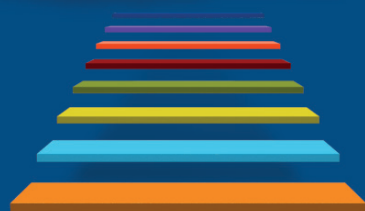




# Directorate General Human Resources and Security

## PERFORMANCE THROUGH PEOPLE



# Management Plan

## 2016





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## PART 1. OVERVIEW OF MAIN OUTPUTS FOR THE YEAR

In 2016 DG HR has established a strategic framework for the period 2016-2020 to enhance performance of the Commission through its people. DG HR has been reorganised to fully align its structure with these HR strategic priorities, to consolidate its steering capacity, and to enhance collaboration and efficiency across entities through the establishment of cross-cutting projects.

This strategy framework is axed around three main pillars.

### HR PERFORMANCE FRAMEWORK FOR MANAGING TALENT AND DEVELOPING THE ORGANISATION



#### Organisational Development

HIGH PERFORMANCE ORGANISATION

DG HR aims to strengthen sustained organisational performance through fit for purpose structures, planning and allocating human resources for better alignment with Commission priorities, designing and supporting modernisation projects for effective and efficient collaboration and strengthening internal communication to enhance staff engagement.

In 2016, DG HR will continuously monitor the alignment of resources with priorities through resource allocation, organisational structures, and the identification of needs for redeployment. It will submit to the College substantive proposals on the different strands of the Synergies and Efficiencies review and will start work on implementation. In particular, DG HR will prepare a pilot phase for new HR delivery model. In parallel, DG HR will develop a single entry point for HR services (eSEP). DG HR will contribute to an effective implementation of the knowledge management strategy within the Commission as a key enabler for new ways of working, enhancing collaboration and efficiency. And it will modernise internal communication to ensure it continues to be relevant, targeted to client groups and contributing to staff engagement. Finally, DG HR will provide smart and timely metrics to decision makers and start the work on the creation of a Commission scorecard.



#### Talent Management

THE RIGHT PERSON, IN THE RIGHT JOB AT THE RIGHT TIME

Our ability to deliver on Commission priorities and core business depends above all on the competencies and dedication of our staff. DG HR must ensure the best possible match between staff competencies and service needs in order to have "the right person, in the right job at the right time".

In 2016, DG HR will roll out a new and comprehensive talent management strategy. It includes in particular, the implementation of a manager mobility framework and a 360°/180°/feedback for managers. The revision of the rules for Contract Agents and Temporary Agents will be finalised and will be complemented with a series of internal competitions. Performance management will be enhanced through the revision of the rules on dealing with unsatisfactory performance and by providing guidance on concrete solutions for both line managers and the HR managers. A reinforced Career Guidance service, together with a new Learning and Development strategy will help contribute to staff development. Last but not least, DG HR will develop a diversity and inclusion strategy focused in particular on inclusive and result-oriented work environment, 40% female representation in management, and on the attraction and retention of colleagues with disabilities.

## PART 1. OVERVIEW OF MAIN OUTPUTS FOR THE YEAR

### SAFE, HEALTHY AND SUSTAINABLE WORKING ENVIRONMENT ENHANCING STAFF RESILIENCE



#### Security SECURE ORGANISATION

A secure working environment is a precondition for the successful motivation, development and performance of staff. Our ambition in this area for the coming years will be to maintain and further increase the quality of the work environment whilst reinforcing effective protection against new threats in a period of resource constraints.

In 2016, the reinforcement of security framework will remain be a key priority and DG HR will further implement enhanced security measures and will review the Commission's alert state system to provide a clear, responsive and effective protection of staff. In the cyber security domain, the priority will be to improve the Commission's systems for secure communication, RUE and CommisSign.



#### fit@work HEALTHY PEOPLE, HEALTHY ORGANISATION

The fit@work programme aims to keep staff fit and healthy in a healthy work environment which respects and seeks to accommodate their needs. The Commission's social impact will be developed through the encouragement and use of our volunteering capacity and we will aim to reduce our environmental impact by continuously improving our environmental performance.

DG HR will further develop the fit@work programme by developing an integrated strategy providing a framework for the period 2016-2020 covering all programmes pillars and setting out a detailed action plan: Activities to be rolled out will be focused on health prevention policy, in particular with regards to mental health, and health enhancing physical activity.

### HR GOVERNANCE STRUCTURE FOR A COLLABORATIVE AND ETHICAL ORGANISATION



#### Legal Affairs ETHICAL ORGANISATION

As a guardian of the HR regulatory framework DG HR ensures the respect of the core ethical values and obligations enshrined in the Staff Regulations. This is vital for ensuring the respect and credibility of the Commission in the eyes of citizens.

DG HR will launch an ambitious Better Regulation programme to simplify and clarify the HR legal basis. This programme will be rolled-out starting with the revision of the rules on outside activities including those carried out by staff in service and as well as those carried out by retired staff.

DG HR will revise the commission decision on IDOC provisions on the conduct of inquiries and disciplinary proceedings.



#### Partnerships COLLABORATIVE ORGANISATION

DG HR will enhance collaboration with HR partners and stakeholders including by extending HR services to other Institutions.

DG HR will review its management structure to enhance its steering capacity on Offices. Improvement of the financial management framework of the European Schools will remain a key priority. In that perspective, DG HR will support the European Schools in the revision of their Financial Regulations and in the day-to-day financial management. Further agreements between the Commission and other Institutions / bodies on the financing of European Schools will be negotiated. DG HR will continue to assist the Schools in planning and implementing security concepts and measures.

# Part 1 – OVERVIEW OF THE MAIN OUTPUTS FOR THE YEAR

## PERFORMANCE THROUGH PEOPLE





# Organisational Development

HIGHER PERFORMANCE ORGANISATION

New way of working to deliver on the priorities of the Commission



| SPECIFIC OBJECTIVE I.1: HUMAN RESOURCES ARE ALLOCATED TO COMMISSION PRIORITIES TO DELIVER MAXIMUM PERFORMANCE AND ADDED VALUE                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <input checked="" type="checkbox"/> Non programme-based |                                                                                     |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------|-------------------------------------------------------------------------------------|
| Key deliverables in 2016:                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Units                                                   | Milestones                                                                          |
| <b>VH</b>                                                                                                                                                                                                                                               | <b>OD Strategy</b><br>Develop an OD strategy for the Commission and identify suitable areas for organisational adjustment and related interventions, especially based on the Synergies Review and the 2016 allocation decision.                                                                                                                                                                                                                                                            | A.2                                                     | Spring                                                                              |
| <b>VH</b>                                                                                                                                                                                                                                               | <b>New service delivery model for the HR function</b><br>Finalisation of the consultation of Directors-General and obtaining political agreement. Carrying out analysis of all HR processes to fine-tune distribution of tasks between different HR actors under the new model (transversal BPR). Testing the revised HR Service Delivery Model in a pilot phase, before rolling it out with an expected improved quality of HR services and savings in the overall HR function.           | A.2                                                     | Report to the Vice-President:<br>Spring<br>Pilot phase:<br>Summer-Winter            |
| <b>VH</b>                                                                                                                                                                                                                                               | <b>Resource Allocation</b><br>Providing HR input to the assessment of DGs' appropriate staffing levels and related taxation needs, also based on the Synergies Review results. Leading on the organisational fitness dimension for the March allocation decision; monitoring of the efficiencies foreseen in the action plans for horizontal review measures.                                                                                                                              | A.1/<br>A.2                                             | Spring<br><br>Winter                                                                |
| <b>H</b>                                                                                                                                                                                                                                                | <b>Corporate Performance Management</b><br>Pooling of knowledge on HR matters leading to a comprehensive overview of clients' needs and challenges to enable more targeted support and better informed proposals for resource allocation and redeployment. Updating the Commission's policy on organisation charts and building up facilities to advise on organisational efficiency. Designing and implementing Organisational Development projects to follow-up on the Synergies Review. | A.1/<br>A.2                                             | Revision of decision on organisation charts: Summer<br>"Account Management": Winter |
| <b>H</b>                                                                                                                                                                                                                                                | <b>Screening of Commission Jobs</b><br>Definition, launch, analysis and reporting.                                                                                                                                                                                                                                                                                                                                                                                                         | A.1                                                     | Autumn                                                                              |
| <b>H</b>                                                                                                                                                                                                                                                | <b>HR Annual Report</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | A.1                                                     | Summer                                                                              |
| <b>VH</b>                                                                                                                                                                                                                                               | <b>Support for Knowledge Management</b><br>Contribute to the development of a knowledge management strategy for the Commission, requiring a change of culture and the use of collaborative tools.                                                                                                                                                                                                                                                                                          | A.2                                                     | Autumn                                                                              |
| Key process outputs in 2016:                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Units                                                   | Output                                                                              |
| <b>Organisation Charts</b><br>Manage and advise on organisation chart changes resulting in increased synergies and efficiencies and reflecting overall staff reduction.                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | A.1                                                     | Organisation chart changes                                                          |
| <b>Workforce planning</b><br>Define the Commission's workforce needs for the future. Identify priority profiles to enable recruitments in those areas against a background of scarce resources as well as profiles in excess for internal redeployment. |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | A.1                                                     | Workforce needs                                                                     |
| <b>Establishment plans</b><br>Consolidate, implement and monitor the establishment plans of the Commission. Ensure that establishment plan posts are used to the maximum extent possible while maintaining budgetary equilibrium                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | A.1                                                     | Establishment plans                                                                 |



# Organisational Development

HIGHER PERFORMANCE ORGANISATION

New way of working to deliver on the priorities of the Commission



| SPECIFIC OBJECTIVE 1.2: EFFICIENT SUPPORT PROCESSES MEETING STAFF AND COMMISSION PRIORITIES                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | ☑ Non programme-based |                                                                                  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------------------------------------------------------------|
| Key deliverables in 2016:                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Units                 | Milestones                                                                       |
| <b>VH</b>                                                                                                                                                                        | <b>Electronic Single Entry Point</b><br>Develop a user-centric seamless interface for all HR matters articulated around 3 pillars: a dynamic information portal, an efficient front-office and a versatile back-office. This interface should be accessible to all HR and PMO clients, both staff and HR professionals.                                                                                                                                                                                                                                                                                       | A.2                   | Pilot phase for limited units: Autumn                                            |
| <b>VH</b>                                                                                                                                                                        | <b>HR Analytics</b><br>Deploy enhanced interactive analytical dashboards in line with the Commission Decision on HR Reporting (including inter-institutional analytics based on service-level agreements). Introduce new metrics based on the Synergies Review results, and deliver talent management and <i>fit@work</i> analytical dashboards. Develop a new pilot cross-domain Commission Dashboard. <ul style="list-style-type: none"> <li>Enhanced HR Analytics Platform</li> <li>New HR Metrics</li> <li>Fit@work, talent - statistical and predictive modelling</li> <li>Cross-domain pilot</li> </ul> | A.3                   | Spring<br>Summer<br>Autumn<br>Autumn                                             |
| <b>H</b>                                                                                                                                                                         | <b>SYSPER Project Management</b><br>Further informatisation and automation of HR processes in particular in the context of the new talent management policy and fit@work. Complete review of probation report and new vacancy management module for officials, as well as TIM module in view of new decisions.                                                                                                                                                                                                                                                                                                | A.3                   | Reviewed probation report module Spring;<br>New vacancy management module Spring |
| <b>H</b>                                                                                                                                                                         | <b>Sysper Inter-Institutional service</b><br>Revise the existing cost model, develop service catalogue, negotiate SLAs with all clients. Set up of dedicated "SERVICE" team.                                                                                                                                                                                                                                                                                                                                                                                                                                  | A.3                   | Costing model Spring                                                             |
| <b>VH</b>                                                                                                                                                                        | <b>Staff Satisfaction Survey</b><br>Review and launch the Staff Survey and analyse the result.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | A.4                   | Launched Spring;<br>Results Summer;<br>Analysis Autumn                           |
| <b>VH</b>                                                                                                                                                                        | <b>Revised Internal Communication Strategy</b><br>Revise Internal Communication Strategy, with an aim to improving governance and making communication content more targeted and attractive; as part of the strategy, establish My IntraComm as the main information platform for internal communication (finalise migration, visual identity, deployment of social intranet)                                                                                                                                                                                                                                 | A.4                   | Establishing the revised strategy:<br>Spring                                     |
| Key process outputs in 2016:                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Units                 | Output                                                                           |
| <b>Business Process Re-engineering</b><br>Review of HR processes                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | A.2                   | Reviewed processes/workflows                                                     |
| <b>SYSPER Maintenance</b><br>Role Management, Training and Career Helpdesk                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | A.3                   | e-training module                                                                |
| <b>Internal Communication</b><br>Manage social media, publications, promotion campaigns, and corporate internal events; phasing-out the print version of "Commission en Direct." |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | A.4                   | Commission en direct Spring;<br>Institution Open Day – 28 May                    |



# Talent Management

THE RIGHT PERSON IN THE RIGHT JOB AT THE RIGHT TIME

Corporate Talent Management Policy aligned with Commission priorities



| SPECIFIC OBJECTIVE II.1: A TALENT MANAGEMENT STRATEGY THAT BUILDS A KNOWLEDGEABLE, SKILLED, FLEXIBLE, AND NETWORKED STAFF AT THE SERVICE OF EUROPE |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | ☑ Non programme-based           |                                                |
|----------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|------------------------------------------------|
| Key deliverables in 2016:                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Units                           | Milestones                                     |
| <b>VH</b>                                                                                                                                          | <b>Integrate talent Management Framework</b><br>Policy document providing an overview of the proposed framework and its various components, which will be implemented gradually between 2016 and 2020.                                                                                                                                                                                                                                                                                                                                                                                                                                                 | B.<br>ADV<br>01                 | Autumn                                         |
| <b>VH</b>                                                                                                                                          | <b>Learning Management Information System</b><br>After the installation and configuration of the system completed in 2015, the system will go live in 2016.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | B.3                             | Autumn                                         |
| <b>VH</b>                                                                                                                                          | <b>New rules for middle managers</b><br>Review corporate selection procedure and related guidelines to integrate the lowering of eligibility grade, updated competencies, generalisation of assessment centres, and managerial appraisal and further develop support measures or tools for Heads of Unit (including the newly appointed ones) <ul style="list-style-type: none"> <li>Commission's Decisions adopted</li> <li>Guidelines updated.</li> <li>AC generalised</li> <li>Training and support for middle managers defined.</li> <li>Selection and appointment procedures streamlined and monitored</li> </ul>                                 | C.2<br>C.2<br>C.2<br>C.2<br>C.2 | Spring<br>Spring<br>Autumn<br>Spring<br>Autumn |
| <b>VH</b>                                                                                                                                          | <b>Implementation of manager mobility framework</b><br>Define target for inter-DGs mobility of middle managers and implement corporate mobility exercise for eligible middle managers.<br>Revise and expand the support for the development of managers through training, mentoring, coaching, and through a well-structured network of managers, which organises frequent workshops and events to foster key leadership and managerial skills <ul style="list-style-type: none"> <li>Import targets defined</li> <li>Mobility exercise scope and process defined.</li> <li>Exercise launched.</li> <li>Set-up of Senior Management Network</li> </ul> | C.2<br>C.2<br>C.2<br>C.2        | Spring<br>Spring<br>Autumn<br>Summer           |
| <b>VH</b>                                                                                                                                          | <b>360°/180° feedback for managers</b><br>Design of 180°/360° scheme for current senior and middle officials                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | C.1<br>C.2                      | Summer                                         |
| <b>VH</b>                                                                                                                                          | <b>Tools and processes to foster staff mobility</b><br>Review of the Commission Career Guidance Service, including the development of an IT tool to better identify staff skills and preferences throughout the Commission                                                                                                                                                                                                                                                                                                                                                                                                                             | B4                              | Autumn                                         |



# Talent Management

THE RIGHT PERSON IN THE RIGHT JOB AT THE RIGHT TIME

Corporate Talent Management Policy aligned with Commission priorities



|                                                           |                                                                                                                                                                                                                                                                                                                                                       |       |                                    |
|-----------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|------------------------------------|
| <b>VH</b>                                                 | <b>New general implementing rules for Contract Agents</b><br>Offer additional career opportunities to contract agents, notably through the organisation of internal competitions with a view to enabling the best performers to pursue a career in the Commission as officials                                                                        | B.1   | Spring                             |
| <b>VH</b>                                                 | <b>New general implementing rules for Temporary Agents</b><br>Revise the selection procedures and the career perspectives of Temporary Agents in the Commission.                                                                                                                                                                                      | B.1   | Autumn                             |
| <b>VH</b>                                                 | <b>Policy on the Management of Unsatisfactory Performance</b><br>Review rules applicable to address cases of unsatisfactory performance. Issue guidance on managerial and legal aspects of underperformance management. Enhance central support to help managers deal with individual cases of underperformance and unsatisfactory probation periods. | B.2   | Spring                             |
| Key process outputs in 2016:                              |                                                                                                                                                                                                                                                                                                                                                       | Units | Output                             |
| <b>Recruit Talent: staff</b>                              |                                                                                                                                                                                                                                                                                                                                                       | B.1   | Number of recruited staff.         |
| <b>Select Talent: middle managers and advisers</b>        |                                                                                                                                                                                                                                                                                                                                                       | C.2   | Number of selected middle managers |
| <b>Select Talent: senior managers and senior advisers</b> |                                                                                                                                                                                                                                                                                                                                                       | C.1   | Number of selected senior managers |
| <b>Develop Talent: Learning &amp; Development</b>         |                                                                                                                                                                                                                                                                                                                                                       | B.3   | Average satisfaction rate          |
| <b>Support performance management</b>                     |                                                                                                                                                                                                                                                                                                                                                       | B.2   | Number of appraisals               |
| <b>Support mobility of talent &amp; career management</b> |                                                                                                                                                                                                                                                                                                                                                       | B.4   | Number of mobility transfers       |



# Talent Management

THE RIGHT PERSON IN THE RIGHT JOB AT THE RIGHT TIME

Corporate Talent Management Policy aligned with Commission priorities



| SPECIFIC OBJECTIVE II.2: A DIVERSE AND INCLUSIVE TALENT MANAGEMENT                                                                                                                                                                                                                                                                                                                     |  | ☑ Non programme-based |                          |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-----------------------|--------------------------|
| Key deliverables in 2016:                                                                                                                                                                                                                                                                                                                                                              |  | Units                 | Milestones               |
|  <b>Diversity policy</b><br>Commission communication on Diversity focused on an inclusive and result-oriented work environment; 40% female representation in management; and attracting and retaining colleagues with disabilities.                                                                   |  | ADV.<br>B.02          | Spring                   |
|  <b>Croatian nationals</b><br>Progress towards the achievement of Croatian nationals recruitment targets and monitor the Commission's capacity to attract candidates on a broad geographical basis                                                                                                    |  | B.1                   | Autumn                   |
|  <b>Internal Commission report on geographical balance.</b><br>Assess the situation in the Commission in order to prepare the first report on the implementation of Article 27 of the Staff Regulations on geographical balance to be transmitted to the European Parliament and the Council in 2017. |  | B1                    | Autumn                   |
| Key process outputs in 2016:                                                                                                                                                                                                                                                                                                                                                           |  | Units                 | Output                   |
| <b>Select Talent - Middle managers and advisers</b>                                                                                                                                                                                                                                                                                                                                    |  | C.2                   | Selected middle managers |
| <b>Select Talent - Senior managers and senior advisers</b>                                                                                                                                                                                                                                                                                                                             |  | C.1                   | Selected senior managers |



# Security

SECURE ORGANISATION

Secure, safe, healthy and sustainable working environment



| SPECIFIC OBJECTIVE III.1: STAFF WORK IN A SECURE WORKING ENVIRONMENT                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                          | ☑ Non programme-based |                           |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|---------------------------|
| Key deliverables in 2016:                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                          | Units                 | Milestones                |
| <b>VH</b>                                                                                                                                                                                                                                                                                                                                                                                                                           | <b>Ensure effective implementation of the Enhanced Security Measures plan</b><br>Continue the implementation of a plan on "Enhanced security measures" to respond to the current threats | DS.TF                 | Autumn                    |
| <b>VH</b>                                                                                                                                                                                                                                                                                                                                                                                                                           | <b>Revise the Commission decision on alert states</b><br>Harmonise rules between EU institutions                                                                                         | DS.1                  | Summer                    |
| <b>VH</b>                                                                                                                                                                                                                                                                                                                                                                                                                           | <b>Ensure that the Commission meets encryption standards</b><br>Encryption standard will become mandatory in 2016.                                                                       | DS.5                  | Autumn                    |
| Key process outputs in 2016:                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                          | Units                 | Output                    |
| <b>Security enquiries</b><br>Ensure security enquiries (requêtes administratives)                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                          | DS.R<br>A             | Number of enquiries       |
| <b>VIP Protection</b><br>Ensure physical protection of College Members including the President and the HR/VP. Ensure armed patrol service and review structure of the close protection team.                                                                                                                                                                                                                                        |                                                                                                                                                                                          | DS.1                  | VIP Protected             |
| <b>Duty office</b><br>24/7 emergency number 22222 accessible to all Commission staff including Offices, Representations and Delegations. Commission entry point for Rapid Alert Systems. Commission entry point for several other services and host country authorities.                                                                                                                                                            |                                                                                                                                                                                          | DS.1                  | Security incidents solved |
| <b>Security intelligence – Counterterrorism</b><br>Strengthen, in close cooperation with other European institutions and with the Member States, the capabilities to assess terrorism threats towards European Commission staff.                                                                                                                                                                                                    |                                                                                                                                                                                          | DS.2                  |                           |
| <b>Security Intelligence – Counter surveillance monitoring &amp; Counterintelligence</b><br>Manage activities in the field of Counterintelligence (CI strategy, CI activities, external liaison, etc.) aimed at preventing, monitoring, detecting and responding to efforts by hostile services or actors targeting Commissioners, EC staff and interests and/or to gain unauthorised access to information held by the Commission. |                                                                                                                                                                                          | DS.2                  |                           |
| <b>Commission's security rules</b><br>Coordinate the implementing rules to complement the Commission's security rules adopted in 2015                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                          | DS.3                  | Implementing rules        |
| <b>Security audit &amp; control mission programme</b>                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                          | DS.3                  | Number of audit           |



## Security

SECURE ORGANISATION

Secure, safe, healthy and sustainable working environment



|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |      |                                                                  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|------------------------------------------------------------------|
| Perform audit and control visits to Commission sites, including Representations, JRC sites and ECHO offices, as well as to EU Delegations to ensure compliance with security provisions.                                                                                                                                                                                                                                                                                         |      |                                                                  |
| <b>Organise training for LSOs, RCOs, and other staff</b><br><br>Organise training and give advice for Local Security Officers, Registry Control Officers and other staff, on handling of EU classified information and on general security issues in consultation with DGs                                                                                                                                                                                                       | DS.3 | Number of Staff trained                                          |
| <b>Technical Security and Guards</b><br><br>Manage guards service, equipment and security controls, access controls, access cards                                                                                                                                                                                                                                                                                                                                                | DS.4 | Tires d'accès délivrés                                           |
| <b>Information Security policy development, policy support and compliance checks</b><br><br>In cooperation with DG DIGIT, revise Commission Decision (2006) 3602 on the security of the Commission's information and communication systems, ensuring consistency of the security rules adopted in 2015.<br>Develop a strategy for compliance checks of IT systems, especially those processing classified information and those processing sensitive non-classified information. | DS.5 | Draft new Commission Decision<br><br>Establish compliance checks |
| <b>Develop further malware detection kiosks</b><br><br>Deploy 6 new CART Kiosks to protect the Commission's IT infrastructure against malware on USB sticks and portable devices.                                                                                                                                                                                                                                                                                                | DS.5 | CART Kiosks                                                      |



| SPECIFIC OBJECTIVE III.2: STAFF WORK IN A SAFE AND ATTRACTIVE WORKING ENVIRONMENT                                                                                                         |                                                                                                                                                                                                                                                                        | <input checked="" type="checkbox"/> NON PROGRAMME-BASED |                                                 |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------|-------------------------------------------------|
| Key deliverables in 2016:                                                                                                                                                                 |                                                                                                                                                                                                                                                                        | Units                                                   | Milestones                                      |
| <b>VH</b>                                                                                                                                                                                 | <b>'fit@work' – Commission Health and Wellbeing Policy</b><br>Integrated strategy providing a framework for the period 2016-2020 covering all programmes pillars and details , together with an action plan including psychosocial risk management.                    | D.1                                                     | Spring                                          |
| <b>VH</b>                                                                                                                                                                                 | <b>HEALTH – New Medical Prevention policy</b><br>Strategic document providing a framework for the period 2016-2020 covering all medical prevention activities to enhance staff health.                                                                                 | D.3                                                     | Summer                                          |
| <b>VH</b>                                                                                                                                                                                 | <b>HEALTH – Sickness management report</b><br>Analysis of Sickness absences.                                                                                                                                                                                           | D.1                                                     | Spring                                          |
| <b>H</b>                                                                                                                                                                                  | <b>HEALTH – Health enhancing guidelines</b><br>Commission guidelines on managing the abuse of alcohol and drugs                                                                                                                                                        | D.3                                                     | Spring                                          |
| <b>VH</b>                                                                                                                                                                                 | <b>PHYSICAL ACTIVITIES – Health Enhancing Physical Activity (HEPA)</b><br>HEPA Policy document providing framework for staff to embed physical activity in their daily work.                                                                                           | D.1                                                     | Summer                                          |
| <b>VH</b>                                                                                                                                                                                 | <b>WORK – LIFE BALANCE – Official Retirement</b><br>Define a policy on official retirement including departure                                                                                                                                                         | D.1                                                     | Summer                                          |
| <b>VH</b>                                                                                                                                                                                 | <b>PHYSICAL WORKING ENVIRONMENT – Workspace arrangements</b><br>Analysis of the current Commission workspace arrangements taking into account the result of staff survey.<br>Identify recommendations for the establishment of a policy on "work place of the future". | D.2                                                     | Summer                                          |
| <b>H</b>                                                                                                                                                                                  | <b>PHYSICAL WORKING ENVIRONMENT – Buildings</b><br>Further implementation of the fit@work programme: dedicated premises in buildings, fit@work menus, opening of the centre of Overijse for Brussels and the Foyer européen for Luxembourg                             | D.2                                                     | Spring<br>(Overijse & Foyer)                    |
| Key process outputs in 2016:                                                                                                                                                              |                                                                                                                                                                                                                                                                        | Units                                                   | Output                                          |
| <b>Welcome newcomers</b>                                                                                                                                                                  |                                                                                                                                                                                                                                                                        | D.1                                                     | Number of new comers                            |
| <b>Manage working conditions</b><br>Manage part-time, telework and flexitime.                                                                                                             |                                                                                                                                                                                                                                                                        | D.1                                                     | Number of staff with flexible working condition |
| <b>Manage working environment</b><br>Follow-up and auditing of OIB and OIL implementation of working environment requirements.                                                            |                                                                                                                                                                                                                                                                        | D.2                                                     | Number of Recommendations                       |
| <b>Governance and cooperation</b><br>Wellbeing network, Sport and culture clubs, Self-help groups, Social dialogue in the area of social welfare policy and actions (CASS, COPAS, CCOPS). |                                                                                                                                                                                                                                                                        | D.1                                                     | Stakeholders                                    |



|                                                                                                                                                                             |         |                            |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|----------------------------|
| <b>Relations with Pensioners</b><br>"Preparation for Retirement" seminars, Social assistance to retired staff, communication to pensioners, ACTIVE SENIOR Initiative        | D.1     | Number of pensioners       |
| <b>Provide psychosocial interventions</b>                                                                                                                                   | D.3 4 5 | Number of intervention     |
| <b>Provide Pre-Recruitment Medical Examinations</b>                                                                                                                         | D.3 4 5 | Number of medical visits   |
| <b>Provide Regular Medical Examinations</b>                                                                                                                                 | D.3 4 5 | Number of medical visits   |
| <b>Manage invalidity procedures</b>                                                                                                                                         | D.3 4 5 | Number of medical visits   |
| <b>Provide vaccination against seasonal influenza</b>                                                                                                                       | D.3 4 5 | Number of staff vaccinated |
| <b>Coordination of the Offices OIB &amp; OIL</b><br>Set policy priorities, coordinate the delivery of services by OIB & OIL (Management Boards, Real Estate Committees ...) | D.2     |                            |

|                                                                                                                                                                                                                                                                                                                                                                                              |       |                                                         |  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---------------------------------------------------------|--|
| SPECIFIC OBJECTIVE III.3: AN ORGANISATION RESPECTFUL OF ITS ENVIRONMENTAL IMPACT AND ITS SOCIAL RESPONSIBILITY                                                                                                                                                                                                                                                                               |       | <input checked="" type="checkbox"/> NON PROGRAMME-BASED |  |
| Key deliverables in 2016:                                                                                                                                                                                                                                                                                                                                                                    | Units | Milestones                                              |  |
|  <b>EMAS</b><br>Improvement of the environmental impact of the Commission through the implementation of the Environmental Management and Audit Scheme (EMAS).                                                                                                                                             | D.2   | Autumn                                                  |  |
|  <b>Volunteering</b><br>A Staff Volunteering policy including supporting tools <ul style="list-style-type: none"> <li>• Volunteering Website</li> <li>• L&amp;D info on team building</li> <li>• Training/orientation for volunteers and project leaders</li> <li>• Special leave arrangements</li> </ul> | ADV   | Summer                                                  |  |
| Key process outputs in 2016:                                                                                                                                                                                                                                                                                                                                                                 | Units | Output                                                  |  |
| Building Energy Consumption Reduction (MWh/year/person)                                                                                                                                                                                                                                                                                                                                      | D.2   | -1,7% (compared with 2014)                              |  |
| CO <sub>2</sub> Emissions Reduction – from buildings and vehicles (Ton/person)                                                                                                                                                                                                                                                                                                               | D.2   | -1,7% (compared with 2014)                              |  |



## Legal affairs

ETHICAL ORGANISATION

Leading the way as a transparent and open public administration



| SPECIFIC OBJECTIVE IV.1: MANAGERS AND STAFF ABIDE BY THE HIGHEST PROFESSIONAL AND ETHICAL STANDARDS AT ALL TIMES                                                                                                                                                                                                                                                                                                                                          |  | <input checked="" type="checkbox"/> Non programme-based |                         |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|---------------------------------------------------------|-------------------------|
| Key deliverables in 2016:                                                                                                                                                                                                                                                                                                                                                                                                                                 |  | Units                                                   | Milestones              |
|  <b>Revise Outside Activities decision</b>                                                                                                                                                                                                                                                                                                                               |  | E.3                                                     | Autumn                  |
|  <b>Requests from the working party on the Staff Regulations</b><br>First studies to be launched according to the new Staff Regulations and possible requests from the working party on the Staff Regulations. Reports on arduous working conditions and shift work, Pension study, Use of Contract Agents, Geographical balance, Application of GIPs by EU Institutions |  | E.1                                                     | Autumn                  |
|  <b>Whistleblowing</b><br>Analyse current guidelines to assess their effectiveness                                                                                                                                                                                                                                                                                       |  | IDOC                                                    | Spring                  |
|  <b>Revision of inquiries and disciplinary implementing Decision</b><br>Revision of Commission Decision C(2004)1588 on IDOC general implementing provisions on the conduct of inquiries and disciplinary                                                                                                                                                                 |  | IDOC                                                    | Winter                  |
|  <b>IDOC Annual Activity Report</b>                                                                                                                                                                                                                                                                                                                                     |  | IDOC                                                    | Spring                  |
| Key process outputs in 2016:                                                                                                                                                                                                                                                                                                                                                                                                                              |  | Units                                                   | Output                  |
| <b>Retired Senior management engaging in lobbying and advocacy activities</b><br>Establish the 2nd Report on the implementation of Article 16 (3) SR                                                                                                                                                                                                                                                                                                      |  | E.3                                                     | Autumn                  |
| <b>Treatment of Ombudsman complaints</b>                                                                                                                                                                                                                                                                                                                                                                                                                  |  | E.3                                                     | Replies to Ombudsman    |
| <b>Inquiries and discipline case handling</b><br>Carrying out administrative enquiries and pre-disciplinary and disciplinary procedures in order to establish facts and determine whether there has been a failure to comply with the obligations incumbent on Commission officials and other servants                                                                                                                                                    |  | IDOC                                                    | Reports to AA/Decisions |
| SPECIFIC OBJECTIVE IV.2: STAFF REGULATIONS IMPLEMENTING RULES ARE CLEAR AND EFFECTIVELY APPLIED                                                                                                                                                                                                                                                                                                                                                           |  | <input checked="" type="checkbox"/> Non programme-based |                         |
| Key deliverables in 2016:                                                                                                                                                                                                                                                                                                                                                                                                                                 |  | Units                                                   | Milestones              |
|  <b>Better HR Regulations</b><br>Revision of Staff Regulations implementing rules with a view to simplification and ensuring a fair and coherent application of the rules by Commission services. Report on 2016 Achievements                                                                                                                                          |  | E.1                                                     | Autumn                  |
| Key process outputs in 2016:                                                                                                                                                                                                                                                                                                                                                                                                                              |  | Units                                                   | Output                  |
| <b>Legal advice for HR family</b>                                                                                                                                                                                                                                                                                                                                                                                                                         |  | E.1                                                     | opinions/year           |
| <b>Management of staff member complaints against Appointing Authorities decisions</b><br>(Art. 90 of Staff Regulations)                                                                                                                                                                                                                                                                                                                                   |  | E.2                                                     | cases                   |



## Partnership

COLLABORATIVE ORGANISATION

Leading the way as a transparent and open public administration



| SPECIFIC OBJECTIVE IV.3: COLLABORATIVE AND EFFECTIVE PROFESSIONAL RELATIONSHIPS WITH STAKEHOLDERS AND PARTNERS RELEVANT FOR HR CORE SERVICES                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |  | ☑ Non programme-based |                                  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-----------------------|----------------------------------|
| Key deliverables in 2016:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |  | Units                 | Milestones                       |
|  <b>Agreement with Trade Unions &amp; staff association</b><br>Resources agreements with Trade Unions & staff association                                                                                                                                                                                                                                                                                                                                                                                                           |  | E.1                   | Autumn                           |
|  <b>Harmonise personal files management within Institutions</b><br>Harmonise management of personal files within the EU Institutions to ensure better efficiency in mobility and shared services                                                                                                                                                                                                                                                                                                                                    |  | E.3                   | Winter 2016                      |
|  <b>Administrative cooperation with EUPAN</b><br>Contribution to the preparation of the strategic plan and rolling programme for administrative cooperation in the context of the EUPAN Network to modernise national public administrations (EU Semester)                                                                                                                                                                                                                                                                          |  | E.4                   | Autumn                           |
|  <b>European Schools Governance</b><br>Improve European School management system steering the implementation of an action plan for modernisation, including in particular: <ul style="list-style-type: none"> <li>• SLAs for training and advice on procurement, internal control and financial rules</li> <li>• Follow -up of the judgment of the European Court of Justice against UK on salaries of UK seconded teachers</li> <li>• Conclusion of agreements on financial contribution by other Institutions/Agencies</li> </ul> |  | E.4                   | Autumn                           |
|  <b>Administrative Agreement between the Commission and the African Union</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                     |  | E.4                   | Spring                           |
| Key process outputs in 2016:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |  | Units                 | Output                           |
| <b>Social Dialogue</b><br>Concertations under the Framework agreement,<br>Elections of local staff committee in Ispra/Bxl and assistance to EEAS + CLP Hors Union, Commissions and Committees                                                                                                                                                                                                                                                                                                                                                                                                                        |  | E.1                   | Number of concertation           |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |  | E.1                   | Number of election               |
| <b>General Support to executive and decentralised Agencies</b><br>Monitoring of HR policies                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |  | E.4                   | Implementing provisions in place |
| <b>European Schools</b><br>Monitoring of implementation of improvement action plan concerning financial governance.<br>Participation to the reform of the secondary cycle /education system in ES                                                                                                                                                                                                                                                                                                                                                                                                                    |  | E.4                   |                                  |
| <b>Collaboration with International organisations and public administrations within EUPAN network and with the enlargement countries</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |  | E.4                   |                                  |

**PART 2 – ORGANISATIONAL MANAGEMENT**  
**OUTPUTS FOR THE YEAR**  
SOUND RESOURCES MANAGEMENT





## A. Human Resource Management

SPECIFIC OBJECTIVE I: THE DG EFFECTIVELY DEPLOYS ITS RESOURCES IN SUPPORT OF THE DELIVERY OF THE COMMISSION'S PRIORITIES AND CORE BUSINESS HAS A COMPETENT AND ENGAGED WORKFORCE, WHICH IS DRIVEN BY AN EFFECTIVE AND GENDER-BALANCED MANAGEMENT AND CAN DEPLOY ITS FULL POTENTIAL WITHIN SUPPORTIVE AND HEALTHY WORKING CONDITIONS.

| Key deliverables in 2016:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |  | Units | Milestones                                                                                                                                         |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-------|----------------------------------------------------------------------------------------------------------------------------------------------------|
|  <b>Implementation of DG HR local Talent Management priorities for 2016</b><br>1. Reinforce local networks and cross-cutting projects to work together and break silos.<br>2. Promote and organise career management initiatives and services for staff.<br>3. Organise events to support the new organisational structure (e.g., Management Away Day, All-staff Away Day).                                                          |  | R.1   | Autumn                                                                                                                                             |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |       |                                                                                                                                                    |
| Key process outputs in 2016:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |  | Units | Output                                                                                                                                             |
| <b>Human Resources Management Plan for DG HR</b><br>Annual HR Plan for DG HR: Human Resources Management Plan; Reporting for DG HR; Staff Reduction exercise in DG HR; Annual allocation of posts for DG HR and the OSP; manage credits for external staff and decentralised training budget.                                                                                                                                                                                                                         |  | R.1   | Staff reduction of 3% is implemented and resources are allocated according to priorities                                                           |
| <b>Talent Management for DG HR</b><br>Nomination to management posts; Selection and Recruitment of Contract Agents and other external staff for DG HR and the Staff Representatives; Appraisal & promotion; Certification exercises in DG HR; Appraisal and Reclassification exercise for 3a type contract staff in DG HR; Active career management and mobility; Management of decentralised training actions; Management of the Welcome Policy for DG HR staff; Equal opportunities and well-being for DG HR Staff. |  | R.1   | Implement actions to increase female representation in management<br>Increased staff satisfaction with quality of performance<br>feedback received |
| <b>Allocation and management of office space and meeting rooms for DG HR</b><br>Office supplies and infrastructure.                                                                                                                                                                                                                                                                                                                                                                                                   |  | R.1   | Office space and meeting rooms allocated according to priorities and identified needs, enabling staff to work in good conditions                   |



## Part 2 – Organisational Management

### SOUND RESOURCES MANAGEMENT



SPECIFIC OBJECTIVE II: THROUGH THE SCHEME OF SHARED SERVICES, DG HR ALSO PROVIDES LOCAL HR AND FINANCIAL SUPPORT TO OTHER COMMISSION SERVICES, MAINLY TO THE COLLEGE (CABINETS), THE EUROPEAN PERSONNEL SELECTION OFFICE (EPSO) AND THE INTERNAL AUDIT SERVICE OF THE COMMISSION (IAS).

| Key deliverables in 2016:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |  | Unit | Milestones                                                                                                                       |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|------|----------------------------------------------------------------------------------------------------------------------------------|
|  <b>Analyse potential extension to families of DGs/Services IN the framework of the discussion on the new HR delivery model</b> (see Specific objective I.1)<br>One of the conclusions of the Members of DGx Consultation Group on the HR delivery model, created as part of the synergies and efficiencies review requested by the President <sup>1</sup> , is to possibly extend this model in the future to families of DGs/Services. This approach is also supported by conclusions of previous studies on the matter, notably the "Demarty DGx Report" (2013) and the Report of the Resource Directors (2015) on this issue. |  | R.2  | Autumn                                                                                                                           |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |      |                                                                                                                                  |
| Key process outputs in 2016:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  | Unit | Output                                                                                                                           |
| <b>A strategic HR plan, Talent Management and strategic training plan for the Cabinets</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |  | R.2  | Talent Management Plan and Strategic training plan                                                                               |
| <b>High quality local HR support for the College, EPSO, IAS</b><br>Continuous improvement of the local HR delivery to the College/Cabinets, EPSO and IAS.<br>Further improve the facilitation of arrivals and departures for Cabinet staff                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |  | R.2  | Updated SLA with IAS<br>Staff satisfaction survey among Cabinet staff                                                            |
| <b>Key local initiatives in the area of well-being and "Fit@Work" for Cabinet' staff.</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |  | R.2  | Local offer for the Cabinets in place                                                                                            |
| <b>Optimal staffing level in the pool of replacement secretaries to support the Cabinets.</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |  | R.2  | Organising regular selection procedures<br>Number of assignments and pool secretaries                                            |
| <b>Assist Cabinets by improving internal communication</b><br>Completely new local Intranet for the Cabinets (CabiNet), including feeds from the Spokesperson's Service, links to the Hebdo Meetings and up-to-date information on HR and the tools or resources to do the jobs in Cabinets effectively.                                                                                                                                                                                                                                                                                                                                                                                                           |  | R.2  | New Intranet for the Cabinets (CabiNet)                                                                                          |
| <b>Participate in pre-pilot and pilot for account management centre/shared services centre to test the new Delivery Model.</b><br>Providing input in the discussions on the future HR delivery model based the experience of Unit R2 in providing local HR shared services and testing the possible new model                                                                                                                                                                                                                                                                                                                                                                                                      |  |      | Participation of R2 in pre-pilot and pilot on new service delivery<br>Number of clients served, feedback and client satisfaction |
| <b>Allocation and management of logistics and office space for the Cabinets</b><br>Office supplies and infrastructure.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |  | R.2  |                                                                                                                                  |

<sup>1</sup> Annex to the Mission Letters to the Commissioners, footnote 1: "The re-organisation of services will be an occasion to ensure synergies and should also contribute to the Commission's staff reduction objectives. The Vice-President for Budget and Human Resources has been charged by the President to assess the synergies and efficiency gains and to draw conclusions for each service by Summer 2015."



## B. Financial Management: Internal Control and Risk Management

OBJECTIVE 1: THE AUTHORISING OFFICER BY DELEGATION SHOULD HAVE REASONABLE ASSURANCE THAT RESOURCES HAVE BEEN USED IN ACCORDANCE WITH THE PRINCIPLES OF SOUND FINANCIAL MANAGEMENT, AND THAT THE CONTROL PROCEDURES PUT IN PLACE PROVIDE THE NECESSARY GUARANTEES CONCERNING THE LEGALITY AND REGULARITY OF THE UNDERLYING TRANSACTIONS INCLUDING PREVENTION, DETECTION, CORRECTION AND FOLLOW-UP OF FRAUD AND IRREGULARITIES.

| Key process outputs in 2016:                                                                                                                                                                                                                                                                                                                                                                                                                | Units | Output                                                                                      |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---------------------------------------------------------------------------------------------|
| <b>Improve Financial Management and Procurement and Alert Management to Risks</b><br>Develop and Harmonise Financial Management and Procurement Processes and ensure that key stakeholders, in particular senior management, are aware of the associated risks.                                                                                                                                                                             | R3    | Regular reports on financial performance and ad hoc reports on specific issues.             |
| <b>Central management of financial processes</b><br>Coordinate financial processes to ensure consistency of approach in line with legality, regularity and sound financial management principles.                                                                                                                                                                                                                                           | R.3   | Issuance of Guidance and instructions to financial staff and Organisation of FINOP meetings |
| <b>Report on financial execution</b><br>Produce regular reports containing key elements related to sound financial management in the DG e.g. payment delays, budget execution, financial circuits' effectiveness.                                                                                                                                                                                                                           | R.3   | Regular reports on financial performance. Ad hoc alerts when appropriate.                   |
| <b>Ex Ante and in itinere controls on procurement files</b><br>Organise <i>ex ante</i> and <i>in itinere</i> controls on procurement files including in the context of the inter-institutional GAMA group. The GAMA controls a sample of high risk procurement procedures (considering all procedures > 135,000€ and specific requests for control by Management). Alert the DG to any serious risks associated with the procurement files. | R.3   | 'GAMA opinions' for senior management Ad hoc alerts when appropriate.                       |
| <b>Manage ex-post control campaigns</b><br>Manage ex post control campaigns on financial processes based on a random representative sample in order to produce a viable error rate for the DG's AAR.<br><u>Internal Control Corporate Objective: Error rate &lt; 2%</u>                                                                                                                                                                     | R.3   | Report on results of ex post controls in the AAR                                            |

OBJECTIVE 2: EFFECTIVE AND RELIABLE INTERNAL CONTROL SYSTEM IN LINE WITH SOUND FINANCIAL MANAGEMENT.

| Key deliverables in 2016:                                                                                                                                                                                                                                                                                                                                                         | Units | Milestones                                            |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|-------------------------------------------------------|
|  <b>Accurate &amp; Complete Reporting on DG's Performance in Addressing Audit Recommendations</b><br>Follow-Up & Report on IAS Audit, DAS Recommendations and Internal Assurance Reports from AOS                                                                                              | R3    | Mid Term Review of Audit recommendation follow-up     |
| Key process outputs in 2016:                                                                                                                                                                                                                                                                                                                                                      | Units | Output                                                |
| <b>Follow-up Sub-delegated Authorising Officer reporting</b><br>Prepare & submit templates to AOS to submit information to the AOD on sound financial management and the legality and regularity of the financial operations that they are responsible for. Follow-up on any emerging issues.<br>Report on the results of the analysis of these AOS assurance reports in the AAR. | R.3   | Analysis of AOS Assurance Reports Summary text in AAR |



## Part 2 – Organisational Management

### SOUND RESOURCES MANAGEMENT



|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |     |                                                                                                          |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----------------------------------------------------------------------------------------------------------|
| <b>Follow-up of progress in addressing IAS audit recommendations</b><br>Review information on progress made in dealing with IAS recommendations. Submit information and provide relative progress reports to the IAS.<br><u>Objective:</u> Accurate and complete reporting about status of IAS audit recommendations' follow-up as basis for DG's assurance statement.<br><u>Internal Control Corporate Objective:</u> No outstanding IAS recommendations classed as very important or critical.               | R.3 | IAS Overview reports on status of DG HR performance in addressing recommendations. & Summary text in AAR |
| <b>Follow up of European Court of Auditors Discharge Recommendations and Audits</b><br>Review information on progress made in dealing with DAS related recommendations (including special reports of the Court of Auditors). Provide ad hoc progress reports to Management and DG BUDG.<br><u>Objective:</u> Accurate and complete reporting about status of DAS recommendations' follow-up as basis for DG's assurance statement.<br><u>Internal Control Corporate Objective:</u> No overdue recommendations. | R.3 | Ad hoc summaries and Summary text each year in AAR                                                       |
| <b>Monitor and Promote Internal Control</b><br>Review and analyse information and data to assess the effectiveness of the implementation of internal control systems in the DG. Promote the awareness and understanding of internal control framework in the DG.                                                                                                                                                                                                                                               | R.3 | Summary report in AAR<br>Presentations on Internal Control targeted to the user community                |

OBJECTIVE 3: MINIMISATION OF THE RISK OF FRAUD THROUGH THE APPLICATION OF EFFECTIVE ANTI-FRAUD MEASURES, INTEGRATED IN ALL ACTIVITIES OF THE DG, BASED ON THE DG'S ANTI-FRAUD STRATEGY (AFS) AIMED AT THE PREVENTION, DETECTION AND REPARATION OF FRAUD.

| Key deliverables in 2016:                                                                                                                                                                                                                                                                                                                                                                                                               | Units | Milestones                                                   |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|--------------------------------------------------------------|
|  <b>Fraud Risk Assessment and Awareness Raising</b><br>Key elements of the antifraud strategy of DG HR focuses on promoting the notion of fraud risks in the services. To this end a risk assessment with specific attention to fraud risks will be carried out. Fraud awareness raising will be promoted via presentations to targeted populations. | R3    | Awareness Raising Events                                     |
| Key process outputs in 2016:                                                                                                                                                                                                                                                                                                                                                                                                            | Units | Output                                                       |
| <b>Risk management and contribution to the MP</b><br>A key element of the antifraud strategy of DG HR focuses on awareness raising about fraud and anti-fraud measures. At least one presentation will be carried out (possibly in conjunction with IDOC) to promote fraud awareness.                                                                                                                                                   | R.3   | Presentations to raise awareness of fraud.                   |
| <b>The antifraud strategy of DG HR: Focused Risk Assessment</b><br>A key element of the antifraud strategy of DG HR relies on promoting the notion of fraud risks in the services. To this ends the Risk assessment exercise will contain a specific mention of fraud risks.                                                                                                                                                            | R.3   | Analysis of fraud associated risks noted by DG HR management |



## C. Information management aspects

OBJECTIVE 1: INFORMATION AND KNOWLEDGE IN YOUR DG IS SHARED AND REUSABLE BY OTHER DGs. IMPORTANT DOCUMENTS ARE REGISTERED, FILED AND RETRIEVABLE

| Key process outputs in 2016:                                                                                                                                                                                                                                   | Units | Output |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|--------|
| <b>Information management</b><br>Organisation of the mail clerk service, Ensure effective DMO function, Ensure effective functioning of CAD, Coordination of internal decision making procedures and IT tools, Access to documents, Management of the library. |       |        |

