



Annual Management Plan Year 2017

Strasbourg
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EN



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1. Introduction

The European Ombudsman's 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 enshrines 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.

As well as providing an independent and impartial service to complainants, the Ombudsman promotes good governance and a culture of public service by helping the EU administration to work openly, effectively, and with integrity.

The Annual Management Plan for 2017 (AMP 2017) is the third to be based on the [strategy Towards 2019](#), adopted by the Ombudsman in November 2014.

The AMP 2017 is based on an overall budget of EUR 10 905 441 and 65 posts.

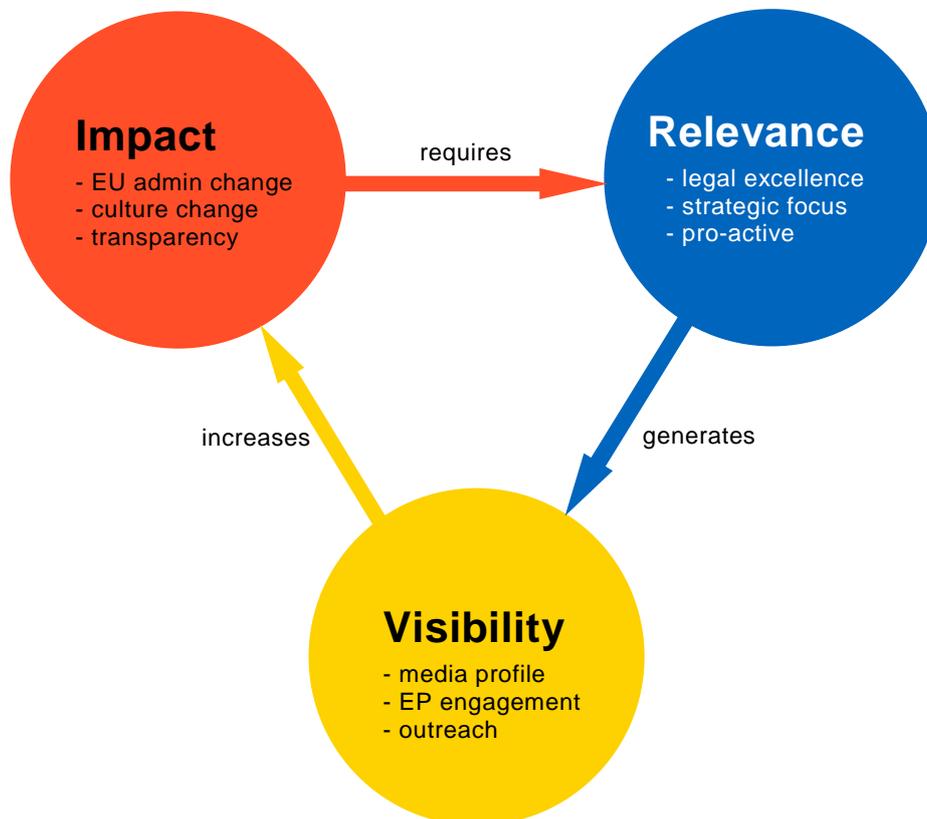


2. Multi-Annual perspective

The Ombudsman's multi-year strategy *Towards 2019* combines three **mutually reinforcing** objectives described as follows.

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

These objectives are supported by the objective of internal **efficiency**.



For each of the four objectives, Impact, Relevance, Visibility and Efficiency, the strategy document identifies a number of priorities. The AMP 2017 sets out concrete actions with a view to achieving the objectives and priorities of the strategy.



3. The organisation of the office

The Ombudsman's organisational structure consists of the Ombudsman's private office (Cabinet), the Secretariat-General and eight 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** is responsible for the overall management of the office and for ensuring co-ordination and implementation of the Ombudsman's strategy.

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 six units dealing with inquiries. The following four units also have specific and/or additional responsibilities.

The role of the **Strategic Inquiries Unit (SIU)** is to prepare, execute and/or co-ordinate an annual programme of own-initiative inquiries (OIIs) and strategic initiatives linked to the strategic objectives. It also engages with stakeholders to assess areas of EU public administration in need of systemic improvements and proposes measures to secure such improvements. The Unit also represents the Ombudsman in the Article (33)2 framework of the UN Convention on the Rights of Persons with Disabilities.

Inquiries Unit 1 (IU1) deals additionally with the legal aspects of the Ombudsman's co-operation 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. IU 1 also includes the **ICT Sector** of the office 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 in charge of the **Coordination of Public Interest Inquiries**. It ensures that public interest inquiries are consistent, convincing and in line with the Ombudsman's strategic objectives and priorities. It is also responsible for developing further the strategy and outreach of the Ombudsman particularly on key issues like transparency and public access to documents.

Inquiries Unit 5 (PMIU5) is also the **Process Management Unit**. In addition to dealing with inquiries, its tasks include (i) dealing with all complaints that are outside the Ombudsman's mandate, (ii) defining, proposing and following-up on all functional aspects of the Office's case management and general records management systems, (iii) helping ensure high quality registration of all documents and data, (iv) handling public access and information requests and (v) managing the switchboard.



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, for organising major Ombudsman events and for identifying media messages and key events for Ombudsman participation. 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 personnel, human resources, and budget. It deals with recruitment, management of individual rights, internal communication and training, buildings, office space and equipment and co-ordinates translation requests. The Unit prepares the budget estimates and ensures that available resources are used economically and efficiently and in compliance with the applicable financial rules. It also establishes and implements the appropriate internal control mechanisms and prepares information for the various budgetary control authorities.



4. Actions for 2017

As in previous years, the focus of the Annual Management Plan is on *changes* in activities that are needed to secure the objectives and priorities of the strategy.

The tables below list the actions to be taken in 2017 under the relevant strategy objective. They identify (i) the strategy priorities addressed, (ii) where appropriate, the key performance indicators(s) (KPI(s)) that will measure the results against targets, as outlined in section 5 below, and (iii) the owner and others involved in carrying out the relevant actions.

The Communication Unit and IU1-ICT sector will produce a separate detailed activity plan that will cover all communication and outreach activities requiring significant financial or human resources

This section also includes information on planned actions to improve or develop the internal control standards that will be prioritised in 2017.

Actions under objective 1 - ensure relevance

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

Priorities:

- 1.1 Strengthen our role as an acknowledged, trusted and independent authority on issues relevant to the Ombudsman's mandate, providing leadership on transparency, accountability and integrity.
- 1.2 Engage with our stakeholders and seek out their views.
- 1.3 Publicly engage in, and contribute to, relevant EU debates and policy developments wherever the Ombudsman's mandate and expertise provides for added value.
- 1.4 Co-operation with international networks and organisations in order to identify the highest standards and best practices, for example in relation to human/fundamental rights, or governance issues such as whistleblowing and conflicts of interest.
- 1.5 Deepen our capacity to understand the changing dynamics of the European Union and the political, social, economic and legal context in which we operate.

Action	Priorities addressed	KPI	Project Owner	Others directly involved	Support
1. Conduct a midterm review of the Ombudsman's Strategy	1.1				
	1.2	1	SG	ALL	IU1
	1.5				
2. EO Award for Good Administration	1.1	1		CAB	
	1.4	6	COMM	PAB	IU1
3. Further develop contacts with bodies at EU and national level concerning ethics, transparency and public integrity	1.1		SIU	IU1	
	1.2	1	IU2	CAB COMM	



4. Identify a relevant topic in the area of ethics on which to draft best practice guidelines for EU civil servants	1.2 2.5 3.4 4.3	1	SIU	IUs CAB
5. Carry out and analyse the results of a joint EO/OECD-survey of Ombudsmen offices on good governance and open government principles	1.1 1.3 1.4	6	COMM	PAB
6. Organise meetings with judges of the European Court of Human Rights (ECtHR) on relevant areas of ECtHR case law Target: 6 meetings	1.4	1 7	IU1	IUs
7.a Explore the possibility of organising a workshop on lobbying transparency from a fundamental rights perspective with the participation of ENO and CoE	1.1 1.4 3.4	1 5	IU1	COMM
7.b Explore how we can concretely use and promote each other's work on lobbying in our respective networks (ENO, CoE members)				



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.

Priorities:

- 2.1 Proactively identify areas of key strategic importance and target appropriate resources on the investigation of systemic problems, in particular through own-initiative inquiries.
- 2.2 Develop an integrated approach towards strategic investigations, benefiting from the cross-sectoral expertise in the Ombudsman's office.
- 2.3 Develop instruments to enable a more systematic and thorough follow up of the outcomes of the Ombudsman's recommendations and remarks.
- 2.4 Strengthen and leverage co-operation and dialogue with the EU institutions and other stakeholders to support the Ombudsman's recommendations.
- 2.5 Utilise, in an appropriate and prudent manner, the full scope of the powers of the Ombudsman's Statute, using all available tools and options at our disposal depending on the case.

Action	Priorities addressed	KPI	Project Owner	Others directly involved	Support
8. Develop our strategic work by reviewing how we conduct strategic inquiries and initiatives, including via joint inquiries within the office	2.1 2.2	3 5	SIU	IUs	
9. Build on previous initiatives with DG COMP to raise awareness of ethical and public service principles among EU services that often interact with institutional stakeholders such as DG TRADE, DG ECFIN, DG EMPL, DG HOME	2.4 2.5 1.4		IU3 IU1		
10. Assess the feasibility and opportunity of putting in place a Public Access 'toolkit'	2.1		IU2	IU1	
11. Submit an analysis to the SG regarding the relevance and usefulness of carrying out, possibly through outsourcing, a quantitative and qualitative assessment of references to the EO's work in relevant administrative decisions, reports of public bodies (e.g. EP), think tanks, judgments, journals and similar documents	2.4		PMIU5	SIU COMM	



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

Priorities

- 3.1 Use our communication capacity strategically to inform both general public, key target audiences and other stakeholders.
- 3.2 Develop our online tools and channels as more effective instruments of communication.
- 3.3 Engage widely and strategically with the European Parliament and its committees on the broad range of issues of mutual concern, while maintaining our independence.
- 3.4 Co-operate with the European Network of Ombudsmen in communicating with citizens.
- 3.5 Identify and develop articulate and authoritative office representatives capable of representing the Ombudsman at key events and conferences and who can also identify networking and outreach opportunities.

Action	Priorities addressed	KPI	Project Owner	Others directly involved	Support
12. Overhaul the website (architecture, content, new features for complainants)	3.1	6	COMM IU1	Website overhaul committee	
13. Produce a promotional video of the EO's work	3.1 3.2	6	COMM	PAB	IU1
14. Upscale social media activities including more visual content, launching of <i>Instagram</i> account and account on the blogging platform <i>Medium</i>	3.1 3.2	6	COMM		IU1
15. Facilitate further cooperation between the Commission and the ENO concerning the application of EU law at Member State level, in particular through meetings with DG Environment and DG Justice, which are the main DGs for which the EO receives queries	3.3 2.4	1	IU1	COMM	
16. Exchange best practices with ENO and other institutions through study visits and short term professional placements	3.4 1.2 2.4	1	SG	IU1 COMM PAB	
17. Adopt a comprehensive EO best practice manual on the handling of FOI requests	3.1 3.2		PMIU5		



Actions under objective 4 - improve our efficiency

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

Priorities

- 4.1 Ensure the Ombudsman's budgetary resources are used in line with the strategy.
- 4.2 Ensure all our internal processes and units, including IT systems, work as effectively and efficiently as possible.
- 4.3 Develop smart, flexible and robust working practices, so as to prioritise and resolve complaints as rapidly and efficiently as possible.
- 4.4 Encourage an internal culture of transparency, ethics, innovation and service to citizens.
- 4.5 Further develop the office as an attractive, dynamic and important place to work for motivated, talented and ambitious people, by ensuring that our human resources policies are central to our strategy, well developed and well-resourced.

Action	Priorities addressed	KPI	Project Owner	Others directly involved	Support
18. Adopt and implement a comprehensive human resources strategy, including a policy on diversity and 360 degree feedback	4.4 4.5		PAB		
19. Develop and set up quantitative and qualitative work performance indicators	4.1		PAB	SG ALL	IU1
20. Further analyse and develop possibilities for outsourcing HR activities to corporate services (PMO)	4.1 4.2		PAB		IU1
21. Develop reporting for HR matters in order to provide periodically summarised information and performance indicators for the various activities of HR management	4.5		PAB		
22. Further develop professional training by: - adopting a training policy - organising regular individual meetings of staff members with the training coordinators - improving the information made available on the intranet - setting up a database to facilitate the planning, recording and reporting of professional development activities	4.5		PAB	IU1	
23. Organise regular training sessions for case handlers on selected topics	4.4 4.5		PAB	SG IUs	
24. Introduce ARES and implement the EO's decision on records management	4.2		PMIU5	IU1	



25. Plan and prepare for the office's move to new EP premises in Strasbourg scheduled in April 2017, including management of ICT and physical archives	4.2		PAB	IU1 PMIU5 ALL
26. Analyse and improve the environmentally friendly performance of the Office	4.2		PAB	ALL
27. Implement Secured Emails Systems (S/mime)	4.2		IU1	
28. Replace all PCs for final users. Integrate Surface tablets to EO network	4.2		IU1	
29. Migrate Sisteo to Sharepoint 2016	4.2		IU1	
30. Formulate and implement new Knowledge Management (KM) for case work, drawing on recent KM of EC covering information retrieval and delivery, collaborative working and knowledge sharing, best use of data for policy making, and culture of knowledge sharing. Include, as far as relevant, open data issues	4.2 4.4 4.5	1 3 4 7	PMIU5	SG IUs SIU
31. Historical archiving of all EO documents and data, adoption of detailed three-year plan, covering operational, financial and technical issues	4.1 4.4		PMIU5	
32. Finalise the internal tool to manage recruitment and traineeship processes (Recruteo)	4.5 4.2		IU1	PAB
33. Increase EU Court litigation knowledge and experience so that the Office increases its internal capacity for legal representation before EU Courts	4.5 3.5		IU3	IUs



Actions to reinforce our internal control standards

Internal control standard (ICS)	Effectiveness requirement/criteria	Planned actions to improve or develop controls	Owner(s)	Support
ICS 1-Ethical and organisational values	The midterm review of the Strategy provides an opportunity to review and redefine the core principles that guide our activities	Develop and adopt an internal charter of good practice	SG/CAB	IU1
ICS 4 - Staff evaluation and development	The staff appraisal should be reviewed to ensure continued objective, timely, useful and consistent assessments	Review the staff appraisal procedure with a view to harmonising the assessment criteria and streamlining the process.	PAB/SG	IU1
ICS 10 Business Continuity	The Internal Auditor made a number of recommendations in 2016 to help ensure the effectiveness of our business continuity processes	Designate a business continuity coordinator and correspondents in operational entities, train staff, test and further reinforce our business continuity processes, if needed.	PAB/SG	IU1 ALL
ICS 15 - Evaluation of internal control standards	The ICS should be reviewed to take account of procedural and organisational developments that have taken place since the last revision in December 2011	Review the internal control standards	PAB/SG	



5. Measuring and reporting on our performance

Progress in achieving our objectives is measured using Key Performance Indicators (KPIs). They are set out below, together with targets and reference figures for 2017.

The KPIs and relevant targets are reviewed and, if necessary, revised on an annual basis.

Key Performance Indicators, measurement and targets for 2017

	Strategy objective	Measurement	Targets for 2017
KPI 1	Relevance	Perception of our external stakeholders (rate of positive evaluation)	70%
KPI 2	Relevance	Percentage of complaints within the mandate	33%
KPI 3	Impact	Number of inquiries opened in public interest cases (complaints & strategic inquiries & strategic initiatives)	30
KPI 4	Impact	Compliance (composite indicator)	
		4a - Overall compliance	90%
		4b- Compliance in public interest cases	90%
KPI 5	Visibility	Media and social media activities (composite indicator)	
		5a- Number of media articles	3 300
		5b - Engagement on Twitter	20 000
KPI 6	Visibility	Web activities (composite indicator)	
		6a- Visitors to the website	400 000
		6b - Advice given through the interactive guide to contact a member of the ENO	8 000
KPI 7	Efficiency	Handling of complaints and inquiries (composite indicator)	
		7a- Proportion of cases in which the admissibility decision is taken in one month	90%
		7b- Proportion of inquiries closed within 6 months	50%
		7c- Proportion of inquiries closed within 18 months	80%
KPI 8	Efficiency	Budget implementation (composite indicator)	
		8a- Rate of budget implementation	93%
		8b- Number of payments beyond 30 days	0

Scoreboards to monitor and report on our performance against the above targets and on the basis of the KPIs will be updated periodically.



6. Resources for the implementation of the 2017 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 which each of these entities is predominantly involved with.

	Allocation of resources	Management processes	Core processes	Supporting processes
Ombudsman Cabinet	AD: 3 AST: 2 Contract agent: 1		X	
Secretariat-General	AD: 3 AST: 0.5 Contract agent: 1	X	X	
Complaints and inquiries	AD: 21 AST: 4 Contract agent: 3.5 Trainees: 7		X	
Communication	AD: 3 AST: 5 AST/SC: 1 Contract agent: 2		X	
Process Management	AD: 2 AST: 6 AST/SC : 1 Contract agent: 1		X	X
Personnel, Administration and Budget	AD: 3 AST: 7 Contract agent: 1		X	X
ICT	AD: 1 AST: 2 Contract agent: 1 Trainee: 1			X



6.2. Budgetary resources by operational line

Budget Lines	Resources (EUR)
A-1 6 1 2 Further training	95 000
A-1 6 3 2 Social contacts between members of staff	6 000
A-1 6 5 0 European Schools	255 000
A-2 0 0 0 Rent	1 000 000
A-2 1 0 0 Purchase, servicing and maintenance of IT	240 000
A-2 1 2 Furniture	15 000
A-2 1 6 Vehicles	20 000
A-2 3 0 0 Stationery, office supplies and miscellaneous	14 000
A-2 3 0 1 Postage on correspondence and delivery charges	7 000
A-2 3 0 2 Telecommunications	8 000
A-2 3 0 3 Financial charges	700
A-2 3 0 4 Other expenditures	4 000
A-2 3 0 5 Legal costs and damages	15 000
A-2 3 1 Translation and interpretation	215 000
A-2 3 2 Support for activities	135 600
A-3 0 0 Staff mission expenses	165 000
A-3 0 2 Entertainment and representation expenses	7 000
A-3 0 3 Meetings in general	81 000
A-3 0 4 Internal meetings	27 000
A-3 2 0 0 Documentation and library	8 000
A-3 2 0 1 Archive resources	15 000
A-3 2 1 0 Communication & publications	219 000
A-3 3 0 0 Studies	17 800
A-3 4 0 0 Miscellaneous expenses	1 500

Emily O'Reilly

Annexes: 2

- Explanation and visual representation of the key management documents of the Ombudsman's office.
- The Ombudsman's Operating Framework



Annexes

Annex 1 - 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 serve an important internal function: they help us to guide and manage our activities in line with the mission statement, which explains the value that we add for the EU and its citizens.

They also contribute to the external accountability of the office and are all publicly available. Some are required by law. Others the Ombudsman himself decided to produce.

The various documents can be understood as answering different questions, as shown below. (The italicised questions in parentheses are simplified versions used in the visual representation that follows).

1 The **Strategy "Towards 2019"**. What are our objectives and priorities for the period covered by the strategy? How do we measure them through Key Performance Indicators (KPIs)? (*What impacts do we aim to achieve?*)

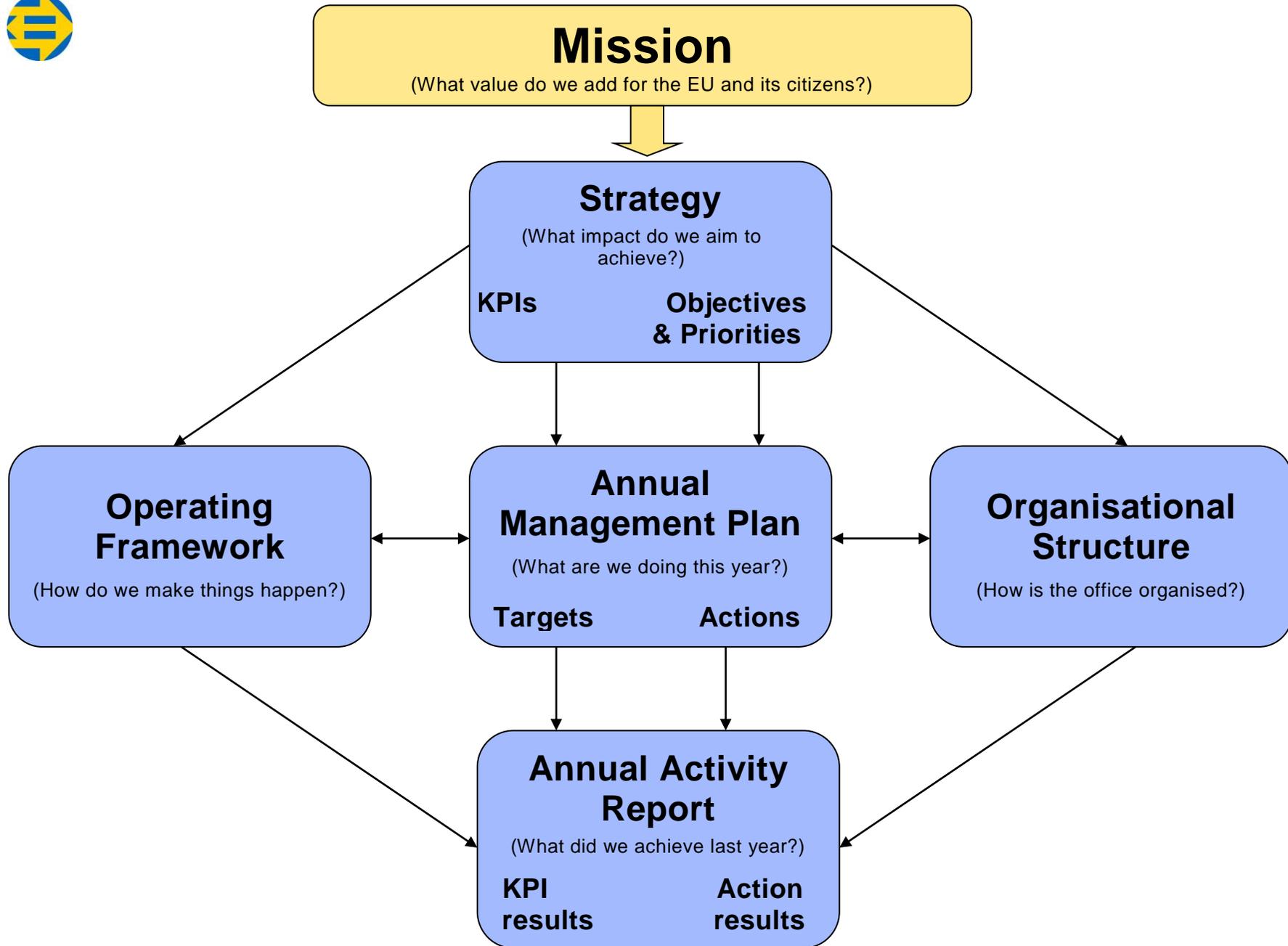
2 The **Operating Framework**. What are our key activities and processes for delivering the strategy? (*How do we make things happen?*)

3 The **Organisational Structure** (Organigramme). How is the office organised so as to be as effective and efficient as possible? (*How is the office organised?*)

4 The **Annual Management Plan (AMP)**. How are our resources allocated among different activities and processes this year? What are the targets for the KPIs this year? And what specific actions should have priority? (*What are we doing this year?*)

5 The **Annual Activity Report**. How well did we do in achieving the priorities and KPI targets set in the AMP? (*What did we achieve last year?*)

A visual representation of how the various documents relate to one another can be found on the next page.





Annex 2 - The Ombudsman's Operating Framework

(PowerPoint presentation)



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