

Note to the Management Board

EFSA final Programming Document 2017-2019 & draft Programming Document 2018-2020

1. Objective

The following documents are submitted for possible adoption by the Board:

- Final Programming Document 2017-2019 (supported by a separate document including a detailed Statement of revenue and expenditure for 2017);
- Draft Programming Document 2018-2020.

2. Background and Scope

In March 2016, the Board adopted the draft Programming Document 2016-2019, in compliance with the new requirements of the Programming Document common template of the EU Agencies' Network. That document for the first time aligned the multiannual programme of EFSA to the new strategic objectives defined with the adoption of the EFSA 2020 Strategy.

The draft Programming Document 2016-2019 included:

- the annual work programme for 2016,
- the draft annual work programme for 2017, and
- an extended timeframe of the multiannual programme, until 2019 included.

During 2016, the above mentioned requirements and template has been further specified. Accordingly, EFSA now presents to the Board a set of programming documents which together comprise EFSA's work programme for the period 2017-2020. The set includes two documents, the final Programming Document 2017-2019 (which closes the annual programming cycle initiated in March 2016), and the draft Programming Document 2018-2020 (which initiates the next annual programming cycle).

Please note that content wise the two documents overlap and coincide to a large extent in view of the intersecting timeframe. While this is the result of requirements of the above mentioned template, it may occasionally make the reading complicated. For a more convenient review, please note that the parts where they two documents differ are:

- The annual work-programmes (section III in each of the two documents and its Appendices)
- The resource annexes (Annex I to IV in each of the two documents)
- The annual grants and procurement work programme (Annex IX in each of the two documents)

In 2017, the EU Agencies' Network will re-consider the adequacy of this planning approach while consolidating the lessons learned after one year of implementation of the template. It will then share its recommendations with the Commission, possibly suggesting a more streamlined approach next year.

Content wise, the programming documents are fully aligned to EFSA Strategy 2020. In addition, they also address the Commission Opinion¹ received in September 2016 (see annex 1 below).

Main novelties compared to last year's exercise include:

- the integration of a set of Key Performance Indicators (KPIs) to monitor the progress in pursuing EFSA's strategic objectives (intermediate impact and outcome KPIs in the multiannual section);
- the alignment of the annual section to the strategic objectives, including revamped input/activity/output indicators to ensure an efficient monitoring of progress throughout the year. In particular, attention is drawn to the indicators on scientific production, where focus moved from outputs to questions, hence increasing accuracy in the monitoring of the scientific production.

3. Next Steps

Following the adoption by the Board (subject to possible revisions that may be made at the Board's meeting), the next steps in the process are envisaged as follows:

- The Final Programming Document 2017-2019 will be published on EFSA's website and become the reference for guiding EFSA's work programme implementation in 2017.
- The Draft Programming Document 2018-2020 will be further processed as follows:
 - by the end of January 2017: document updated as per the actual 2016 execution data, and submitted to the EU Institutions (i.e. Commission, Parliament and Council);
 - during 2017: reviewed to address the opinion received from the Commission and to reflect other important developments occurred during 2017;
 - by December 2017: submitted for final adoption to the Board.

¹ Commission Opinion C92016)5833 of the 19.9.2016 on the draft Programming document 2016-2019 of the European Food Safety Authority (EFSA)

Annex 1: Key EC comments on draft SPD 2016-2019 and EFSA follow up on final SPD 2017-2019 and draft SPD 2018-2020

Par	Commission request	EFSA reply - November
7	<p>a) The Commission confirms specific priorities on: antimicrobial resistance (AMR), Plant health (in particular Xylella) and crisis preparedness, efficiency in the area of authorisations (MATRIX project),</p> <p>b) EFSA to add reference to "Citrus black spot" where <i>Xylella fastidiosa</i> is mentioned</p>	<p>a) These priorities are all included in the revised SPD</p> <p>b) Reference to Citrus black spot has been added in the revised SPD (line 340)</p>
9	EFSA to revise introductory sentence of mission statement	Mission statement sentence has been revised
10	<p>EFSA to: Further integrate KPIs on effectiveness and EU value added of actions, and specifically a result oriented KPI for grants; provide performance indicators in the multiannual programming</p>	<p>EFSA KPIs have been revamped in the efforts of EFSA towards a performance/results based approach (including effectiveness and EU value-added), in line with the new EFSA strategy, and included in the SPD; a set of result (intermediate impact and outcome) indicators have been included in the multiannual section of the document and activity/output indicators in the annual section; since this is the first time a number of these indicators will be measured/piloted, their baseline and targets are to be defined in 2017. Pilot result oriented KPIs for grants have also been introduced under SO3.</p>
12	The Commission appreciates the development of new TERA initiatives based on ex ante impact assessment and pilot projects	The TERA initiatives are included and key milestones are described in the document

14	The Commission highlights the importance of the scientific Data Warehouse project, in particular for facilitating foodborne disease management (molecular typing and joint analysis with ECDC)	These initiatives are included and key milestones are described in the document
16	EFSA self-tasks in the area of Contaminants: EFSA to engage in dialogue with the Commission to ensure coherent actions	EFSA will continue engaging with the Commission, current plans on self-tasking are aligned
17	EFSA to further elaborate on strengthened processes/tools on emerging risks identification and crisis preparedness in the area of plant health as well as on the potential role of EFSA in surveillance and monitoring in the area of plant health crisis preparedness	These activities have been further elaborated in the SPD under SO4 (lines 332-341 and 929-941); to be noted that the potential role of EFSA in surveillance and monitoring of plant health risks are considered new tasks in the section 3 on resource outlook (lines 559-565)
18	The Commission highlights the Authority's central role in the implementation of criteria to identify endocrine disruptors in the context of the Plant Protection Products Regulation; EFSA is invited to define the related risk assessment work coming from the regulation as a priority in its SPD	The new task on endocrine disruptors has been described in the SPD under SO1 (risk assessment work, lines 103-107) and SO4 (guidance development, lines 391-392 and 989-990) and new tasks in the section 3 on resource outlook (lines 553-555)
21	The Commission acknowledges the novelty of the guidance on uncertainty but signals the issues raised in terms of communication and alignment with international practises, and points out the importance of the results of the foreseen pilot tests to assess feasibility	EFSA has elaborated on the planned actions on communication, international consultation and piloting of the new guidance on uncertainty under SO4 (lines 946-954)

<p>23</p>	<p>The Commission appreciates the high targets set in timeliness and effective use of financial resources for activity 1, although they were not fully met for 2015</p>	<p>The targets have been kept high and ambitious as these KPIs are considered a priority for EFSA; the new procedure for clarifying the terms of reference before the mandate is sent could prove useful in further improving timeliness.</p>
<p>24</p>	<p>The Commission notes the stable allocation of resources to Activity 1, which is correct considering the importance of the areas covered (plant health, microbiological risk, animal health and welfare)</p>	<p>The stable allocation of resources in the areas of general risk assessment has been maintained, although an increase is expected in the area of plant health thereby impacting on the allocation among the sub-areas unless additional resources will be able to be mobilised.</p>
<p>25</p>	<p>The Commission welcomes the achievement of the targets in terms of number of scientific outputs and reduction in the backlog on MRLs according to plan and encourages the Authority to continue its efforts on the reduction of the backlog.</p>	<p>EFSA will continue and further strengthen its efforts towards an increased efficiency and productivity in the area of regulated products and the reduction (and future avoidance) of the backlog according to agreed plans with the EC. The effectiveness of these actions is expected to increase in the next years in view of the fuller availability of the additional resources (all sourced and gaining experience) and efforts to improve the application management and risk assessment process in this area.</p>
<p>26</p>	<p>The Commission notes that activity 2 scientific output timeliness was below the target but better than in 2014, and encourages the Authority to continue its efforts on meeting timeliness targets</p>	<p>EFSA will continue and further strengthen its efforts towards an improved timeliness in the area of regulated products. Improvements in the application management process and risk assessment are being explored to this end.</p>

<p>27</p>	<p>EFSA to provide an explanation and/or rectification for the fact that GMO forecasted scientific opinions in 2017 are 10 instead of usual 13 (annex B)</p>	<p>The numbers of the forecasted scientific opinions in the GMO area has been revised according to the medium term plan with the Commission (12 opinions, 4 guidances, 19 technical reports and 1 other publication) . Please note the switch from reasoning in terms of outputs (whose content can be considerably variable) to reasoning in terms of questions received and delivered, which is a more stable currency (appendix A)</p>
<p>28</p>	<p>EFSA to collaborate with risk managers in the developments with regards the opening of data to stakeholders on emerging issues and risks</p>	<p>EFSA confirms that it will collaborate with risk managers with regards to the opening of data to stakeholders on emerging issues and risks; the collaboration with risk managers is indicated in various parts of the document.</p>
<p>29</p>	<p>a) EFSA to monitor the added value of cooperation tools, such as thematic grants, fellowships, twinning projects, innovation prize, b) EFSA to look for synergies with other agencies having developed fellowship programmes (e.g. EPIET in ECDC)</p>	<p>a) EFSA has included an intermediate impact KPI to monitor the added value of cooperation tools via stakeholder feedback (SO3); it will further explore the possible value of additional measurements via evaluations; this has also been indicated in the Annex IX on the grants and procurement work programme. b) EFSA has collaborated with ECDC in the set-up of its fellowship programme</p>

<p>30</p>	<p>a)EFSA to provide an explanation and/or rectification for the decrease in the expected number of technical reports b)EFSA to develop more specific indicators on data collection and cooperation with Member States</p>	<p>a) the significant decrease compared to 2015 is due to the fact that technical reports in all activities were presented in one number, whereas for 2016 onwards they are presented by activities under the SOs; the expected number of questions delivered for technical reports has been revised according to the medium term plan. There is no decrease foreseen. b) More specific indicators on data collection and cooperation with Member States have been developed under SO2 and SO4 (at the levels of intermediate impact/outcomes as well as at the level of activities/outputs)</p>
<p>32</p>	<p>EFSA to strengthen KPI for "best management of staff", e.g. with staff engagement surveys</p>	<p>EFSA has elaborated additional KPIs for "best management of staff", including via staff engagement surveys (SO5 outcome indicators).</p>
<p>33</p>	<p>EFSA to correct 2017 (and 2018/19) budget according to financial statement (79.42 Million)</p>	<p>This was an editorial mistake in the main document but not the annex; budget figures have been corrected</p>
<p>34</p>	<p>EFSA to update draft budget 2017 with final EFTA contribution and the amount in differentiated payment credits for the years 2018-2020</p>	<p>Draft budget 2017 has been updated with the final EFTA contribution and the differentiated payment credits for the years 2018-2020 have been added.</p>

<p>36</p>	<p>a)EFSA is encouraged to use interinstitutional procurement procedures b)EFSA to adapt the legal references to those indicated by the EC c)EFSA to delete reference to Regulation No 2230/2004 from the COMMS and RESU work programmes</p>	<p>a) EFSA fully adheres to and pursues the policy of shared inter-institutional procurements (IIP). For example, besides using existing IIPs, EFSA launched in 2014 a IIP with ECDC on a project on vector-borne diseases of common interest. In 2015 it launched a breakthrough IIP on IT Cloud services call leading a group of 20 EU Agencies. Currently, in 2016 EFSA leads IIP on Audit services and another IIP on LinkedIn services. In terms of number of launched IPP and involved amounts, we believe that EFSA is among the most active EU Agencies in IIP. A new section has been added in the Annex IX on the EFSA grants and procurement work programme to capture foreseen initiatives in this area.</p> <p>b)Legal references were adapted c)The Regulation No 2230/2004 was deleted from the COMMS and RESU procurement work programmes</p>
<p>37</p>	<p>The Commission appreciates efforts on efficiency and redeployment and requests EFSA to add more detailed information with regards to re-prioritisation and negative priorities with regards to the human resources redeployment</p>	<p>EFSA has elaborated on re-prioritisation and negative priorities with regards to the human resources redeployment in the section 3. "Human and financial resource outlook for the years 2017-2020"</p>
<p>38</p>	<p>EFSA to align the split of AD/AST posts under Table 1 of Annex III to that provided in the EU's general budget 2015</p>	<p>The split of AD/AST posts was aligned to that of the EU's general budget 2015</p>
<p>39</p>	<p>EFSA to re-align for clarity purposes the establishment plan so as to better reflect the actual situation</p>	<p>The alignment of the establishment plan to reflect the actual situation would impede efforts of EFSA towards any future increase in career progression and improvement of its operations vs support activity ratio; therefore EFSA has opted for maintaining it as is.</p>

40	Ensure the submission of a yearly Action plan (follow-up table) with regards the absorption of backlog in regulated product evaluations (10 short term contract agents was conditional on this)	EFSA will ensure the submission of an annual Action plan with regards the absorption of backlog in regulated evaluations (plan to be presented at the MB in December)
41	<p>a) EFSA to clarify the variation in the recruitment grades for managers in the support functions and to reflect this in the organisation structure presented</p> <p>b) the EC notes that the career progression is too slow compared to the Annex I.B. of the Staff regulations</p>	<p>a) EFSA has provided the range of grades for managers (variation is due to several factors, e.g. HoU vs HoD, seniority in the position, etc.) (Annex IV, section 1)</p> <p>b) EFSA has elaborated on its approach towards career progression including on additional measures it takes towards staff career development and its aim to evaluate the possible increase of the promotion rate (Annex IV, section 2)</p>
42	EFSA to complete information with regards to the content of ex-post evaluations	EFSA has further elaborated the content of ex post evaluations (Annex VII)
43	To mention that the MB will monitor the implementation of the recommendations that might result from the external evaluation	The role of the MB in monitoring the implementation of recommendations from the external evaluations has been included (Annex VII)
44	To add how managers and staff members are involved in the risk management exercise	Further description was added on the involvement of managers and staff members in the risk assessment exercise (Annex VIII)