

No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Environment							
1	Confidential counsellors to be nominated.	HR	1	To appoint the confidential counsellors.	Q2 2021	In Progress	1
2	Policy for the prevention and management of conflicts of interest to be updated and adopted by the MB.	ICRMs/HR	2	EASO policy for the prevention and management of conflicts of interest, as for the provisions of the new EASO FR (2019) and the Guidelines on the Communication from the Commission C (2020) 2297, to be updated, adopted by the MB and reported in the CAAR.	Q2 2021	In progress	1
		ICRMs/HR	3	Info sessions to staff on a newly adopted policy on the conflict of interest to be delivered.	Q3 2021	Planned	
		C4	4	Ethics correspondent to be appointed formally based on the new provisions and template form of the new policy on the management, ethics an integrity by the Head of C4 Centre.	Q4 2021	Planned	
		EXO	5	The process to be put in place based on the provisions of the new policy on the prevention and management of conflicts of interest, ethics and integrity to ensure that a central register of conflict of interest declarations is managed by the Head of C4 and to support the	Q3 2021	Planned	



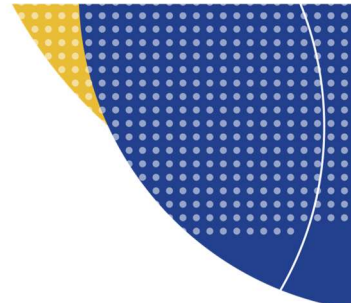
No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Environment							
				decision is taken by the ED.			
3	The Agency should establish formal standard operating procedures for staff complaints or requests under articles 24 and 90.	EXO/LDPS	6	EASO to formalise the current internal process in place through the adoption of a standard operating procedure (SOP) for staff complaints or requests under articles 24 and 90, including deadlines and exception reporting to management if deadlines are not met.	Q2 2021	In Progress	1
4	EASO to establish filing/archiving requirements related to processing of cases of sensitive nature.	EXO/LDPS	7	EASO to ensure the use of secure electronic means with pre-defined access rights for filling/archiving cases including those of a sensitive, confidential or legal nature.	Q3 2020	In Progress (EASO assessment – Implemented)	1
5	Disciplinary proceedings to be concluded within a more reasonable timeframe.	EXO/DPS/HR	8	EASO to put in place a standard operating procedure (SOP) or internal rules, which governs the conduct of disciplinary proceedings within a reasonable time frame and allow only for exceptions that are subject to both regular review (every six months) and written justification.	Q2 2021	In Progress	1



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Environment							
6	There is room to improve the SLA record management and document a procedure defining roles and responsibilities of the actors involved in the approval and signature processes of SLAs.	EXO/FPU	9	EASO have to include a summary of the information SLAs as per the guidelines provided in Annex VI of the CAAR as part of the Budgetary and financial management CAAR reporting packages (Part II.2.3.).	Q2 2021	In Progress	2
		EXO/FPU	10	The process on how to document via a dedicated Paperless workflow the process on how to implement SLA and the roles and responsibilities of the actors involved (RAO, IA, VA and other involved actors) to be documented.	Q2 2021	In Progress	
		EXO/FPU	11	A comprehensive overview/database of all service level agreements (SLAs) signed is to be created.	Q4 2021	In Progress	
7	The statement of the ICC in the CAAR should be accompanied (but not presented in the CAAR) by a Declaration by all Heads of Centres taking responsibility for the completeness and reliability of management	EXO	12	Proposal for declaration form to be prepared by ICRMS in a form of the administrative circular	Q2 2021	Implemented	2
		All AO by Delegation	13	All Heads of Centres (=authorising officers by delegation) sign a declaration taking responsibility for the completeness and reliability of management reporting before finalisation of CAAR.	Q2 2021	Implemented	



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Environment							
	reporting on the result and achievements of objectives.	EXO/CPRMS	14	As the CAAR preparation process, the Corporate planning and monitoring sector to ensure that all AOs by delegation sent their declarations in a timely manner and that they are retained in the central depository in the ERDMS.	Q2 2021	Implemented	
8	Strategy for efficiency gains and synergies for operational and financial activities needs to be put in place.	EXO/QMES	15	Strategy for efficiency gains to be drafted and documented for the SPD 2022 and reported in the CAAR 2022.	Q4 2021	In Progress	2
9	There is room to improve the design and implementation of management supervision structures in EASO by ensuring at least annual reporting from AOS by sub-delegation to their respective AO by delegation and subsequently for the AOS by delegation to AO (the ED).	CPMS/EXO	16	In order to develop and document a supervision and reporting process from RAO to the ED and as a part of the preparation for the CAAR process all AOs by delegation to ensure that all appointed AOs by sub delegation have submitted their declarations within the set timeframe and that these declarations are retained in a central repository in EASO's document management system (ERDMS) for audit trail purposes.	Q1 2021	Implemented	3



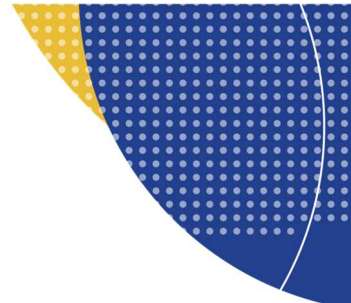
No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Environment							
10	There is room for increasing staff awareness on the decision-making process and the escalation mechanisms at work.	EXO	17	Dedicated section on intranet on the decision-making process to be prepared.	Q4 2021	Planned	3
11	There is room to further promote EASO as an attractive place to work.	HR	18	Update EASO's vacancy template by finding the best solution to further promote EASO and provide the following information (not exhaustive list): <ul style="list-style-type: none"> stating that under certain circumstances the job holder is entitled to schooling and childcare arrangements (including the international schools); more detailed information could be provided on the household and dependent child allowance as well as the education allowance; providing information on the privileges and immunities determined by the seat agreement, such as for example, refund of VAT. adding information on the reimbursement of the various expenses related to recruitment, 	Q3 2021	In Progress	4



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Environment							
				notably removal. • providing attractive information about the lifestyle in Malta (by including links to relevant webpages for Malta and other EASO locations).			
12	An exit procedure for staff leaving EASO and guidance on hand over reporting needs to be formalised.	HR	19	An exit procedure guidance for staff leaving EASO to be approved at the appropriate level.	Q4 2021	In Progress	4
13	EASO to adopt HR implementing rules.	HR	20	Adoption of outstanding implementing rules.	Q4 2021	In Progress	4
		HR	21	In order to make the process more efficient, the internal guidelines on the adoption of the implementing rules to be developed and agreed among the principle actors involved in preparation process.	Q4 2021	In Progress	
14	A competence model to be developed for all the functions.	C4/HRSU	22	A competence model to be developed for all the functions.	Q4 2020 / Q1 2022	In Progress	4



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Environment							
15	A sourcing strategy to be defined.	C1/C4	23	A sourcing strategy is being defined and to be agreed by EASO involving representatives from all core areas in order to define the operational resources that the Agency considers most effective from amongst staff, temporary agency (interim) workers contracted through framework contracts, experts seconded from Member States and any other defined resources for operation support activities.	Q4 2022	In Progress	4
		EXO/LDPS	24	Legal report prepared by the Legal Affairs and Data Protection Sector providing an in-depth analysis of the risks of the legal framework applicable to temporary agency workers conducting assignments for EASO in Malta, Italy, Greece and Cyprus	Q2 2020	In Progress (EASO assessment – Implemented)	
16	The register of job descriptions to be updated.	C4/HRSU	25	Completion of the ongoing process to update EASO book of job descriptions.	Q3 2021	In Progress	4



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Environment							
		C4/HRSU	26	Automatic review of Job Descriptions to be assured each year at the beginning of the performance appraisal exercise process, as a part of its workflow, to be implemented by each line manager.	Q3 2021	In Progress (EASO assessment – Implemented)	
17	A register of technical profiles for interim workers is to be established.	C4/HRSU	27	Development of register of technical profiles, including competency requirements for each profile.	Q4 2021	In Progress	4
18	A document fulfilling the requirements of a sourcing strategy and competence framework to be prepared.	EXO/C4	28	The resulting document, authorised by the Executive Director, to be presented to EASO Management Board.	Q3 2021 (after implementation CFW)	In Progress	4
19	Head of Human Resources Unit to be recruited.	ED/C4	29	Head of Human Resources Unit to be recruited.	Q1 2021	In Progress (EASO assessment – Implemented)	4
20	Comprehensive human resources strategy to be developed.	EXP / C4 / HRSU	30	HR Strategy to be implemented, discussed and endorsed by the MT and approved by EASO Executive Director.	Q4 2021	In Progress	4
21	The recruitment plan to be presented to the Management Board annually.	EXO	31	The annual recruitment plan to be presented to the Management Board annually.	Q2 2021	Planned	4



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Environment							
22	Vacancy management workflow to be developed.	C4/HRSU	32	Agency's vacancy management process to be developed and included in its human resources strategy, with the objective of filling vacancies as soon as possible.	Q2 2021	Planned	4
23	EASO e-recruitment tool to be fully implemented.	C4 / HRSU / ICT	33	EASO e-recruitment tool to be fully implemented and used for all selection procedures.	Q3 2020	In Progress (EASO assessment – Implemented)	4
24	There is room to improve the recruitment procedures.	C4/HRSU	34	Formal adoption of English as EASO's working language, enabling publishing vacancy notices simultaneously in the different channels used. (Adoption of Rules of procedure) (3.4.1).	Q4 2020	In Progress (EASO assessment – Implemented)	4
		C4/HRSU	35	New revised standard operating procedures (SOP) on Recruitment to include the obligation to appoint alternates when appointing member of selection committees (3.4.2).	Q4 2020	In Progress (EASO assessment – Implemented)	
		C4 /HRSU	36	Internal guidelines within HR outlining the obligation for the Agency to date-stamp the attestations and other documents received by job candidates to prove eligibility to be updated and the responsible staff informed accordingly (3.4.3).	Q1 2021	In Progress	



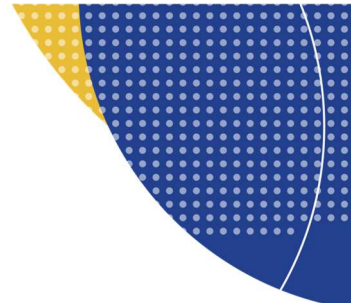
No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Environment							
		C4/HRSU	37	Internal guidelines within HR outlining the different steps to be followed to ensure that employment contracts are signed no later than the first working day to be updated and the responsible staff informed accordingly (3.4.4).	Q1 2021	In Progress	
25	Despite repeated attempts EASO did not succeed in recruiting and retaining enough staff	C4/HRSU	38	EASO to reach the target implementation rates for the establishment plan and recruitment plan (in line with observation on revision of targets and KPI) - Temporary occupation of posts should be appointed for no longer than one year - The ratio of managerial vacancy posts is decreased	Q1 2021	In Progress (EASO assessment – Implemented)	4

No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Risk Assessment							
26	The performance indicators established in the SPD need to be revised taking into consideration realistic and	EXO/ CPRMS	39	Revision of established targets in SPD by: - Re-assessment of KPIs; - Assessment of the accuracy of the formulations; - Reducing the number of indicators.	Q1 2022	Planned	6

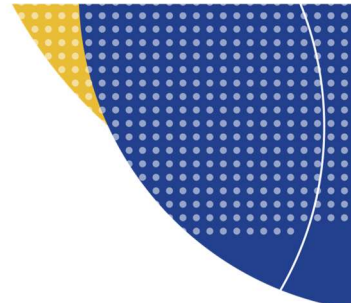


No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Risk Assessment							
	achievable targets as well as EASO's changing environment.	EXO/ CPRMS	40	Consistency revision between the different reporting tools: monthly to MT, quarterly to MB, quarterly on implementation of WP.	Q1 2022	Planned	
27	Inquiries on EASO contractors by external stakeholders to be timely finalised and if required the corrective actions applied.	FPU	41	The suspended payments with the contractor are resolved, if applicable, the recovery orders implemented.	Q1 2022	Planned (EASO assessment – Implemented)	8

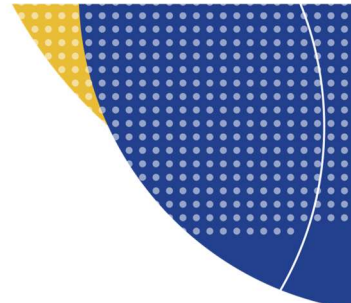
No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Activities							
28	There is room for improvement on the coverage of controls and the reporting on the completeness of the main control activities in EASO (evaluations, ex-ante and ex-post controls) by introducing in the CAAR an assessment of the main control activities by category (ex-ante financial	FPU	42	Completeness of the coverage of ex-ante financial controls implemented by FPU: <ul style="list-style-type: none"> • Coverage per kind of expenditure operation (financial and in number of transactions). • Indicators of the 'legality and regularity' of the underlying transactions • Corrective actions • Late payment Analysis trend analysis (simplified/not simplified) 	Q2 2021	In Progress	10



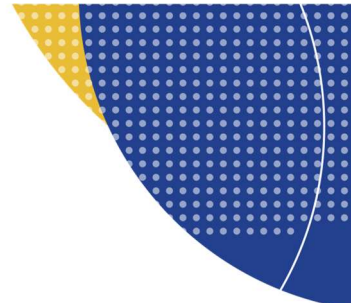
No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Activities							
	verification, ex-post financial verification and evaluations) accompanied by an overall analysis, which demonstrates the completeness, performance and the adequate coverage of control activities in place.	ICRMS/ EXO	43	<p>Completeness of the coverage and cost effectiveness of ex-post financial controls process implemented by EXO:</p> <ul style="list-style-type: none"> • Risk analysis per operations stratum; • Coverage and sampling per operations stratum. • Financial ex-post control methodology; • Reporting including corrective actions and recommendations; • Annual analysis and evaluation of the cost and benefits of the financial ex-post controls. 	Q2 2021	In Progress	
		QMES and EXO	44	<p>Completeness of the coverage of ex-ante and ex-posts evaluation controls.</p>	Q2 2021	In Progress	
29	EASO should establish a risk-based strategy for financial ex-post controls.	EXO	45	<p>A Decision establishing a risk-based strategy for financial ex-post controls in EASO should be adopted by the ED clearly stating:</p> <ul style="list-style-type: none"> o The scope and population of financial operations and processes covered by financial ex-post controls in EASO o The risk management methodology and approach for financial 	Q2 2021	In Progress	10



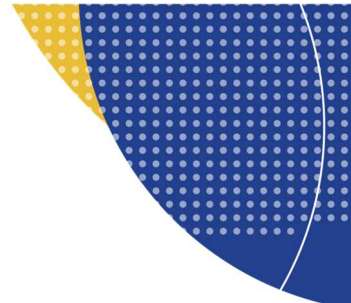
No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Activities							
				ex-post controls; o The sampling coverage methodology o The financial ex-post control methodology, o the reporting process for financial ex-post control results o The access to information and document retention provisions o The full process map of the financial ex-post control procedure to be set and shared with all the actors involved on the financial circuits			
		EXO	46	Provision of a workshop to all ex-post control correspondents on a risk-based strategy for financial ex-post controls.	Q3 2021	Planned	



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Activities							
		EXO	47	A guidance methodology for conducting financial ex-post controls should be enclosed to the risk based financial ex post controls strategy. In order to avoid a surprise approach and to inform on the extent of checks to be implemented during the financial ex-post controls, this guidance should be made available to all staff on the EXO intranet. Any change proposed to this guidance by the ICC shall be made available on the EXO intranet after approval by the Head of EXO.	Q2 2021	Planned	



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Activities							
30	CAAR shall contain information on the acts of delegation and sub-delegation of budget implementation to the agency's staff.	FPU/EXO	48	The ED to report in the CAAR on the assurance received from other Authorising Officers by Delegation, regarding: <ul style="list-style-type: none"> o The time-limit of delegations and sub-delegations o The list of the budget lines covered by sub-delegations granted to another AOD; o A summary of the conditions of these delegations and sub-delegations (i.e. the control and reporting requirements); o Information on the controls carried out, any weaknesses identified and the actions taken to remedy these. 	Q2 2021	In Progress	10
31	EASO MT has not identified the risk factors based on which the ED has to define the sensitive functions at the Agency and the mitigating controls that can reduce the risk of misuse of powers to an acceptable level.	EXO	49	The ED to identify and document the sensitive functions. The risk identified shall be managed by mitigating controls proposed by the ICC and approved by the MT.	Q1 2021	Implemented	10



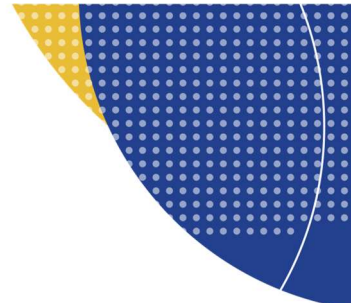
No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Activities							
32	EASO is introducing the first set of Business Continuity Plans (BCP) for critical processes based on a Business Impact Analysis (BIA) following corporate guidance.	QMES	50	Mapping of all EASO processes to Level 2 and business impact analysis (BIA) implemented, endorsed by the MT and signed by the ED.	Q2 2021	In Progress	10
		QMES	51	Business continuity plans (BCP) for the following catastrophic criticality processes with the recovery time within 24 hours signed: Crisis communication, Buildings management, Management of Physical security, Management of Security of staff, ICT Operations management, Service Desk management, IT security governance).	Q2 2021	In Progress	
		ICT	52	Adaptation of the alert and notification system.	Q2 2021	In Progress	
		ICT	53	EASO WIN on IT and cybersecurity incident response plan signed by HoICT.	Q2 2021	In Progress	
		QMES	54	Security Governance Framework to be signed by the ED.	Q1 2021	In Progress	
		QMES	55	Business continuity management strategy and framework to be signed by the ED.	Q2 2021	In Progress	



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Activities							
		QMES	56	Business continuity plans (BCP) for the catastrophic criticality process - Management decision-making - to be developed and signed by ED.	Q2 2021	In Progress	
		QMES	57	Business continuity plans (BCP) for significant criticality processes with the recovery time within 1 week to be developed and signed by the ED.	Q2 2021	In Progress	
33	There is room to improve some ICT governance and project management aspect of EASO organisational structure.	ICT, MT	58	58.1. ICT Governance Board: As for the provisions on EASO/EDD/2019/061, ICT Governance Board to provide and record evidence in ERDMS after each meeting of the agenda, the consultation of business priorities, contribution from the members (if applicable) in advance to the meeting to the agenda, briefing and decision making documents shared with the participants and minutes of the meeting agreed and approved by the participants. For audit trail purposes documents above to be registered in ERDMS and made available to all staff via intranet;	Q2 2021	In Progress	11



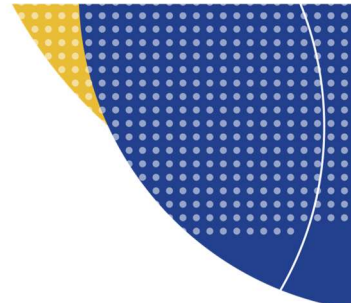
No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Activities							
				58.2.Project Governance Boards/Groups: Minutes of project governance board or governance group within the individual project to be duly documented and recorded in ERDMS.			
		ICT/ MT	59	ICT Governance Board to evaluate the applicable IT governance provisions as set and defined on COM SEC(2004)1267 and other relevant guidance from the Commission in order to identify potential improvement of EASO IT governance structure.	Q2 2021	In Progress	
		ICT/ MT	60	EASO ICT Governance Board should: 60.1 to assess the necessity of increasing the periodicity of ICT Governance Board meetings to better ensure a continuous monitoring of the ICT strategy (for example at least quarterly); (Q3 2021) 60.2 establish a formal project prioritisation methodology (Q4 2021)	Q3 2021	In Progress	



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Activities							
				<p>60.3. define maturity levels for IT based on best practices (Q1 2020)</p> <p>60.4. formalise Enterprise Architecture principles coherently across the organization. (Q1 2022)</p>			
		ICT/ MT	61	<p>ICT Governance Board to assess the cost effectiveness of putting in place annual work plans (by analogy go the IT Master Plans referred on the IT governance provisions applicable in the Commission set in SEC(2004)1267) and where applicable to assess the periodicity for its monitoring by the ICT Governance Board in order to enhance business needs alignment with ICT strategy implementation</p>	Q3 2021	In Progress	



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Activities							
		ICT	62	Relevant guidelines, templates and checklists to be developed, to support a common approach to security requirements to be further developed, as expected within the remit of the EDD on the Information System Security Standards in EASO (EASO/EDD/2019/059).	Q4 2021	In Progress	
		ICT	63	Merge the two governance structures for IT and Security – ICT Governance Boards as per EDD EASO/2019/061 and Information Security Board as per EDD EASO/2019/060.	Q4 2021	In Progress	
		ICT	64	Identify and formalise IT Governance indicators	Q4 2021	In Progress	
		ICT	65	Identify and formalise ICT Strategy indicators	Q4 2021	In Progress	
		ICT	66	Review Business Ownership of Applications	Q4 2021	In Progress	
		ICT	67	Conclude the NFF/Policy on ERDMS on Information Management	Q4 2021	In Progress	

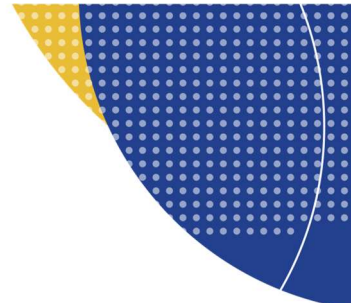


No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Activities							
34	Current project governance and project management methodology to be assessed	EXO, ICT, MT	68	The management to assess current project governance and project management methodologies in use by EASO Centres and decide on changes and improvements that may be required to improve project planning, delivery, control and cost effectiveness. Based on the result of the assessment above, the management to consider the possibility to develop a single framework procedure for implementing of Project Governance and Project Management Methodology defining roles and responsibilities for the management of the portfolio of IT and business projects.	Q3 2021	Planned	11
35	There is room to improve formulation of some ICT consultancy contracts.	ICT	69	EASO to ensure that there are no more times and means contract in force.	Q2 2021	In Progress	11
36	Overall process of implementation of evaluations in EASO to be revised in	QMES (EXO)	70	Definition of the criteria for evaluations, including financial thresholds, to be established in EASO.	Q2 2021	Planned	11



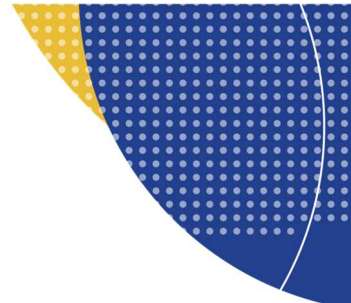
No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Control Activities							
	compliance with the requirements of the Financial Regulation.	QMES (EXO)	71	Regular reporting to the MB (every 6 months) and to the institutions on the state of implementation of the corrective action plans.	Q4 2021	Planned	
37	There is room for slight improvements in some procurement areas.	EXO/FPU	72	EASO to implement actions required by ECA in order to close on-going observation (2018) in the area of procurement.	Q2 2021	In Progress (EASO assessment – Implemented)	11
38	Policy for managing rented premises and related services to be adopted.	QMES	73	Adoption of EASO policy for managing premises and related services.	Q2 2021	In Progress	11

No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Information and Communication							
39	EASO to develop a central and common physical paper archive.	C4	74	A central and common physical paper archive with adequate security measures to be made available.	Q3 2022 depending on the physical return to the office	In Progress	13

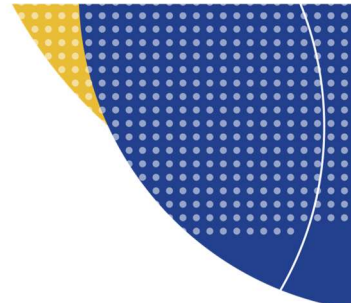


No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Information and Communication							
40	To ensure that EASO official records concluded in Paperless system are automatically send to the document management system.	C4/ICT	75	To ensure that EASO official records concluded in Paperless system are automatically sent to the document management system.	Q4 2021	In Progress	13

No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Monitoring Activities							
41	There is room for improvement regarding the assessment of exceptions/non-compliances events.	EXO/ICRMS	76	In depth assessment of the exceptions/non-compliances events to be implemented as part of the financial ex-post controls by ICRMS.	Q3 2021	In Progress	16
		EXO/ICRMS	77	Based on the results of the financial ex-post controls on exceptions/non-compliance events, the ICRMS should propose improvements to the process by revisioning and streamlining the Manual for managing exceptions/non-compliance events.	Q4 2021	In Progress	



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Monitoring Activities							
42	EASO should develop and perform continuous separate financial ex-post controls to ascertain that the financial internal controls are efficient and effective.	EXO/ICRMS	78	Financial ex-post controls for 2020 financial operations (including procurement files) to be implemented and report approved by ED, based on the methodology and scope defined on the risk based financial ex-post controls strategy adopted by the ED.	Q2 2021	In Progress	16
		EXO/ICRMS	79	Financial ex-post controls for 2021 financial operations (including procurement files) to be implemented for the first six months period of 2021 and then quarterly based on the methodology and the scope defined on the risk based financial ex-post controls strategy adopted by the ED.	Q3 2021	In Progress	
43	There is room for a slight improvement of the methodology of the staff engagement survey.	HR/ICRMS	80	<p>The staff engagement survey needs to be organised in a way that ensures full usage of the results of the survey:</p> <ul style="list-style-type: none"> - MT needs to timely decide if the SES is to be organised annually or multi-annually; - Possibility to launch a dedicated survey for the internal control self-assessment following the questionnaire and the ICAT EU Survey 	Q1 2021	Planned	16



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Monitoring Activities							
				developed by DG BUDG for all DGs and EU bodies to be considered; - To ensure that the chosen technical solution for the implementation of the SES fits its purpose and allows the allocation of different questions to different target groups.			
44	Internal assessment on the cost-effectiveness and added value of an internal audit capability in EASO to be implemented.	ICRMS	81	ICRMS to implement an ex-post controls report on the cost-effectiveness and added value analysis on the implementation of an IAC in EASO based on the control measures and functions in place and planned.	Q1 2021	Implemented	16
		MT	82	MT to discuss a proposal of the ED based on the results of the ex-post control	Q1 2021	Implemented	
		MT	83	ED to introduce a proposal to the MB for discussion and final decision.	Q1 2021	Implemented	
45	Improve the follow up of the recommendations of the staff engagement surveys.	C4/HR	84	A new staff engagement survey to be run in 2021 for the period of 2020 and the results of the new staff engagement survey (2021 for 2020) to be shared with the staff.	Q2 2021	In Progress	17



No.	CAAR proposal	Owner	No of corrective action	Corrective action proposed	Initial Target Date	State of play at the moment of ICSA 2020	Affected IC Principle
Monitoring Activities							
		C4/HR	85	Workshops and the follow up actions in relation to the new staff engagement survey (2021 for 2020) to be implemented after the results of the survey are available.	Q4 2021	Planned	
46	There is room to further enhance the timely implementation of corrective actions.	Responsible owners	86	Ensure closer follow up by the process owners of the agreed corrective actions in order to implement or to re-assess the need for the actions.	Q4 2021	Planned	17
		ICRMS	87	In accordance with the EASO internal control framework and for efficiency gains, ICRMS to ensure that all pending observations and recommendation from control bodies are dully followed up in a single document as internal control action plan.	Q2 2021	Planned	
47	EASO to ensure that the ongoing measures identified in the Governance action plan continue to be monitored following the discontinuation of this action plan.	EXO	88	Feedback of the state of play of the ongoing corrective actions from EASO Governance Action Plan to be provided to ECA for assessment	Q1 2021	In Progress (EASO assessment – Implemented)	17