



# **Annual Management Plan Year 2020**

**20 February 2020**

**EN**



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# 1. Introduction

*The Ombudsman's mission statement*

**Our mission is to serve democracy by working with the institutions of the European Union to create a more effective, accountable, transparent and ethical administration.**

The Treaty on the functioning of the European Union empowers the Ombudsman to carry out inquiries into maladministration in the activities of the Union's institutions, bodies, offices and agencies, with the exception of the Court of Justice in its judicial role. Inquiries may be carried out in response to complaints, or on the Ombudsman's own initiative. The Ombudsman's independence is guaranteed by the Treaties.

The Charter of Fundamental Rights includes the right of EU citizens to complain to the Ombudsman. Companies, associations, and third country nationals resident in the EU also enjoy this right. The Ombudsman can deal with complaints about breaches of Charter rights, as well as other cases of maladministration. The Ombudsman therefore empowers citizens by helping them to realise their fundamental rights.

The Ombudsman promotes good governance and a culture of public service by helping the EU administration to work openly, effectively, and with integrity.

*The Ombudsman's Internal Charter of Good Practice* sets out the standards and principles that guide the office's activities and interactions with stakeholders. They are:

- Leadership in problem solving
- Independence and neutrality
- Innovative approaches to dispute resolution
- Systemic thinking
- External awareness and curiosity
- Responsiveness
- Empathy
- Openness and engagement

The Annual Management Plan for 2020 (AMP 2020) is the first AMP of the 2020-2024 mandate. It is based on an overall budget of EUR 12 348 231 and 69 posts.



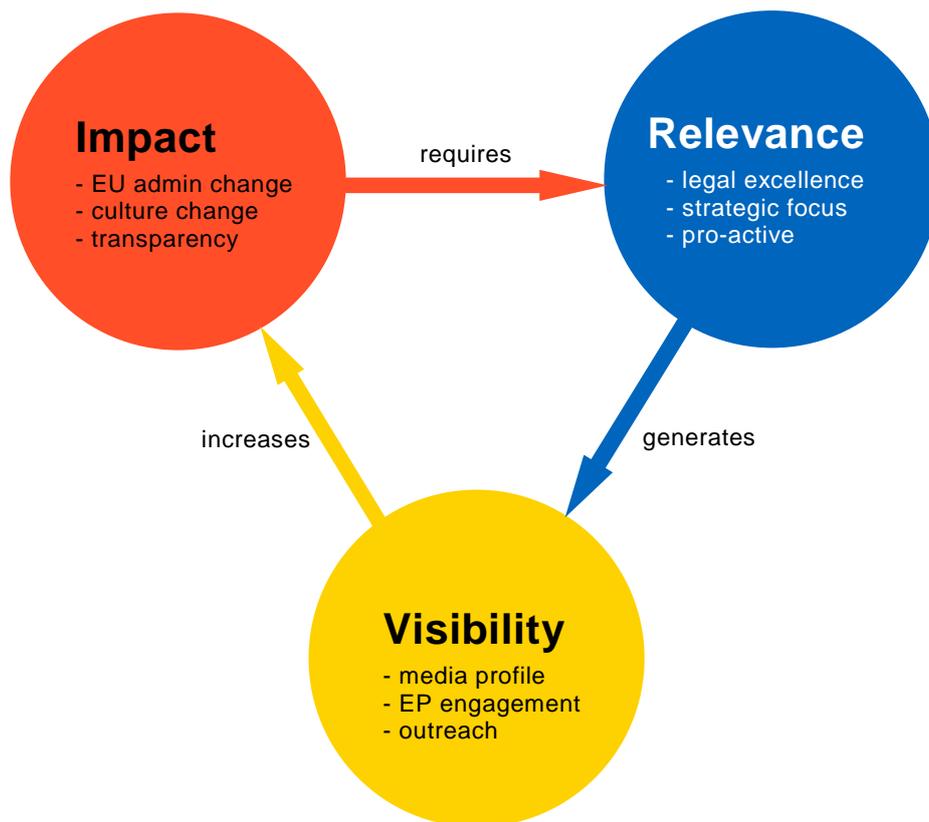
## 2. Multi-Annual perspective

During the course of 2020, the Ombudsman will adopt a new multi-year strategy for the 2020-2024 mandate. As the adoption of the AMP for 2020 precedes the new strategy, the actions are presented under the high level objectives of the previous strategy *Towards 2019* which remain relevant.

We will continue:

- to ensure **relevance** within the EU and with our stakeholders;
- to maintain high **visibility** of the Ombudsman and the office in support of our mission; and
- to effect a real and positive **impact** on the EU administration.

These objectives are supported by the objective of internal **efficiency**. The primary focus with regard to internal efficiency will be to make the European Ombudsman's office a pole of excellence in terms of good administration.





### 3. The organisation of the office

As part of the reflection on a new strategy for the 2020-2024 mandate, the Ombudsman will review how the office is organised and make changes, where necessary.

The Ombudsman's organisational structure described below is the one in place *prior* to this review. It consists of the Ombudsman's private office (Cabinet), the Secretariat-General and seven Units.

The **Cabinet (CAB)** works under the direct instruction of the Ombudsman. It advises and assists the Ombudsman to help ensure implementation of her vision, strategy and objectives. Cabinet members also liaise and represent the Ombudsman externally and draft speeches and articles on behalf of the Ombudsman. The Cabinet manages the Ombudsman's agenda, correspondence and records.

The **Secretary-General (SG)** is responsible for the overall management of the office and for ensuring co-ordination and implementation of the Ombudsman's strategy. All Heads of Unit report directly to the Secretary-General.

The **Inquiries Units (IUs)** deal with the complaints submitted to the Ombudsman. They conduct inquiries into alleged cases of maladministration, look for solutions, and draft decisions closing inquiries and special reports to the European Parliament. The IUs also propose and carry out technical inquiries through the Ombudsman's own-initiative power and deal with queries sent by other members of the European Network of Ombudsmen (ENO).

There are five units dealing with inquiries. The following three units also have specific and/or additional responsibilities.

**Inquiries Unit 1 (IU1)** also deals with the legal aspects of the Ombudsman's **cooperation with the ENO** and explores possibilities for synergies with the Council of Europe and the European Court of Human Rights in areas of common interest. The Unit also represents the Ombudsman in the Article (33)2 framework of the UN Convention on the Rights of Persons with Disabilities. IU1 furthermore oversees the **ICT Sector** which is in charge of (i) ICT equipment and support, (ii) development and maintenance of applications, (iii) technical aspects of the Website, and (iv) ICT relations with the EP and other institutions.

**Inquiries Unit 2 (IU2)** is also responsible for developing further the strategy and outreach of the Ombudsman on key issues like transparency and public access to documents. This includes ensuring effective implementation of the **Fast-Track procedure** for dealing with public access cases.

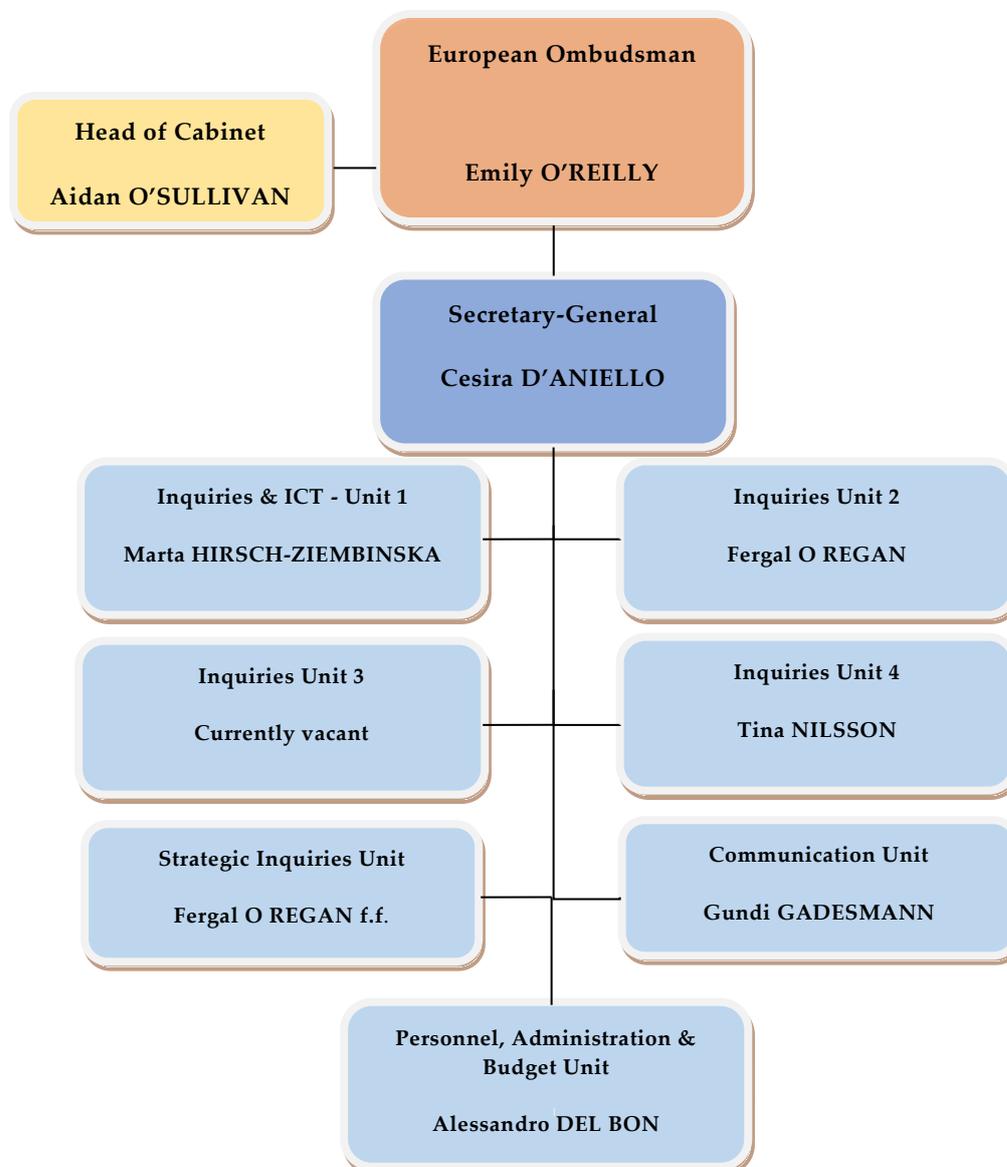
The **Strategic Inquiries Unit (SIU)** oversees and coordinates the Ombudsman's strategic inquiries and initiatives in collaboration with the other IUs. It also engages with stakeholders in order to inform itself of relevant concerns in relation to possible maladministration.

The **Communication Unit (COMM)** supports the Ombudsman's objective of increasing the visibility of the office and co-ordinates the Ombudsman's relations with the European Network of Ombudsmen. The Head of the COMM Unit is the spokesperson for the Ombudsman. The Unit is responsible for social media and media activities and for relations with other external stakeholders, for developing the Ombudsman's policy of reaching out to potential complainants and multipliers and for organising major Ombudsman events. It also designs and produces the



Ombudsman's publications and promotional material and is in charge of the editorial content of the website.

The **Personnel, Administration and Budget Unit (PAB)** is responsible for all administrative matters related to the institution's human resources, budget and buildings. It is also in charge of recording data into the case management system and of overseeing the functional management of the general records management system and archiving. It is the lead service for dealing with applications for public access to documents held by the Ombudsman. Its HR sector is in charge of the drafting of HR policies, recruitment, management of individual rights, internal communication and training. Its Budget sector coordinates the preparation of the budget estimates and ensures that available resources are used economically and efficiently and in compliance with the applicable financial rules. The Unit establishes and implements the appropriate internal control mechanisms and prepares information for the various budgetary control authorities.





## 4. Actions for 2020

As in previous years, the focus of the Annual Management Plan is mainly on new activities or changes that are needed to achieve the office's high level objectives.

The tables below list the actions to be taken in 2020 under the relevant objective. They also indicate the owner and others involved in carrying out each action.

This section also includes information on planned actions to strengthen or develop the internal control standards that will be prioritised in 2020.

### Actions under objective 1 - ensure relevance

**We want to maximise our value to citizens and other stakeholders by focusing on key systemic issues that are most relevant to their interests and concerns.**

| Action  | Project Owner        | Others directly involved | Support |
|---|----------------------|--------------------------|---------|
| 1. Develop and adopt a strategy for the 2020-2024 mandate.  | CAB/SG               | All                      |         |
| 2. Review how we measure performance and align the key performance indicators to the objectives of the new strategy.  | SG                   | All                      |         |
| 3. Review the European Network of Ombudsmen (ENO) strategy, including the strengthening of parallel work and further meetings with smaller groups of ENO offices. | IU1/COMM             |                          |         |
| 4. Finalise the paper on the interaction between Regulation 1049/2001 (Public access) and Regulation 2018/1725 (data protection).                                 | Dedicated task force |                          |         |
| 5. Continue developing policy papers on key issues for the Ombudsman.   | IUs                  | COMM                     |         |

### Actions under objective 2 - achieve greater impact

**We want to make a real difference to the quality of the work of the EU institutions by acting as a driver of change in key areas.**

| Action  | Project Owner | Others directly involved | Support |
|---|---------------|--------------------------|---------|
| 6. Finalise the revision of the European Code of Good Administrative Behaviour, modernise the design and publish it in the context of the 25 <sup>th</sup> EO anniversary year. | SG/COMM       |                          |         |
| 7. Provide input to the Conference on the Future of Europe once set up.   | SIU           | COMM/<br>CAB             |         |



|  |     |         |
|--|-----|---------|
| 8. Draw up work plan for Ombudsman strategic inquiries and initiatives.  | SIU | IUs/CAB |
| 9. Continue consolidating the Fast-Track procedure for public access cases and produce a short review of results at the end of 2020. | IU2 | IUs     |

### **Actions under objective 3 - maintain high visibility**

**We want to enhance our ability to influence. Public and institutional awareness of the Ombudsman needs to be stronger and deeper.**

| <b>Action</b>   | <b>Project Owner</b> | <b>Others directly involved</b> | <b>Support</b> |
|---|----------------------|---------------------------------|----------------|
| 10. Celebrating the EO's 25th anniversary: branded information, publications and events to focus on achievements for citizens since 1995. | COMM                 |                                 |                |
| 11. Organise the EO 25 conference in autumn 2020.   | COMM                 |                                 | ICT            |
| 12. Increase the EO's presence on LinkedIn to enhance (i) awareness of the EO's role and (ii) the EO's profile as an employer.            | COMM                 | PAB                             |                |
| 13. Participate in the EYE (Europe Youth Event) on 29-30 May 2020 at the European Parliament in Strasbourg.                               | COMM                 |                                 | ICT            |
| 14. Develop a document format on the EO website for online news articles.   | COMM                 |                                 | ICT            |

### **Actions under objective 4 - improve our efficiency**

**We want to use our resources to achieve the best possible results.**

| <b>Action</b>  | <b>Project Owner</b> | <b>Others directly involved</b> | <b>Support</b> |
|--|----------------------|---------------------------------|----------------|
| <b>Actions to improve our core business procedures</b>   |                      |                                 |                |
| 15. Review the organisational structure of the office with a view to strengthening our core activities and encouraging agility and efficiency.   | SG/CAB               | All                             |                |
| 16. Continue developing our knowledge management capacity.   | IUs                  | All                             | ICT            |
| 17. Finalise the case handler handbook.  | SG                   |                                 | ICT            |
| 18. Assess case-handling developments (OMCs, inadmissible complaints, no maladministration decisions, failure to reply, EPSO, staff, infringement cases and requests for review) and review related procedures as necessary. | All IUs              |                                 | ICT            |



|  |        |             |     |  |
|--|--------|-------------|-----|--|
| 19. Develop a transfer tool to facilitate the electronic transmission of multiple or large files to external contacts.   | ICT    |             |     |  |
| 20. Develop further interaction between the website and CMSEO (enable automatic import of information from the website to CMSEO and interaction with the complainant through the online account throughout the life of the complaint). | SG     | ICT/COMM    |     |  |
| <b>Actions to optimise HR policies and processes and improve internal communication</b>  |        |             |     |  |
| 21. Finalise secondment programmes with other institutions.  | SG     | PAB         |     |  |
| 22. Raise awareness on well-being matters through (i) training; (ii) information sessions; and (iii) cooperation with other institutions.  | PAB    |             |     |  |
| 23. Map all functions of the office, identify relevant competences and skills and develop a learning and development policy.   | SG     | PAB/HoUs    |     |  |
| 24. Acquire the rights and implement the SYSPER personal file module (NDP) for the management of staff's personal files.   | PAB    | ICT         |     |  |
| 25. Make full use of the possibilities offered by SYSPER to produce documents based on templates and on data available in the system.  | PAB    | ICT         |     |  |
| 26. Review provisions on recruitment and careers of temporary staff within the EO's office.  | SG     | PAB         |     |  |
| 27. Improve internal communication by turning SISTEO into a more dynamic and informative tool and by further improving the internal newsletter.  | All    | COMM        | ICT |  |
| <b>Actions to improve our record keeping, archiving and personal data processes</b>  |        |             |     |  |
| 28. Adopt historical archiving rules for complaint related documents and establish cooperation with the Historical Archives of the EU.   | SG     | PAB         | ICT |  |
| 29. Review and implement the retention period of documents in the EO's office and automate implementation in the EO's in-house IT tools.   | PAB    | ICT         |     |  |
| 30. Implement the EDPS recommendations following the 2019 inspection, once available.  | SG     | PAB/ICT/DPO |     |  |
| <b>Actions relating to general administration and finance</b>  |        |             |     |  |
| 31. Relocate the Ombudsman's Office in Brussels to a different building.   | PAB/SG | All         | ICT |  |
| 32. Review the internal rules on budget implementation.  | PAB    |             |     |  |



## Actions to reinforce our internal control standards

| Internal Control Standard (ICS)               | Effectiveness requirement/criteria  | Planned actions to improve or develop controls  | Owner      | Others involved | Comment       |
|---|---|---|------------|-----------------|---------------|
| ICS 1 - Mission                               | The mission statements of the institution and of the operational entities should be clearly defined, up-to-date and concise.                      | Ensure that the EO's mission statement is up-to-date and communicated adequately. Where relevant, update mission statements at the operational level.   | SG/<br>CAB | COMM/<br>All    |               |
| ICS 3 - Staff allocation and mobility         | The allocation of staff needs to be adapted to the Ombudsman's objectives and priorities for the new mandate.                                     | Review the organisational structure of the office with a view to strengthening our core activities and encouraging agility and efficiency.  | SG         | CAB/<br>PAB     | See action 15 |
| ICS 5 - Objectives and performance indicators | Ensure that the quantitative and qualitative performance indicators are focused on the institution's key activities and risks.                    | Review how the office measures performance and align the key performance indicators to the objectives of the new strategy.  | SG         | All             | See action 2  |
| ICS 7 - Operational structure                 | Address risks associated with the institution's sensitive functions either by means of mitigating controls or, if appropriate, by staff mobility. | Review the sensitive functions of the office and, where appropriate, ensure that effective mitigating measures are in place or mobility is carried out.   | SG         | PAB             |               |
| ICS 10 - Business continuity                  | To be effective, business continuity measures need to be constantly adapted to structural and operational changes in an institution.              | Ensure that business continuity is taken into account and the interests of the Ombudsman addressed in the institution's cooperation with other institutions and contractors.<br>Review and test alternative procedures and ensure adequate information and training of staff. | SG         | PAB             |               |



## 5. Measuring and reporting on our performance

A revised set of key performance indicators will be developed in the course of the year based on the objectives of the new strategy. Scoreboards to monitor and report on our performance will be updated periodically.

## 6. Resources for the implementation of the 2020 priorities

### 6.1. Human resources

The table below shows the allocation of human resources in the various operational entities and the categories of processes of the Operating Framework each of these entities is predominantly involved with.

|  | Allocation of resources  | Management processes | Core processes | Supporting processes |
|--|--|----------------------|----------------|----------------------|
| <b>Ombudsman Cabinet</b>                                 | AD: 4<br>AST: 1  |                      | X              |                      |
| <b>Secretariat-General (Management and coordination)</b> | AD: 3<br>AST: 2  | X                    | X              |                      |
| <b>Complaints, inquiries and related processes</b>       | AD: 22<br>AST: 9<br>Contract agents: 4<br>Trainees: 6            |                      | X              |                      |
| <b>Communication</b>                                     | AD: 4<br>AST: 4<br>AST/SC: 1<br>Contract agents: 2<br>Trainee: 1 |                      | X              |                      |
| <b>Administration</b>                                    | AD: 4<br>AST: 7<br>Contract agents: 3                            |                      |                | X                    |
| <b>ICT</b>   | AD: 1<br>AST: 2<br>Contract agent: 1                             |                      |                | X                    |



## 6.2. Budgetary resources by operational line

| <b>Budget Lines</b>                                      | <b>Resources<br/>(EUR)</b> |
|--|----------------------------|
| A-1 6 1 2 Further training                               | 130 000                    |
| A-1 6 3 1 Mobility                                       | 6 000                      |
| A-1 6 3 2 Social contacts between members of staff       | 7 000                      |
| A-1 6 5 0 European Schools                               | 210 000                    |
| A-1 6 5 1 Crèches and childcare facilities               | 14 000                     |
| A-2 0 0 0 Rent   | 1 100 000                  |
| A-2 1 0 0 Purchase, servicing and maintenance of IT      | 250 000                    |
| A-2 1 2 Furniture  | 13 000                     |
| A-2 1 6 Vehicles   | 18 000                     |
| A-2 3 0 0 Stationery, office supplies and miscellaneous  | 8 000                      |
| A-2 3 0 1 Postage on correspondence and delivery charges | 3 000                      |
| A-2 3 0 2 Telecommunications                             | 7 000                      |
| A-2 3 0 3 Financial charges                              | 700                        |
| A-2 3 0 4 Other expenditures                             | 3 500                      |
| A-2 3 0 5 Legal costs and damages                        | 1 000                      |
| A-2 3 1 Translation and interpretation                   | 315 000                    |
| A-2 3 2 Support for activities                           | 180 000                    |
| A-3 0 0 Staff mission expenses                           | 158 000                    |
| A-3 0 2 Entertainment and representation expenses        | 2 500                      |
| A-3 0 3 Meetings in general                              | 40 000                     |
| A-3 0 4 Internal meetings                                | 25 000                     |
| A-3 2 0 0 Documentation and library                      | 5 000                      |
| A-3 2 0 1 Archive resources                              | 13 000                     |
| A-3 2 1 0 Communication & publications                   | 143 000                    |
| A-3 3 0 0 Studies  | 10 000                     |
| A-3 4 0 0 Miscellaneous expenses                         | 2 400                      |

Emily O'Reilly

Annex: Explanation and visual representation of the key management documents



## **Annex**

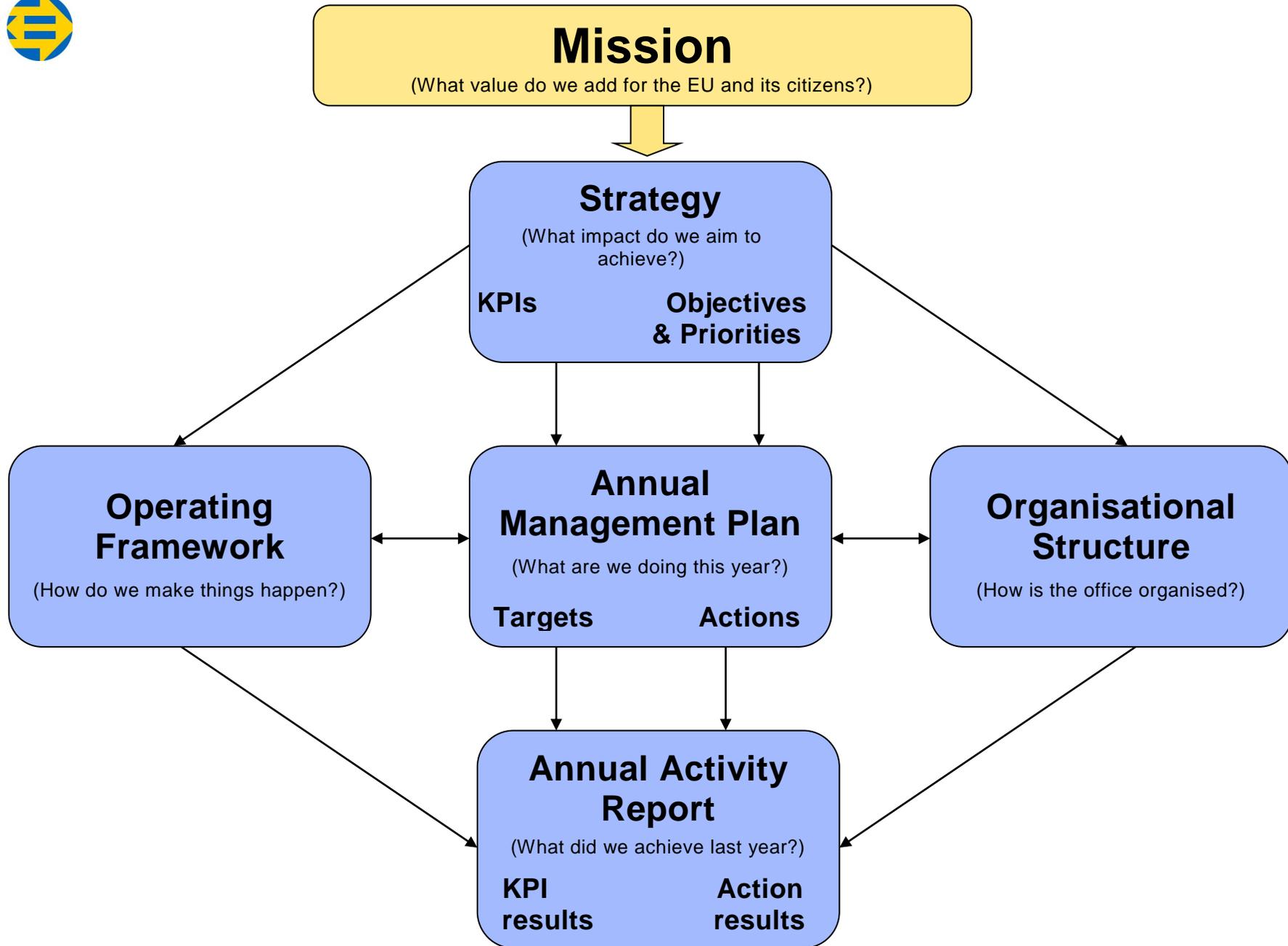
### Explanation and visual representation of the key management documents of the Ombudsman's office

#### **Key management documents and how they relate to one another**

We produce a number of documents that help us to guide and manage our activities in line with the mission statement.

They also contribute to the external accountability of the office and are all publicly available. Some are required by law. Others are produced voluntarily by the office.

These documents aim at answering different questions, as shown in the visual representation below.





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