members is concerned, 1 conflict of interest was identified which was prevented by the adoption of ordinary risk-mitigating measures, while for candidates, ordinary mitigating measures were adopted in a number of cases to ensure that no perception of conflicts of interest could be caused by certain past interests held by candidates selected for filling vacant positions of EFSA statutory staff, seconded national experts and national experts in professional training.

These ordinary mitigating measures<sup>80</sup> include the exclusion of the concerned individual from processes and projects regarding their previous employer in the private sector, such as those regarding the evaluation of application dossiers submitted to EFSA by applicants, participation in the evaluation of tenders by previous employers, or the review of the candidate's own work.

### 4.1 Competing Interests prevented by sector

In the reference period, in the context of *ex-ante controls* performed on the DoIs submitted by its experts, EFSA identified and prevented 31 conflicts of interest at ADoI level. This systematically resulted in the exclusion of the expert from membership to the relevant scientific group.

The breakdown by sector of the conflicts prevented is provided in Table 86.

**Table 86** Competing interests prevented by sector

Sector	Number of conflicts of interest prevented
Animal Health and Welfare	17
Biological Hazards	3
Communications Engagement & Cooperation	1
Genetically Modified Organisms	2
Food Additives and Flavourings	1
Pesticides	4
Scientific Committee	3
<b>Total</b>	<b>31</b>

<sup>78</sup> The registry of post mandate activities in which former MB members engage is available online at <https://ess.efsa.europa.eu/doi/doicweb/wg/684430>.

<sup>79</sup> The disclosure of activities of former Board members for two years after termination of their mandate is a voluntary transparency measure proactively adopted by the Management Board in EFSA's Policy on Independence.

<sup>80</sup> For a definition of this concept, see SOP 039 on management of competing interests, available on EFSA's website at [https://www.efsa.europa.eu/sites/default/files/corporate\\_publications/files/SOP-039\\_A.pdf](https://www.efsa.europa.eu/sites/default/files/corporate_publications/files/SOP-039_A.pdf).

## 5. Ex post controls

Pursuant to the Decision of the Executive Director on Competing Interest Management, twice a year EFSA should perform a check of the compliance and veracity of a sample of screening processes of DoIs submitted by experts who participated in meetings of the Scientific Committee, Scientific Panels, Working Groups, Peer Review meetings as well as of DoIs submitted in the context of outsourcing procedures.

In the reference period, the activities related to the compliance and veracity checks have been suspended as a result of an internal reprioritisation exercise connected to the immediate impact of the COVID-19 pandemic. The next compliance and veracity check exercise is expected to take place in Q2 2021.

Finally, in 2020 EFSA also took action in response to a breach of the applicable rules by issuing a reprimand letter to the concerned expert.

## 6. Assurance Working Group on Independence

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

Four AWGI meetings took place in 2020 and focused mainly on the discussion of interpretive issues linked to the implementation of the rules concerning Competing Interest Management and independence issues linked to outside activities undertaken by EFSA staff.

## 7. Activities undertaken by former EFSA staff members

### 7.1 Background

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

In the case of former senior officials as defined in implementing measures of the EU Staff Regulations, the authority empowered to conclude contract shall, in principle, prohibit them, during the 12 months after leaving the service, from engaging in lobbying or advocacy *vis-à-vis* staff of their former institution for their business, clients or employers on matters for which they were responsible during the last three years in the service. Each institution shall annually publish information on its implementation, including a list of the cases assessed, in compliance with Regulation (EC) 2018/1725 of the European Parliament and the Council<sup>81</sup>.

### 7.2 Overview

In the reference period, no former senior official or agent left EFSA nor informed the Authority of their intention to engage in an occupational activity pursuant to Article 16 of EU Staff Regulations. Furthermore, in the reference year, EFSA processed the applications of 10 staff members having left the Authority. Of these, five opted for the public sector, and five for the private sector (see Table 87). Eight of these activities were deemed to be overlapping with EFSA's tasks and three restrictions were applied. These restrictions involved temporary bans from engaging in the concerned activities for a

<sup>81</sup> Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC, OJ L 295, 21.11.2018, p. 39–98.

certain period of time (cooling off period) and the reminder to take into account possible conflicts of interest before accepting tasks involving EFSA.

**Table 87.** Overview of dossiers submitted under Article 16 of the Staff Regulations.

Reference year	Total number of cases	Of which to the private sector	Of which overlapping with EFSA's tasks	Restrictions applied
2020	10	5*	8	3

\*pharmaceutical company, food company, companies providing consultancies services, non-profit network composed by scientists and scientific organisation concerning food safety

## 8. Awareness-raising and training

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

While the objective for 2020 was for EFSA to conduct four training sessions by yearend, in the reference period training sessions to EFSA staff have been suspended, due to the measures adopted to face the SARS-CoV-2 pandemic. However, an e-learning module on "Conflicts of Interest" framed in a wider set of modules aimed at addressing issues related to "ethics @ work", was available to EFSA statutory staff (see Table 88).

**Table 88** Training activities

Training activities	
Sessions for Scientific Panels	0
Sessions for DoI assessors	0
Sessions for EFSA procurement team in the Finance unit	0
E-training	1

## 9. IT developments

In 2020, EFSA kept improving the component of its IT solution permitting the automated processing of DoIs of staff members, members of its Management Board and experts, thereby ensuring the sustainability of the DoI tool operated by EFSA and improving its availability and efficacy. The tool currently operated by the Authority relies on a proprietary interface combined with commercial off-the-shelf software.

In the reference period, EFSA also worked on the development of the "complete solution" aimed at replacing with a technical commercial off-the-shelf solution based on Taleo the legacy part of the current IT solution in line with the criteria set out in the EFSA IT roadmap.

## 10. Transparency

Building on already highly transparent standards, in 2020, EFSA continued making independence-related processes accessible to citizens and interested parties.

In accordance with EFSA's policy on Independence adopted by its Management Board in June 2017, in Q3 2020, EFSA updated and made publicly available on its website the list of "public institutions"<sup>82</sup>. This list is instrumental to the screening of the DoIs submitted by the concerned individuals in accordance with EFSA's policy on independence and its Decision on Competing Interest Management. In

<sup>82</sup> The list is publicly available on EFSA's website at this address: <https://www.efsa.europa.eu/en/howework/independentscience>.

general terms, the inclusion of an entity in this list certifies that the institutional activities performed by its employees in the public interest do not create a risk of conflict with EFSA's interest.

The list is regularly updated by EFSA with new entries based on the DoIs it receives, and the inclusion of an entity presupposes compliance with the criteria set out in Article 2(1), point m, of the Decision of the Executive Director on Competing Interest Management. In 2020, 457 organisations have been classified by EFSA.

In line with its policy on independence, in 2020 EFSA kept publishing on its website the DoIs of the members of its operational management team, comprising EFSA's Heads of Departments as well as Heads of Unit<sup>83</sup>.

## 11. Engagement

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

In 2020, EFSA engaged 21 times with members of the European Parliament, citizens, media professionals and external parties inquiring about EFSA's policy on independence and competing interest management practices by providing the requested clarifications or support.

## 12. Conclusions

In the reference year, although some independence-related activities have been deprioritised following an internal reprioritisation exercise connected to the immediate impact of the COVID-19 pandemic, EFSA has devoted its investments in this sector to the further implementation and improvement of its Policy on Independence. To deliver the activities described in the previous paragraphs, EFSA allocated a total of 4 full-time equivalents and EUR 511,450.

Investment is expected to continue in 2021 with the deployment of the complete IT solution as well as with the review of EFSA's rules on Competing interest management.

Out of 4.099 DoIs screened by EFSA in the context of the *ex-ante* controls, 32 cases of conflicts of interest were identified and prevented (see table 72).

Pending the outcome of the review of the rules on Competing Interest Management initiated in Q4 2020, and the deployment of the new technical solution, the qualitative analysis of the detailed findings of these operations supports the conclusion that the regulatory system currently in place functions smoothly.

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<sup>83</sup> The DoIs of the Heads of Units and of the Heads of departments are publicly available at this address: <https://www.efsa.europa.eu/en/people/operationalmanagement>.

**Table 89.** Overview of 2020 facts and figures on independence

Ex Ante Control							Ex post controls	Awareness-raising	Resources		
No of ADoIs screened	No of conflicts of interest prevented	No of waivers granted	No of Hearing experts	NoIs screeed for tenderers and participants in grant-awarding procedures	No of Staff ADoIs screened	No of staff members leaving EFSA	No of organisations classified	Breach of the rules	No of training activities	M€	FTEs
Experts: 3,042				74: Institutional DoIs 390: Individual DoIs 0: conflict of interest prevented	375: statutory staff 1: conflict of interest prevented	Total: 10 Private sector: 5* Restrictions: 3	457	1	1: e-training tool for staff	0.5	4
Management Board members: 18											
Former Management Board members: 6	31: ADoIs	13	432								
Total: 3,066 ADoIs											



Draft