



Secretary-General

Annual Activity Report

of the Principal Authorising Officer by Delegation

Year 2016

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EN



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Highlights of the year

Main achievements in 2016:

Relevance and Impact:

1. Dealt with 1 880 new complaints;
2. Opened 235 inquiries, closed 291 inquiries and had 182 ongoing inquiries at the end of the year;
3. Opened four strategic inquiries and launched ten strategic initiatives;
4. External stakeholders evaluated the Ombudsman's performance, resulting in a 78% positive evaluation;
5. Continued to exceed ambitious internal targets for the percentage of inquiries closed within 6 months and 18 months;
6. Played a key role in the Open Government Partnership Summit;
7. Launched the first call for nominations for an 'Award for Good Administration';

Visibility

8. Reached the highest media coverage in the history of the Ombudsman;
9. Twitter followers increased by 21% compared to 2015;
10. Organised the first major annual ENO event involving national and regional ombudsmen;
11. Produced the first edition of the "Network in Focus" magazine, a 60-page look at how national ombudsmen deal with key issues;
12. Launched the process for the website overhaul;
13. Included on the website an 'easy to read' explanation of the Ombudsman's work and of how to lodge a complaint in all 24 official languages;

Efficiency

14. Adopted new Implementing Provisions which came into force in September;
15. Further streamlined the process for handling outside the mandate complaints;
16. Made significant savings on the budget lines for publications and translations;
17. Signed a Memorandum of Understanding with the Commission for the use of the ARES document registration and management tool;
18. Signed a Service Level Agreement with the Commission for the Use of the SYSPER HR management tool;
19. Significantly increased the training offer for the development of staff;
20. Adopted an internal charter of good management practice.



Introduction

The Annual Activity Report (AAR) of the Principal Authorising Officer by delegation of the European Ombudsman is prepared in accordance with Article 66(9) of the Financial Regulation.

The AAR 2016 reports on the implementation of the Ombudsman's Annual Management Plan (AMP) for 2016, which was the second AMP based on the Strategy *Towards 2019* adopted in November 2014.

The present AAR focuses on the organisational, administrative, budgetary and financial aspects of the Office's activities in 2016. It provides a screening of staff based on the methodology proposed by the European Commission. The detailed report on the implementation of the budget in 2016 is attached as Annex 4.

Outcomes of inquiries and achievements to improve good administration amongst the EU institutions, bodies and agencies, including events and outreach activities, are recorded in the Annual Report of the Ombudsman, which the Ombudsman will submit to Parliament in May. For ease of reference, the draft Annual Report for 2016 is annexed to this report (Annex 5).



Part I: The structure and organisation of the Ombudsman's Office

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

The **Strategic Inquiries Unit (SIU)** oversees and coordinates an annual programme of own-initiative strategic inquiries 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 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) 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. IU1 also 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 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, it deals with (i) complaints that are outside the Ombudsman's mandate, (ii) functional aspects of the Office's case management and general records management systems, (iii) registration of all documents and data, (iv) the handling of public access and information requests and (v) the management of the switchboard.

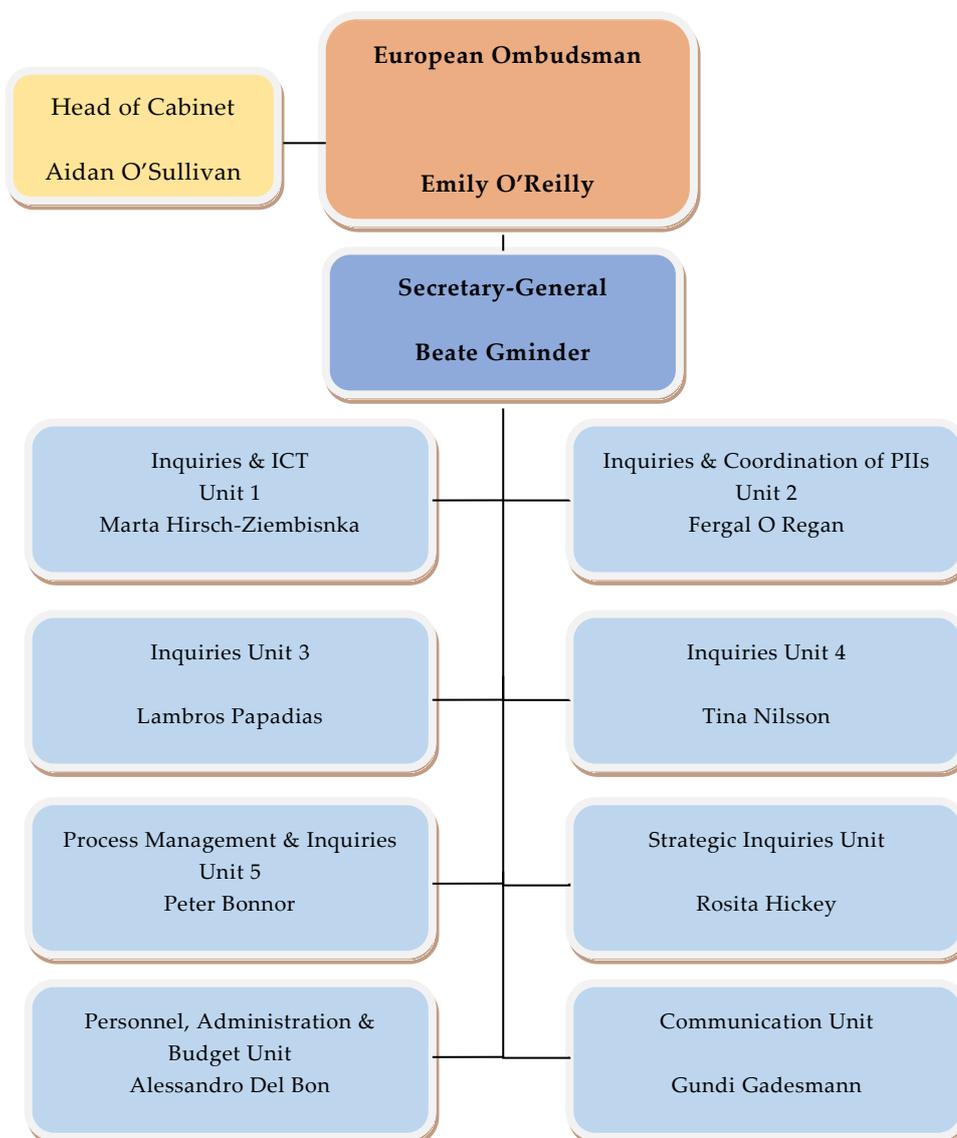
The **Communication Unit (COMM)** supports the Ombudsman's objective of increasing the visibility of the office and co-ordinates the Ombudsman's relations with the European Network of Ombudsmen. The Head of the COMM Unit is the spokesperson for the Ombudsman. The Unit is responsible for social media 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 messages to get across to the media and key events in which the Ombudsman should take part.



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.

The Organisational Chart





Part II: Policy results

The table and the scoreboard below show the results achieved by the office in 2016 on the basis of the priorities, actions and Key Performance Indicator (KPI) targets set out in the AMP 2016.

The following sections provide an analysis of these results and further information on the activities carried out with reference to the main processes of the Operating Framework.

1. Implementation of AMP 2016 actions

The table below lists, in the first column, the actions under the headings used in the Strategy *Towards 2019* and the AMP 2016. The second column indicates the state of implementation of each action.

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.			
Action	State of implementation	Owner(s)	Others directly involved
Improve public consultations in strategic inquiries with a view to enhancing the quality of the responses and engaging with stakeholders in a meaningful way.	IU1 examined the possibility of using the Commission's EU Survey tool for the Ombudsman's consultations. Although the review was generally positive, due to an issue of independence vis à vis the Commission and other weaknesses (accessibility and difficulty to use on smartphone or tablets), it was decided not to proceed with the use of the Commission's EU Survey tool. However, ICT will examine the possibility of using other forms for our consultations in the future.	SIU	IU1 COMM
Intensify co-operation with relevant international organisations and bodies, such as the OECD, WHO, Council of Europe (CoE) and the European Court of Human Rights (ECtHR).	COMM concluded a cooperation agreement with the OECD, mainly with a view to supporting ENO activities. At the OGP Summit in Paris, an OECD survey was launched about ombudsmen and their role in open government and transparency issues. The EO helped draft the survey. The first results will be presented at the 2017 ENO seminar. IU1 has established regular contacts with the CoE and keeps key CoE people informed of the EO's initiatives in the area of human rights and transparency (Commissioner for Human Rights, SG's Representative for Refugees, GRECO, and European Committee on Legal Cooperation). IU1 organised the EO's meeting with the SG of the CoE and the Head of the SIU Unit's meeting with the team responsible for drafting the CoE's	COMM IU1	CAB



	recommendation on the legal regulation of lobbying activities. Information sharing and informal meetings will continue at a regular pace with an eye to use each other's networks and channels of communication to publicise and reinforce our respective work.		
Intensify outreach to key stakeholder groups, e.g. by organising events and meetings in Brussels and beyond and by participating in their events.	COMM organised a series of stakeholder meetings with the EO as well as events on "Tobacco lobbying transparency" and "Communicating Europe" in Brussels. The EO and several EO staff attended and spoke at various high-level stakeholder events in Brussels and beyond.	COMM	

Actions under objective 2 - **Achieve greater impact**

Wa 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	State of implementation	Owner(s)	Others directly involved
Complete, implement, monitor and improve changes to inquiry processes with a view to maximising fairness, effectiveness and efficiency of inquiry processes.	<p>IU2 coordinated the drafting of the Implementing Provisions (IPs). The IPs were adopted in July 2016 and came into force on 1 September 2016.</p> <p>Many internal and high-level inter-institutional coordination meetings were held.</p> <p>Two 8-hour training sessions were organised.</p> <p>PMIU5 centrally managed the necessary administrative changes:</p> <ul style="list-style-type: none"> -drafting and monitoring implementation of functional specifications for the Case Management System, - revision of online complaint form and case search form, - drafting and coordination of new templates - training of IU assistants, - drafting of main training material for investigators and main updates to the case handler handbook, and - drafting of all updates to the assistants' manual. <p>All Units continue to monitor how IPs are applied.</p>	IU2 PMIU5	IUs SG COMM CAB



Improve how we measure compliance so as to assess fully the Ombudsman's impact.	Putting it Right report was finalised in December 2016. SIU drafted a proposal to streamline and adapt our compliance reporting to the new Implementing Provisions. PMIU5 provided data and input requested by SIU.	SIU	PMIU5
Develop tools and processes to ensure that we have relevant, up to date knowledge in the key areas of our work and that we effectively share this knowledge with staff and other stakeholders.	Drafting and publication of thematic and guidance papers has begun. PMIU5 identified a need for a new search function in the Case Management System, of which the ICT then introduced a beta-version in December ('CMSEO search BETA').	IU2	SG PMIU5
Draw-up guidelines for inspections carried out in the course of inquiries.	Guidelines were drawn up by IU4.	IU4	IUs SG
Reach out to professional service providers (i.e. lawyers, advocacy consultants etc.) with a view to increase awareness of the role and mandate of the EO in handling complaints about maladministration.	The Head of IU3 took part in a conference organised by an international Brussels-based law firm about the EO practice in the Food and Health sector promoting the EO as an alternative remedy for the legal community. The SG and the Head of IU3 spoke at a Conference on whistleblowing for lawyers and other interested parties organised by the International Bar Association.	IU3	SG

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.			
Action	State of implementation	Owner(s)	Others directly involved
Implement the new ENO strategy by organising a major Network event in Brussels, by producing a new ENO newsletter, by identifying topics for new parallel inquiries and by enhancing ENO visibility on our website.	COMM successfully organised the first major ENO event involving national and regional ombudsmen in Brussels in June 2016. The ENO newsletter "Network in Focus" was published in the autumn in the five ENO languages. IU1 invited ENO members' contributions in the context of (i) the strategic initiative on AMIF (consultation and exchange of information) and (ii) the inquiry on the activities of the export credit agencies (parallel inquiries). As a follow-up to the FRONTEX return flights parallel inquiry, the Head of IU1 was invited to	COMM IU1	



	train forced-return monitors in a seminar organised by FRONTEX in June. Many of the monitors are national ombudsmen. IU1 also assisted Frontex in establishing the complaints mechanism in which the ENO will be involved. In November, a meeting took place in Brussels between Frontex, FRA, the EO and ENO to agree on practical aspects related to the transfer of complaints.		
Develop new ways to visualise the EO's work, e.g. through info graphs, videos.	Increased use of info graphs, videos, GIFs and other visual elements for social media and website.	COMM	
Overhaul the website to make it more user-friendly, modern and relevant and to focus on our core areas of work and our strategic objectives in these areas.	The editorial audit of our website was completed. COMM presented an editorial policy for the website. The overhaul project has been launched with external contractors selected to develop a new architecture and design for the website and implement related technical enhancements. In the meantime, IU1 put in place a new and user-friendly homepage; new Strategic inquiries and Strategic initiative sections; a new Publication page; a new online application space for traineeships and vacancies; and a Parallel inquiries section.	COMM IU1	
Develop and begin MEP Assistant Workshops.	The workshop was developed and the first one took place in January 2017.	CAB	
Finalise and implement the update of case-related keywords.	New keywords were developed and are now in use.	IU2 PMIU5	IU1 COMM



Actions under objective 4 - **Improve our efficiency**

We want to use our resources to achieve the best possible results.			
Action	State of implementation	Owner(s)	Others directly involved
Develop a comprehensive human resources strategy, including a policy on diversity.	PAB prepared a draft which will be reviewed and finalised in 2017 following internal consultations.	PAB	SG
Create the role of training officer to (i) help establish individual training plans, identify appropriate training opportunities in relevant areas and follow-up on training to evaluate relevance and (ii) coordinate training opportunities for all staff, such as brown bag lunches.	A team of training coordinators has been in place since 1 June 2016. Ten brown bag lunches were organised in 2016.	PAB	SG HoUs
Migrate to Sysper 2 (HR database).	A Service Level Agreement was signed with the Commission in September 2016. The data was migrated successfully in September and the first modules effective in October. The time management module was made accessible to all staff on 1 January 2017.	PAB	IU1
Evaluate the feasibility and usefulness of using Commission tools and/or outsourcing HR activities such as missions, publications of vacancies and individual entitlements.	The first modules of Sysper have been in place since October 2016. Contacts were made for further developments. This will require a step by step approach.	PAB	
Put in place evaluation of work allocation among staff.	First screening based on December 2016 data was finalised.	PAB	HoUs
Make use of ABAC (asset and contract management database) to optimise the EO's participation in interinstitutional tender procedures and enable use of framework contracts whenever possible.	ABAC 'contracts' is operational and since December 2016 contracts are included in the tool.	PAB	IU1



<p>Introduce the European Commission's central document management system, 'Ares' and develop a records management policy.</p>	<p>PMIU5: A Memorandum of Understanding with the European Commission was successfully negotiated and signed. The training of Ares key users was done, and a testing phase initiated. A draft decision on records management was submitted to the EO (subsequently adopted in March 2017). Migration to Ares is expected in the first quarter of 2017. IU1: integrated the ARES e-learning tool of EC on Sisteo; gave advice and help to the EC in order to configure AresLook Plugin; created functional mailboxes for Ares. Close work with EC and EP in order for ARES to become operational at the EO.</p>	<p>PMIU5</p>	<p>IU1</p>
<p>Finalise business continuity arrangements.</p>	<p>BC handbook was updated, published on SISTEO and discussed with the internal auditor. Next steps: information, testing and training for staff (in first semester 2017).</p>	<p>SG PAB</p>	<p>ALL</p>
<p>Consolidate CMS (case management System) data to optimize SharePoint full text search function in the CMS.</p>	<p>IU1: Full text search is technically in place. Implementation has started and will be completed in 2017. PMIU5 and IU1 are working together to further consolidate CMS data.</p>	<p>PMIU5</p>	<p>IU1</p>
<p>Identify the weaknesses of SISTEO (EO intranet) with a view to modernising it and enhancing its effectiveness as an internal communication tool.</p>	<p>SISTEO has been migrated to a new platform based on sharepoint 2013. IU1-ICT started to rationalise the content and to train staff for the use of the new release of SISTEO.</p>	<p>IU1 COMM</p>	<p>ALL</p>
<p>Implement a set of measures to improve ICT services including video telephones, laptops/tablets for heads of unit, e-faxes and replacement of EO helpdesk mailbox by a ticketing system web tool.</p>	<ul style="list-style-type: none"> - Videophones were deployed for all staff - All managers now have a tablet - EOServiceDesk, a new and modern ticketing system is in place since February 2016. The former functional mailbox (EOHelpdesk) has been deactivated. - E-fax has replaced physical faxes - Migration to Office 2013 was completed. 	<p>IU1</p>	
<p>Plan and prepare for the office's move to new EP premises in Strasbourg scheduled in late 2016, including management of physical archives.</p>	<p>Building will be made available by EP as from March 2017. Planning and preparations are ongoing, move planned in April 2017. IU1: close contacts with EP in order to prepare the IT aspect of the move. PMIU5 will start implementing the decisions on</p>	<p>PAB</p>	<p>IU1 PMIU5 ALL</p>



	document retention periods, which will help to rationalise the keeping of the related physical files.		
Produce an internal newsletter for EO staff.	COMM produces “EO from the Inside” regularly since January 2016. IU1: A project has been started with the collaboration of the EP in order to automate the creation and sending of the internal newsletter.	COMM	ALL
Put in place a data protection policy for the handling of personal data of third parties in inquiries.	A policy has been drafted and submitted to the EDPS for approval.	IU4	SG
Implement additional rationalisation measures for handling outside mandate complaints, (a) by introducing standardised decision letters and (b) introducing modified management processes.	The main actions include: The Unit standardised and simplified the drafting of the letter to complainants in outside the mandate complaints (OMC) in such a way that it in principle does not require any editing. The Unit introduced modified registration practices that now allow case handlers themselves to register and send out the OMC related correspondence in the more than 70% of OMC cases that are dealt with electronically. This measure significantly reduces the need for additional work by assistants.	PMIU5	
Define and as far as possible introduce the necessary administrative measures to implement the Ombudsman's 2016 decision on access to documents and confidentiality.	PMIU5 revised related main rules on the keeping of confidential documents related to the case handling. The Unit defined the necessary modifications to the Case Management System. The Unit began building up related practice material (draft guidelines) through its experience with handling concrete requests for public access to documents. The interpretations of the new rules require further practice-based application for a set of guidelines to be published.	PMIU5	SG IU2
Introduce a secure e-exchange system for information and documents that are confidential within the meaning of article 5 of the Office's Implementing provisions	PMIU5, assisted by IU1, held a meeting with the European Commission's SG in September. The coherence in terms of common understanding and approach was very good, and the technical implementation that the PMIU5 had identified was considered to be straight forward. PMIU5 thereafter submitted draft procedural guidelines to the Commission which has not provided feedback yet. IU1 established contacts with the EP in order to implement and use S/Mime for secured e-mail. A technical meeting took place in September. Tests by ICT started in October.	PMIU5	IU1 CAB



2. Scoreboard 2016

	Strategy objective	Measurement	Owner	Targets for 2016	Results achieved in 2016	Results achieved in 2015
KPI 1	Relevance	Perception of our external stakeholders (rate of positive evaluation)	COMM	70%	78%	76%
KPI 2	Relevance	Percentage of complaints within the mandate	PMIU	33%	35% ¹	35%
KPI 3	Impact	Number of inquiries opened in public interest cases (complaints & strategic inquiries & strategic initiatives)	PMIU/SIU	20	45 (31+4+10)	19 (16+3)
KPI 4	Impact	Compliance (previous year's results - composite indicator) 4a - Overall compliance 4b - Compliance in public interest cases	SIU	90% 90%	83% 88%	90% Not available
KPI 5	Visibility	Media and social media activities (composite indicator) 5a - Number of media articles 5b - Engagement on Twitter	COMM	3 300 20 000	4 233 21 277	3 810 23 396
KPI 6	Visibility	Web activities (composite indicator) 6a - Visitors to the website 6b - Advice given through the interactive guide to contact a member of the ENO	IU1/COMM	450 000 10 000	400 113 8 472	430 426 9 319
KPI 7	Efficiency	Handling of complaints and inquiries (composite indicator) 7a - Proportion of cases in which the admissibility decision is taken in one month 7b - Proportion of inquiries closed within 6 months 7c - Proportion of inquiries closed within 18 months	PMIU/IUs	90% 50% 80%	64 % ² 51% 81%	87% 54% 82%
KPI 8	Efficiency	Budget implementation (composite indicator) 8a - Rate of budget implementation 8b - Number of payments beyond 30 days	PAB	93% 0	95.4% 6 (out of 1200)	92.3% ³ 2

¹ Breakdown by category of cases: within the mandate but inadmissible 12%, no grounds 9%, inquiries 12%, admissible but category not yet defined 2%.

² Breakdown by category of cases: Outside the mandate 81%, within the mandate but inadmissible 39%, no grounds 10%, inquiries 39%, admissible but category not yet defined 73%. See explanation of result in section 3B, page 17 below.

³ The figure in the 2015 scoreboard was 86.2% (it referred to payments made rather than credits consumed - now corrected).



3. Core activities

The Ombudsman's work and achievements in relation to the core activities, including statistical data on complaints and inquiries, are described in detail in the Annual Report to the European Parliament for the year 2016, a draft version of which is enclosed with this report as annex 5. This section therefore only provides a brief overview of key developments and achievements, an analysis of the results in terms of the KPIs and cross references to relevant sections of the draft Annual Report.

A. Proactive work

Strategic inquiries and initiatives

Strategic inquiries and initiatives constitute a key aspect of the Ombudsman's proactive work. These include own-initiative inquiries aimed at addressing systemic issues within the EU administration and strategic initiatives, whereby the Ombudsman pursues important topics without necessarily launching an inquiry.

As mentioned in Part I above, the operational entity in charge of coordinating and carrying out the Ombudsman's proactive work is the Strategic Inquiries Unit.

Information on the topics of strategic inquiries opened in 2016 can be found in section 2, and relevant statistical data in section 8.1, of the Ombudsman's Annual Report for 2016.

(i) Strategic inquiries

In 2016, four strategic inquiries were launched relating to delays in chemicals testing, the treatment of persons with disabilities under the Commission's Joint Sickness Insurance Scheme, the Commission's handling of infringement complaints under the 'EU Pilot', and the Commission's rules and practices to prevent possible conflicts of interest of Special Advisers.

Moreover, in 2016, five strategic inquiries were closed. Those inquiries concerned issues such as public access to Clinical Studies Reports relating to the approval of a medicinal product (Humira) for the treatment of Crohn's Disease, the disclosure, by the European Parliament, the Council of the EU and the Commission, of documents relating to trilogues and the transparency of trilogues in general, and the European Personnel Selection Office's procedure for dealing with requests for review made by candidates in open competitions.

(ii) Strategic initiatives

To complement the strategic inquiries, in 2016 the Ombudsman pursued ten strategic initiatives to encourage EU institutions, bodies, offices and agencies to be as open, accountable, ethical and responsive to citizens as possible. The Ombudsman's strategic initiatives in 2016 concerned the following issues:

- the United Nations Convention on the Rights of Persons with Disabilities, and in particular the European Schools and the accessibility for persons with disabilities of websites and online tools managed by the Commission
- the proactive transparency policy of the European Investment Bank and the prevention of possible conflicts of interest concerning its governing bodies
- the use of the title 'Ombudsperson' in the EU-US Privacy Shield agreement
- the transparency of the Eurogroup
- the transparency of the European Fiscal Board
- the EU transparency register for interest representatives



- the revolving doors' move by the former Commission President, Mr Barroso
- the transparency of the European Central Bank's Supervisory Review and Evaluation Process (SREP)

In the context of the strategic initiative on the transparency of the SREP, in September 2016, the Ombudsman's services met in Frankfurt with the Chair of the Single Supervisory Mechanism (SSM) Supervisory Board, Ms Nouy, and SSM managers. This meeting helped them understand better how the SREP functions in practice and identify issues that may require a closer look.

The European Network of Ombudsmen

Although EU law and policies are increasingly important for the everyday life of citizens and residents of the Member States, very few European citizens have direct contact with the EU institutions. For the most part, it is the public authorities of the Member States that administer EU laws and policies. These authorities are supervised by national ombudsmen and similar bodies who are members of the Network, under the European Ombudsman's chair.

The Network therefore allows the European Ombudsman to be relevant for, and have a positive impact on, the ability of large numbers of European citizens to enjoy their rights under EU law, including fundamental rights under the Charter.

In practice and, where appropriate, the European Ombudsman advises complainants whose complaints are not within her mandate to contact the member of the Network best placed to deal with them. In some cases, the Ombudsman transfers the case directly to the relevant member of the Network.

Furthermore, the query procedure allows members of the Network to send questions to the Ombudsman about complex EU law-related issues. The Ombudsman dealt with eight such queries in 2016.

Finally, one of the strategic changes within the Network is to increase focus on parallel inquiries among interested ombudsman offices in areas of mutual interest. In 2016, the Ombudsman and the Network conducted one parallel inquiry and the Ombudsman launched one strategic initiative in which the Network took part.

In June 2016, the Ombudsman organised, in Brussels, the first yearly conference that brought the entire network together (96 offices in 36 European countries).

Detailed information on the Network-related work is available in section 6 of the Ombudsman's draft Annual Report 2016.

B. Complaints handling

Caseload and KPI results

In 2016, the Ombudsman opened a total of 245 inquiries and closed 291 such inquiries.

The overall number of new complaints dealt with in 2016 was 1 880, of which 711 were within the mandate, compared to 2 007 complaints dealt with in 2015 and 707 within the mandate.

Information on the work on complaints and the outcome of inquiries is available in sections 2 and 7 of the Ombudsman's draft Annual Report for 2016. Relevant statistical data can be found in section 8.

As regards the Key Performance Indicators, the result for KPI 2 (relevance: percentage of complaints within the mandate) is beyond target.



The target for KPI 3 (impact: number of inquiries opened in public interest cases) was also exceeded (target: 20, result: 45).

The results for two of the three components of KPI 7 (efficiency: composite indicator for handling of complaints and inquiries) are above the target. The proportions of inquiries closed within six months and 18 months are 51% and 81% respectively (targets: 50% and 80%). Only the proportion of admissibility decisions taken within one month was, at 64%, significantly below the target of 90%. This temporary drop (at the end of February 2017, the result has gone up to 86%) is primarily linked to investments made, in the second half of 2016, with a view to medium and long term efficiency gains. They include the introduction of new implementing provisions as described below and new rationalisation measures for the handling of complaints that are outside the Ombudsman's mandate. A similar structural investment made in 2014 – the introduction of an integrated case management system – led to a similar temporary non-compliance with this KPI target.

Implementing provisions

As part of the Ombudsman's continuous efforts to enhance the efficiency and effectiveness of inquiry procedures, the Ombudsman launched and completed the process of revising the implementing provisions of her Statute.

The process involved extensive internal as well as external consultation of all the institutions. The key objectives were (i) quicker turn-around in inquiries through eliminating unnecessary inquiry steps, through more effective information gathering and through frontloading the Ombudsman's analysis, thus achieving faster solutions for complainants, (ii) more efficient use of resources within and outside the Ombudsman's office and (iii) more effective and efficient use of inquiry tools, such as proposals for solutions and recommendations, thus achieving more and better concrete improvements in the EU administrative practice .

The new implementing provisions were adopted in July as a result of the above consultations and entered into force on 1 September 2016. The main changes which were introduced are:

- if the information provided in a complaint is sufficiently detailed, the Ombudsman may now decide to take a decision finding no maladministration without needing to contact the institution;
- if the information provided in a complaint is not sufficiently detailed, the Ombudsman may ask the complainant to provide more complete information, thus avoiding the need to contact the institution;
- if the Ombudsman needs to contact the institution to obtain further information on the issue complained about, the Ombudsman is now not required, as a first step in the inquiry, to request the institution to reply in writing, but can rather also choose to obtain information through inspections and meetings;
- the Ombudsman can now ask the institution to send documents to her electronically, thus avoiding the need to do on-the-spot inspections to obtain documents;
- If the Ombudsman chooses to request an institution to give her a reply in writing, the Ombudsman may now also ask the institution concerned to set out in its reply its views on specific aspects of the allegations and on specific issues arising from or related to the complaint;
- if the importance and urgency of a case so justify, the Ombudsman can ask the institutions to provide her with a reply in a shorter time frame;



- the Ombudsman can now choose to make a proposal for a solution at any time in an inquiry, including as a first step in an inquiry;
- whereas in the past the Ombudsman could only make recommendations that sought to eliminate maladministration, the Ombudsman can now make 1) recommendations which seek to eliminate maladministration or 2) make recommendations which, even though they cannot eliminate the maladministration, improve the administration, especially by identifying systemic improvements;
- a specific right for complainants to seek a review of an Ombudsman decision is created;
- the means and methods by which the Ombudsman makes public information relating to an inquiry are streamlined.

In addition to the improvement brought about by the new Implementing Provisions, the Ombudsman has also adopted a Delegation decision to ensure that cases are dealt with as rapidly as possible.

Inquiries in the public interest

As explained in the AAR 2014 and AAR 2015, a process was put in place towards the end of 2014, to identify, monitor and give visibility to complaint-based inquiries into public interest matters. This process was further developed in 2016 and relevant cases are now discussed in a weekly Public Interest Inquiries meetings. This enhanced scrutiny of cases that are in the public interest is made possible by the overall enhancement of the efficiency and effectiveness of all case handling, which frees up enough resources for reinforcing the handling of cases that affect the public the most. Thus, the increased focus on public interest inquiries does not give rise to any reduction in the efficiency and effectiveness of other inquiries.

Impact, compliance and follow-up

Every year, the Ombudsman publishes a comprehensive account of how EU institutions respond to the Ombudsman's proposals to improve the EU administration. These proposals take the form of solutions, recommendations, and suggestions. The compliance rate is key to measuring the impact and relevance of the Ombudsman's work. The report *Putting it Right? – How the EU institutions responded to the Ombudsman in 2015*, which is enclosed with the present report as annex 6, reveals that the EU institutions complied with the Ombudsman's proposals at a rate of 83% overall and 88% in public interest cases. 43 out of the 45 suggestions addressed to the institutions in the context of the Ombudsman's strategic inquiries were accepted in areas ranging from the Transatlantic Trade and Investment Partnership ("TTIP") negotiations to the European Citizens' Initiative procedure, and from Frontex joint return operations to the EU's cohesion policy. The report provides a detailed breakdown of the compliance by institution.

In the foreword to the report, the Ombudsman regrets the decrease in compliance from 90% in 2014 to 83% in 2015. She notes that at a time of multiple crises within the EU, every refusal to comply with a finding by the Ombudsman can be seen as a missed opportunity to address a genuine citizen grievance or administrative shortcoming.

C. Communication and outreach

(i) Media and social media activities

The results for both components of KPI 5 (visibility: composite indicator for media and social media activities) again exceeded the targets.



In terms of online engagement on Twitter, we reached 21 277 mentions. The number of Twitter followers increased by 21% year-on-year with around 3 400 visits per month to our Twitter account. Our top months were September, February and May, when our Twitter account received 6 461, 5 716 and 5 066 visits respectively.

In 2016, we had the highest media coverage in the history of the European Ombudsman. We collected 4 233 media and blog articles (the target was 3300) worldwide on European Ombudsman news (3 810 in 2015), around three times as many as in 2012.

(ii) Outreach activities and events

In addition to the annual Network conference mentioned in section 3A above, the Communication Unit organised two very successful events linked to the Ombudsman's strategic work. The first took place in April and concerned the transparency of tobacco lobbying. The aim of the event was to discuss the importance of the entire Commission implementing the same transparency measures as DG Health, which proactively publishes records of all meetings its staff have with representatives from the tobacco industry.

The second event took place in October in the aftermath of the UK's decision to leave the EU. It took a fresh look at how to communicate the EU amid a rise in populism and amid the new dynamics around reporting and consuming news due to social media. Panellists at the conference generally agreed that the case for the EU needs to be made more at the local level. The Ombudsman noted that her office had begun to look into ways to make the Council more transparent so it is clear what decisions national politicians are taking when they are in Brussels.

(iii) Publications

The Ombudsman presented the Annual Report 2015 to the President of the European Parliament in May. The report detailed, amongst other things, the Ombudsman's key strategic inquiries (including into the transparency of the TTIP negotiations); strategic initiatives (including on transparency measures at the European Central Bank); the Ombudsman's visit to Hungary and Austria; and the cooperation with the European Network of Ombudsmen (ENO), which was consulted about national rules on lobbying transparency.

The Communication Unit produced the first edition of the "Network in Focus" magazine, a 60-page look at how national ombudsmen deal with key issues. The contributions mostly focused on the themes discussed during the ENO conference in June - the migration crisis; lobbying transparency; and challenges to the rule of law in the EU. The EU borders agency, Frontex, and the Commission's DG for Humanitarian Aid and Civil Protection, both of which had high-level representatives at the panel discussions, also provided contributions to the magazine.

(iv) Website

KPI 6 (visibility: composite indicator for Web activities) has two components. Both the results for the number of visitors to the website and the number of persons who had received advice through the interactive guide to contact a member of the European Network of Ombudsmen was below the annual target. In order to make our website more user-friendly and hopefully attract more visitors, we have begun a process for overhauling it - this project is expected to be completed in 2017.



4. Management Processes

On 18 February, the Ombudsman issued the 2016 Annual Management Plan (AMP). It was the second AMP to be based on the Strategy *Towards 2019*, which the Ombudsman adopted in November 2014.

The business continuity arrangements for the Ombudsman's Office were further developed in 2016 and a Handbook containing key information and alternative procedures for coping with a range of possible incidents was finalised.

The annual risk assessment exercise was carried out. The first step of this exercise (input from staff) was carried out in October 2016 through an online survey that invited staff to give their perception of the 'effectiveness' of our processes. A report on the results of the survey was drawn up. The Secretary-General made her final assessment in December based on the above and further feedback from managers.

Throughout 2016, the Secretary-General continued to hold weekly management meetings with the Heads of Unit to deal with all management, coordination and important ongoing matters.

An initial assignment and coordination meeting (IAC) is also held every week at which new complaints are presented and developments in key inquiries discussed. Similarly, a public interest inquiries (PII) meeting to discuss developments in PIIs was introduced towards the end of 2016. Both meetings bring together the Cabinet members, the Secretary-General, the Head of the PII Coordination Unit, the Head of the Communication Unit and the Head(s) of the Unit(s) whose cases are discussed.

All Heads of Unit participated in a team coaching exercise whose aim was to promote and enhance team cohesion and overall cooperation and thereby achieve leadership effectiveness. A practical outcome of the exercise was the development, by the leadership team, of an internal charter of good management practice.

The Ombudsman is a member of the European Foundation for Quality Management (EFQM), which provides a methodology and a toolkit that can help achieve a sustainable level of quality.

5. Supporting processes

A. Information management

Information management is a collaborative task.

Information management related to overall management objectives (such as for the annual management plan, including key performance indicators) and audits are initiated by the Secretary-General.

Information management related to the objective of ensuring consistent and well-managed assessments in the Ombudsman's case handling is supervised by the Secretary-General and, in relation to Public Interest Inquiries, coordinated by the PII Coordination Unit.

Information management relating to administration, human resources and finance are under the responsibility of the Personnel, Administration and Budget Unit.

Data management and data extraction from the case management system is taken care of by the Process Management and Inquiries Unit, which moreover has the overall task of promoting



good records management keeping and practices within the Office and serves as first entry point for access to documents requests.

The Ombudsman's Data Protection Officer (DPO) reports to the Secretary-General in relation to his function.⁴

At the date of the present report, the EDPS is dealing with one complaint against the Ombudsman⁵.

B. ICT

The ICT sector's main achievements in 2016 included the provision of new ICT equipment and the introduction of new software solutions, the implementation of a new ticketing system (JIRA service desk) and the migration of the Ombudsman's Intranet from Sharepoint 2007 to Sharepoint 2013. The ICT sector also implemented all the changes resulting from the new implementing provisions in the Complaint Management System (CMSEO).

C. Human resources and Administration

Recruitments

The European Ombudsman advertises vacancies to fill permanent positions with established officials, either originating from within the Ombudsman's office (article 29(1)(a) of the Staff Regulations – SR) or by way of transfer (article 29(1)(b) SR). When no suitable established official is identified, the Ombudsman recruits candidates who have succeeded in competitions organised by the European Personnel Selection Office - EPSO (article 29(1)(c) SR). In 2016, one such candidate was recruited from an EPSO reserve list after a selection procedure. Occasionally, the Ombudsman organises internal competitions as provided for in article 29(1)(d) SR. No such competition was organised in 2016.

The European Ombudsman also recruits temporary agents either on permanent or temporary positions.

The Ombudsman may decide to fill a permanent post with a temporary agent (article 2(b) of the Conditions of employment of Other Servants of the European Union – CEOS) whenever she considers that a post should not, or could not, be filled on a permanent basis. Such situations may occur when a post is only vacant for a limited period of time due to the secondment of an official for instance. It may also occur when the Ombudsman considers that a given task is limited in time and does not require a permanent appointment. Such appointments are preceded by selection procedures. No appointment of this type took place in 2016.

Temporary positions in the Ombudsman's establishment plan are filled with temporary agents. Such positions include 5 posts in the Ombudsman's cabinet, which she fills based on her needs. No such appointment in accordance with article 2(c) CEOS took place in 2016. Other temporary positions in the Ombudsman's establishment plan are filled following a selection procedure which may either be internal or external to the institution. Two appointments of that kind, in accordance with article 2(a) CEOS, took place in 2016 and were preceded by open selection procedures in 2015 and 2016.

Finally, the European Ombudsman also employs contract agents which are selected from lists drawn up by EPSO or by other EU institutions. In 2016, the Ombudsman offered three contracts in accordance with article 3b CEOS to candidates who were recruited primarily in order to replace long absences of permanent or temporary staff.

⁴ Decision of the European Ombudsman on the administrative assignment of the Data Protection Officer, 26 April 2013.

⁵ It concerns access to the complainant's personal data relating to complaint 1855/2012/MMN.



Departures

Two contract agents left: one left at the end of her contract and one was appointed as official in another institution;

One official was transferred to another institution;

One official was seconded in the interests of the service to another institution.

Migration to the staff management tool SYSPER 2

In September 2016, the Ombudsman signed a Service Level Agreement with the Commission concerning the use of SYSPER 2. All data concerning the organisation and career of the institutions staff was subsequently migrated and the Ombudsman started to use the Time Management Module of SYSPER 2 on 1 January 2017. Further modules including the one necessary for the individual entitlements and HR reporting services are to be made available in 2017.

D. Budget and Finance

(i) Execution of the 2016 budget

The appropriations available in the Ombudsman's budget for 2016 amount to EUR 10 658 951. Title 1 (Expenditure relating to persons working for the institution) amounts to EUR 8 621 651. Title 2 (Buildings, equipment and miscellaneous operating expenditure) amounted to EUR 1 538 000. Title 3 (Expenditure resulting from special functions carried out by the institution) amounts to EUR 499 300.

The detailed report on the implementation of the budget is attached to the present report as Annex 4.

The following table shows expenditure in 2016 in terms of appropriations committed and paid (in Euros).

Title	Initial budget 2016	Final budget 2016⁶	Committed	Paid
Title 1	8 621 651	8 289 651	7 917 032	7 794 602
Title 2	1 538 000	1 867 900	1 800 975	1 162 358
Title 3	499 300	501 400	450 209	198 470
Total	10 658 951	10 658 951	10 168 216	9 155 430

Of the total appropriations, 95.40 % were committed (compared to 92.32 % in 2015) and 85.89 % paid (compared to 86.19 % in 2015).

The launch, in the summer of 2016, of substantial projects, in particular a project to overhaul the Ombudsman's website, which required the transfer of resources within the Ombudsman's budget, resulted in the Ombudsman postponing some more strategic aspects of the budgetary execution until the last quarter of 2016, hence an unusually low payment rate by the end of 2016 and an increase in appropriations carried over to 2017 in order to ensure the payment of

⁶ After transfers.



projects started later in 2016. The appropriations carried over from 2016 to 2017 (EUR 1 012 785) are thus above the ones carried over from 2015 to 2016 (EUR 633 759).

The utilisation rate (including appropriations carried over from 2016 to 2017) is 95.40 % (compared to 92.32 % in 2015).

Furthermore, 84.5 % of the appropriations carried over to 2016 from 2015 were used (compared to 91.2 % in 2015).

In the following table, all totals are cumulative.

Indicators	Target 2016	Q1	Q1+Q2	Q1-Q3	2016	(2015)
F1: Percentage of budget implementation	Total : 93 %	86.87 %	90.59 %	92.20 %	95.40 %	(92.32 %)
F2: Number of operations paid over the 30-day time limit	Total : 0	3	5	5	6	(2)

The average time for payment of invoices from private providers of goods and services was 13.97 days (11.73 days in 2015).

(ii) Transfers

During 2016, four transfers between budget lines were necessary. These modifications of the initial budget are presented in detail in the annexed 'Report on budgetary and financial management for the financial year' (Annex 4).

The total amount transferred was EUR 459 758.15 (4.31 % of total appropriations for 2016).

(iii) Procurement

Thirteen low-value contracts not exceeding EUR 60 000 were awarded following procurement procedures launched in 2016.

(iv) The 2017 Estimates

Estimates for the year 2017 were sent to the Commission, Parliament and the Council on 30 March 2016.

In accordance with the interinstitutional agreement to reduce staff by 5% over a period of five years, the Ombudsman agreed to cut one post in each of the years 2015, 2016 and 2017. Two posts were indeed cut in 2015 and 2016. The Estimates for 2017 foresee the suppression of the third of these three posts.

Total appropriations for 2017 are EUR 10 905 441; i.e., an increase of EUR 246 490 or 2.31 % compared to the budget for 2016. Title 1 (Expenditure relating to persons working with the institution) amounts to EUR 8 689 841. Title 2 (Buildings, equipment and miscellaneous operating expenditure) amounts to EUR 1 674 300. Title 3 (Expenditure resulting from general functions carried out by the institution) amounts to EUR 541 300.



PART III. Efficiency, economy and internal control measures

1. Efficiency and economy

In 2016, the Ombudsman has not made use of interpretation services. There are therefore no requested but unused interpretation services.

Further efforts were made in 2016 to reduce communication and translation costs primarily linked to the production of publications. While the quality of the publications was maintained, the length of the documents and the production of paper publication was reduced considerably. On these two items, compared to the appropriations requested for 2015, the savings in 2016 amounted to approximately 113 000 € for publications and 107 000 € for translations.

In 2017, further savings on translations are planned and appropriations requested were reduced by 100 000 €.

2. Management of internal controls

(i) Recommendations from the Internal Auditor

Internal Audit Report 16/01 - The Internal Auditor's Annual Report for 2015

The Internal Auditor's report for 2015 audit concluded that, subject to full implementation of its own action plan to complete implementation of the Business Continuity Management strategy, the Institution's risk management, control and governance systems are effective and efficient and provide reasonable assurance of attaining its control objectives on a consistent basis.

Internal Audit Report 16/02 - Consulting assignment on management of the Institution's Information and Communication Technologies (ICT)

The Internal Auditor's consulting assignment was intended to provide advice on the implementation of the Institution's ICT management framework for planning, delivering and operating ICT services, by reference to applicable best practices.

The report concluded that Internal Audit observed significant achievements by the EO's ICT organisation set up in November 2015. The review also resulted in four recommendations intended to improve demand management, implement the approach to ICT performance management described in the Institution's ICT governance document, consolidate the management information system and address the operational ICT continuity risk.

ICT has taken on board these four recommendations and will take steps to start implementation as from 2017.

Internal Audit Report 16/03 - Audit of Business Continuity Management. Phase 2: Assessment of implementation

The audit report concluded that the alternative procedures as described in the Handbook on the Implementation of the European Ombudsman's Business Continuity Plan are adequate in relation to the characteristics of the Institution, subject to several improvements in the



European Ombudsman's business continuity planning. These improvements relate to the allocation of roles and responsibilities for BCM, enhanced interinstitutional cooperation and awareness raising and training to ensure that the procedures in place are effective.

Actions will be taken in 2017 to address and implement the above.

(ii) Observations from the Court of Auditors

In the framework of the Statement of Assurance (SoA) 2015, the Court of Auditors indicated in its annual report that the audit did not give rise to any significant observations as regards the European Ombudsman.

(iii) Follow-up of recommendations from the Committee on Budgetary Control in the framework of the discharge procedures.

2014 discharge

On 28 April 2016, Parliament adopted the discharge decision for the 2014 budget⁷. The relevant observations it contained are set out below in *italics*. Comments are included in normal text.

Point 5. Notes a particular increase of commitments in 2014 related to the Members of the institution; asks the Ombudsman to give a comprehensive description of those amounts in its follow-up report to the 2014 discharge

Comment: The increase of appropriations used in relation to Members of the institution in 2014 was due to one main circumstance, namely the change of Ombudsman in October 2013. In 2014, in addition to increased expenditure relating to the Ombudsman holding office, the institution had to pay a transitional allowance to the former office holder.

The European Ombudsman in office between 2003 and 2013 retired in October 2013. As foreseen by the Council Regulation determining the Emoluments of the European Ombudsman⁸, once he ceased to hold office, the former Ombudsman started to draw a transitional allowance for a period of 3 years. In 2014, the overall appropriations spent for this transitional allowance amounted to 160,474.17 € compared to 43,048.80 € for the period October 2013 to December 2013, and to 0.00 for the year 2012 when no transitional allowance had to be paid.

The expenditure relating to the Ombudsman holding office increased because of her personal family situation (i.e. the fact that she has dependent children).

Point 6: Welcomes the fact that, in line with its new Strategy Towards 2019, the Ombudsman pursued own-initiative inquiries, taking up a more systemic approach of complex issues falling within its mandate; considers this to be an effective tool and asks the Ombudsman regularly to inform the discharge authority about the impact of those inquiries and to identify clearly the coordinator's tasks; points out, however, that the Ombudsman's priority should be to address complaints from citizens within a reasonable time frame and that own-initiative inquiries should under no circumstances infringe on that objective.

⁷ European Parliament decision of 28 April 2016 on discharge in respect of the implementation of the general budget of the European Union for the financial year 2014, Section VIII – European Ombudsman (2015/2161(DEC))

⁸ Council Regulation No 422/67/EEC - of 25 July 1967 determining the emoluments of the President and Members of the Commission, of the President, Judges, Advocates-General and Registrar of the Court of Justice, of the President, Members and Registrar of the General Court and of the President, Members and Registrar of the European Union Civil Service Tribunal



Point 7. Welcomes the creation of a new post designated as “own-initiative inquiry coordinator”; considers it to be a step towards a more efficient work and invites the Ombudsman to report to the discharge authority on the performance, impact and efficiency of this post

Combined comments on points 6&7: (see also response to point 10 below)

The role of the own-initiative inquiry (OII) co-ordinator was to help the Ombudsman develop OIIs as a key instrument to achieve her strategic objectives. The co-ordinator's tasks were to:

- define the Ombudsman's policy in relation to systemic OIIs;
- draft key documents to help implement this policy;
- identify systemic issues in the EU institutions, bodies, offices and agencies proactively as well as reactively;
- establish an overall programme of OIIs linked to the Ombudsman's strategic objectives;
- plan and carry out some OIIs herself;
- help co-ordinate OIIs carried out by Legal Officers, including by setting clear timelines and milestones;
- enhance dialogue with institutions and stakeholders as part of OIIs;
- encourage innovation in terms of our OII procedures so as to enhance our effectiveness;
- secure concrete commitments by institutions in the context of OIIs;
- monitor systematically the implementation of those commitments;
- evaluate the results of OIIs;
- ensure that OIIs are publicised in a convincing and accessible way;
- devise the Ombudsman's policy in relation to the promotion of good administration in the EU Agencies;
- contribute to training initiatives as regards systemic maladministration;
- represent the Office externally on relevant issues;
- consult with the Senior Management Group and keep them informed of key developments in the area of OIIs;
- report regularly on the above tasks to the Ombudsman and Secretary General.

In light of the success of the Ombudsman's OII programme, which the EP publicly endorsed, it was decided to set up a Strategic Inquiries Unit as part of the Office restructuring which came into effect in November 2015.

Own-initiative inquiries are now increasingly conducted within the Strategic Inquiries Unit, with the result that case-handlers dealing with complaint-driven inquiries can focus on those cases. Moreover, a number of own-initiative inquiries have helped pre-empt a range of complaints on the same topic, for example concerning transparency of the TTIP negotiations, transparency and balance in the functioning of Commission expert groups and problems with EPPO's request for review procedure. This helps to deal with potential shortcomings in a systemic manner rather than via individual inquiries.

Point 8. Calls on the Ombudsman's office to comply with the principle of transparency, in particular as regards identifying and assigning clear lines of responsibility, and to ensure that the Ombudsman website is updated regularly and accurately reflects the organisation chart of the institution.

Comment: The Ombudsman's website contains a section on the organisational structure of the office that provides a brief description of the responsibilities of the units and the roles and functions of staff. It also provides a link to the organisational chart, which shows the reporting lines. <http://www.ombudsman.europa.eu/en/atyourservice/team.faces>

This section is kept up-to-date.



9. Notes that the Strategy Towards 2019 introduced new key performance indicators (KPI) with very specific targets and that, according to the KPI scoreboard, some of those targets have not been reached; in this regard, notes that the Ombudsman scored lower in terms of the proportion of inquiries closed within 12 and 18 months and furthermore in the proportion of cases in which the admissibility decision is taken within one month; invites the Ombudsman to develop a strategy for the mitigation of any potential weaknesses in this regard and to keep the discharge authority informed on any developments thereto;

Comment: In 2015, the targets for the proportion of inquiries closed within 6 months (50%) and within 18 months (80%) were both exceeded with results reaching respectively 54% and 82%. In relation to the proportion of cases in which the admissibility decision was taken in one month, there was a significant increase in 2015 compared to 2014. The result was close to the target of 90%, i.e.; 87% compared to 73% in 2014.

In 2016, the rate dropped again temporarily due to training and other investment measures linked to the introduction of new implementing provisions and further rationalising of the handling of outside the mandate complaints. The office continues to monitor these targets and the related processes closely. At the time of drafting this report, the relevant result was 86% (end of February).

10. ...; stresses that the proportion of inquiries closed within 12 and 18 months decreased in 2014; acknowledges that the pursuit of own-initiative inquiries had an impact on the number of the cases closed; asks the Ombudsman to explain that impact clearly to the discharge authority in the next follow-up report to the discharge

Comment: The Ombudsman closed a significant number of cases in 2014 (400). At the same time, it invested resources in systemic issues by creating the role of own initiative coordinator. The office has since further expanded the strategic aspect of its work by creating a specific unit dealing with systemic OIIs and strategic issues. At the same time, it endeavoured to fill the posts that were vacant in the Inquiries Units and recruited contract staff to replace staff on long-term leave. The work related to own-initiative inquiries is therefore not expected to have any impact on the output in relation to complaint-based inquiries. (see also combined response to points 6&7 above)

11. Stresses that the number of complaints falling outside the Ombudsman's remit remains very high, especially from citizens of some Member States such as Spain and Poland, which undoubtedly creates a great deal of frustration among citizens regarding Union institutions in general and the Ombudsman in particular; calls, therefore, on the Ombudsman to improve its information and communication policy and to forge stronger links for smooth and regular cooperation with the European Network of Ombudsmen and national and regional ombudsmen in order to remedy this problem.

Comment: The European Ombudsman is consistently stepping up her cooperation with her colleagues in the European Network of Ombudsmen, also with a view to increasing the general awareness of the various mandates. The transfer of complaints between Ombudsmen offices works smoothly and complainants are informed and helped very rapidly in case a national Ombudsman is better placed to deal with a problem. Furthermore, the European Ombudsman started a targeted information campaign for potential complainants, with a view to increasing within the mandate as opposed to outside the mandate complaints.

12. Notes that, according to the KPI scoreboard, the level of satisfaction among the Ombudsman's staff was lower than targeted; acknowledges that this was mainly related to crucial changes in the Ombudsman structure and has since been remedied by a certain number of measures; calls on the Ombudsman to continue to ensure a high level of staff satisfaction



Comment: The Ombudsman devotes great attention to the satisfaction of staff and has asked her Secretary-General to draw up a new Human Resources policy in order to improve, clarify and document HR processes and foster increased involvement of staff in the decision making processes.

The Staff Committee is also a strong ally in monitoring and improving staff satisfaction. It is actively and systematically involved in shaping new policies and decisions that affect the whole office and makes proposals for wellbeing initiatives.

Finally, the staff is consulted during work intensive away days about issues of interest to the institution, such as working methods and procedures, but also regarding work/life balance, well-being, learning and development etc.

15. Notes the large number of missions by the Ombudsman staff between Brussels and Strasbourg (212 in total, costing EUR 126000 plus an estimated EUR 60 000 in lost working time while travelling); calls on the Ombudsman to reduce to the fullest extent possible the number of missions of its staff and to make maximum use of videoconferencing and other related technical means, as other institutions are already doing, in order to avoid unnecessary travel and significantly reduce costs; reminds the Ombudsman, furthermore, of the environmental impact of CO2 emissions generated by this commuting, and that it is therefore important that it assumes its responsibilities in this regard and reports to Parliament on the progress it has made;

Comment: The Ombudsman's office is mindful of the cost and the environmental impact of CO2 emissions. It has, therefore, and despite its small size, put in place two fully equipped videoconference rooms both in Strasbourg and in Brussels. These rooms are in permanent use, primarily for internal meetings but also increasingly for meetings with stakeholders. Additionally, Heads of Unit are encouraged to manage their mission budget more actively and are, since 2016, provided with tools to do it more efficiently. It should also be noted that the number of missions between the Ombudsman's two working places decreased by 4.6% in 2014 and by a further 7.4% in 2015.

Finally, mobile devices made available to staff, especially to Heads of Unit, make it possible for those who have to be physically present in another location to continue to work during travel times.

16. Is concerned at the Ombudsman's recruitment policy, which has involved using emergency procedures directly to employ former trainees on short-term contracts; deplores the fact that three temporary staff were hired in 2014 without passing any selection procedure; calls on the Ombudsman to bring, as a matter of urgency, its staff selection criteria into line with the European civil service's standards of quality, transparency, objectivity and equal opportunities;

Comment: Even though the Ombudsman's office used urgency procedures in the past only in very limited situations that resulted in short term appointments of staff who had previously been trainees of the European Ombudsman and had passed a very competitive procedure to become a trainee, the Ombudsman now refrains from applying urgency procedures.

The solution put in place is twofold:

- absences of staff dealing with core activities are replaced through a permanent pool of contract agents who have previously participated in a competitive selection process;
- the Ombudsman increasingly relies on lists of contract agents established by EPSO or other institutions.

17. Welcomes the progress made by the Ombudsman in 2015 on gender balance; stresses, however, that the available data for 2014 still show great disparities, particularly in AST posts (21/9) and



management positions (9/2), and emphasises the importance of setting medium-term objectives to achieve the necessary balance, and of continuing to work actively on this direction

Comment: The Ombudsman took steps rapidly to improve gender balance among management and administrators. The result at the end of 2016 is a 50/50 representation. For future recruitments, the aspect of gender balance will systematically be taken into consideration and the underrepresented gender, at equal level of merit, will always be given priority for the position. For ASTs this principle prevails as well, with an additional difficulty related to the fact that the turnover in that category of staff is very low. The recent vacancies of AST posts did not give rise to replacements but allowed the institution to meet the target of reducing its staff by 5%.

18. Asks the Ombudsman, with a view to ensuring greater transparency, to include a table of all human resources broken down by nationality, gender and grade in its AAR; calls on the Ombudsman to answer questions raised by Parliament and the other institutions on pensions;

Comment: The information on human resources broken down by nationality, gender and grade category is already included in the AAR (since 2012 AAR).

In relation to pensions, there were no Ombudsman officials on pension before 2015.

Furthermore, the Pay Master's Office (PMO) has informed us of the following: "EU pension rights are acquired by staff in proportion to the service rendered throughout their whole career across all EU institutions and bodies. As the EU Pension scheme is unique and there are no specific pensions associated with individual EU institutions or bodies, the Commission will provide consolidated figures for all Institutions."

19. Renews its call, made last year, for the Ombudsman to state the rate of requested but unused interpretation service for 2014 in its AAR for 2015.

Comment: The Ombudsman has not made use of interpretation services - there are therefore no requested but unused interpretation services.

21. Reiterates its calls on the Ombudsman to include in its AAR, in compliance with the existing rules on confidentiality and data protection, the results and consequences of closed OLAF cases, where the Ombudsman or any of the individuals working for it were the subject of an investigation

Comment: There were no such cases in 2014. The AAR 2015 mentioned that, to our knowledge, there were no OLAF investigation concerning the Ombudsman or any person working in the Ombudsman's Office in 2015.

2015 discharge

At the time of the drafting of this report, the European Parliament's decision on discharge in respect of the implementation of the European Union general budget for the financial year 2015, Section VIII - European Ombudsman, was not yet available.

(iv) Management of the internal control systems

A comprehensive assessment of the implementation of the internal control standards in the form of a visual representation is found in annex 2. The following actions taken in 2016 are relevant for internal control systems:



Internal Control 1 - Mission: Each Unit now has a specific job description and mission statement. They are published on the Ombudsman's Intranet.

Internal control 2 - Ethics and organisational values: the leadership team developed the European Ombudsman's Internal Charter of Good Management Practice, which was published on the office's Intranet in December 2016.

Internal control 4 - Evaluation and staff development: Two training coordinators were appointed to (i) help establish individual training plans and identify appropriate training opportunities in relevant areas; and (ii) coordinate training opportunities for all staff.

Internal control 8 - Processes and procedures: The Ombudsman adopted new implementing provisions which came into force in September 2016. Complaint and inquiry-related processes were improved and streamlined as a result.

Internal control 10 -Business Continuity: The handbook on the implementation of the BCP, including alternative procedures to ensure business continuity of essential functions in case of disruption, was finalised.

Internal control 11 - Document management: The Ombudsman signed a Memorandum of Understanding with the European Commission regarding the use, by the Ombudsman's office, of the general records management tool 'ARES'. Implementation is due in 2017.

Internal control 12 - Information and communication: Since January 2016, the office publishes a monthly internal newsletter.

Internal control 15 - Evaluation of Internal Control Systems: The Ombudsman developed its internal ex-post evaluation capabilities through the designation of an ex-post controller who performed ex-post evaluations of selected payments and carried out an overall assessment of the costs and benefits of controls.



3. Overall assessment of the costs and benefits of controls

The Ombudsman's Office has assessed the cost-effectiveness of the control system and reached a positive conclusion, although the benefits of controls are mostly non-financial.

Costs

Costs of controls mostly consist in staff costs. An estimated EUR 50 887 were invested in controlling financial operations of a total value of EUR 8.58 million in 2016, including payments of invoices, reimbursement of mission expenses, salaries and individual allowances. For procurement procedures, an estimated amount of EUR 5 369 was invested in controlling 13 procedures for contracts of a total value of EUR 199 110.

<u>Type of controls</u>	<u>Full-time equivalent</u>	<u>Annual cost (EUR)</u>
Ex-ante controls	0.8	48 042
Ex-post controls	2 weeks/year	2 845
Procurement procedures	0.05	5 369
TOTAL	0.9	56 256

Benefits

While it is possible to estimate the costs of the control processes, it is more difficult to quantify all the benefits of the errors prevented and detected. Financial benefits mainly consist in occasional ex-post recovery of mission expenses and in ex-ante detection of errors in financial operations.

The benefits of controls are mostly non-financial and cover compliance with legal obligations (art. 66.5 of the Financial Regulation), deterrent effect and improvement of procedures. Extensive ex-ante controls ensure the respect of the four eyes principle and add an element of *security* to decisions taken by the authorising officer. The ex-ante verifier also monitors new developments in regulations and plays an advisory role to the financial team.

For procurement procedures, considering the complexity of these activities and the limited number of contracts awarded every year by the Ombudsman, systematic operational and financial verifications are necessary to prevent the risk of reputational damage and avoid litigation.

How to improve the cost-benefit ratio of controls

As from 2017, indicators will be put in place to monitor the efficiency of controls for financial operations: (i) average cost of controls per financial transaction⁹, (ii) number and % of errors prevented (ex-ante control)¹⁰, (iii) number of errors corrected (ex-post control) and iv) number of errors prevented for procurement procedures. The evolution of these indicators should be analysed over time.

⁹ Overall cost of controls divided by the number of authorised payments.

¹⁰ Number of errors prevented divided by the number of authorised payments.



Type of controls	Indicator	2015	2016
<i>Ex-ante</i> and <i>ex-post</i> controls on financial operations	Cost of controls per transaction (EUR)	44	43
	Number of errors prevented (<i>ex-ante</i>)	177	102
	% of errors (<i>ex-ante</i>)	15.5%	9.03%
	Number of errors corrected (<i>ex-post</i>)	1	0
Procurement procedures	Number of errors prevented (<i>ex-ante</i>)	tbd	tbd

In accordance with Article 66.2 of the Financial Regulation, the Ombudsman will launch in 2017 a review of its *ex-ante* control procedures in order to improve their efficiency and effectiveness and to focus controls on the more risky areas. This review will include an analysis of the main risks associated with the amount of the financial operations, in order to adapt the type and frequency of controls (ex: simplify controls for bank charges, which are of very low value).

4. Whistleblowing and investigations by OLAF

The Secretary-General is not aware of:

- any member of staff of the Ombudsman providing information under Article 22(a) of the Staff Regulations; or
- any OLAF investigation concerning the Ombudsman, or any person working in the Ombudsman's Office, in 2016.



Part IV: Declarations of the Authorising Officers by Delegation

1. Declaration of the Authorising Officer by Delegation

I, the undersigned,

Head of the Personnel, Administration and Budget Unit,

In my capacity as Authorising Officer by Delegation hereby declare that I have reasonable assurance that:

1. The information contained in the report presents a true and fair view;
2. The resources assigned to the activities described in the report have been used for their intended purpose and in accordance with the principle of sound financial management;
3. The control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions;
4. The costs and benefits of controls are adequate.

This reasonable assurance is based on my own judgment and on the information at my disposal, such as the results of self-assessment, ex-post controls and remarks by the Internal Auditor of the Ombudsman, as well as information derived from the reports of the Court of Auditors on financial years preceding that in which this declaration is made.

I certify that I am not aware of any fact which has not been stated which could damage the interests of the institution of the Ombudsman.

Done at Strasbourg, on 30 March 2017

Alessandro Del Bon
Head of the Personnel, Administration, and Budget Unit



2. Declaration of the Principal Authorising Officer by Delegation

I, the undersigned,

Secretary-General of the Ombudsman

In my capacity as Principal Authorising Officer by Delegation hereby declare that I have reasonable assurance that:

1. The information contained in the report presents a true and fair view;
2. The resources assigned to the activities described in the report have been used for their intended purpose and in accordance with the principle of sound financial management;
3. The control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions;
4. The costs and benefits of controls are adequate.

This reasonable assurance is based on my own judgment and on the information at my disposal, such as the results of self-assessment, ex-post controls and remarks by the Internal Auditor of the Ombudsman, as well as information derived from the reports of the Court of Auditors on financial years preceding that in which this declaration is made.

I certify that I am not aware of any fact which has not been stated which could damage the interests of the institution of the Ombudsman.

Done at Strasbourg, on 30 March 2017

Beate Gminder
Secretary-General



Annexes:

Annex 1: Human resources and professional training charts

Annex 2: Internal Control assessment chart

Annex 3: The European Ombudsman's Operating Framework

Annex 4: Report on budgetary and financial management for the financial year 2016

Annex 5: The European Ombudsman's draft Annual Report for 2016

Annex 6: Putting it Right? How the institutions responded to the Ombudsman in 2015



Annexes

Annex 1: Human resources and professional training charts

A. Breakdown of human resources available to the Ombudsman

In 2016, the European Ombudsman's office carried out its first job-screening exercise in accordance with Article 50 of the Financial Regulation. Taking into account the size of the office, the methodology applied was the one developed by the European Commission as applied by agencies.

The screening of jobs is a top-down and across-the board analysis of all jobs based on the organisational chart. The aim is to categorise the human resources according to the organisational role each job is serving: Administrative Support and Coordination; Operational; and Neutral. The categorisation of all jobs is undertaken with a specific interest in identifying the job evolution in each of the roles with a view to increasing the proportion of jobs dedicated to operational activities.

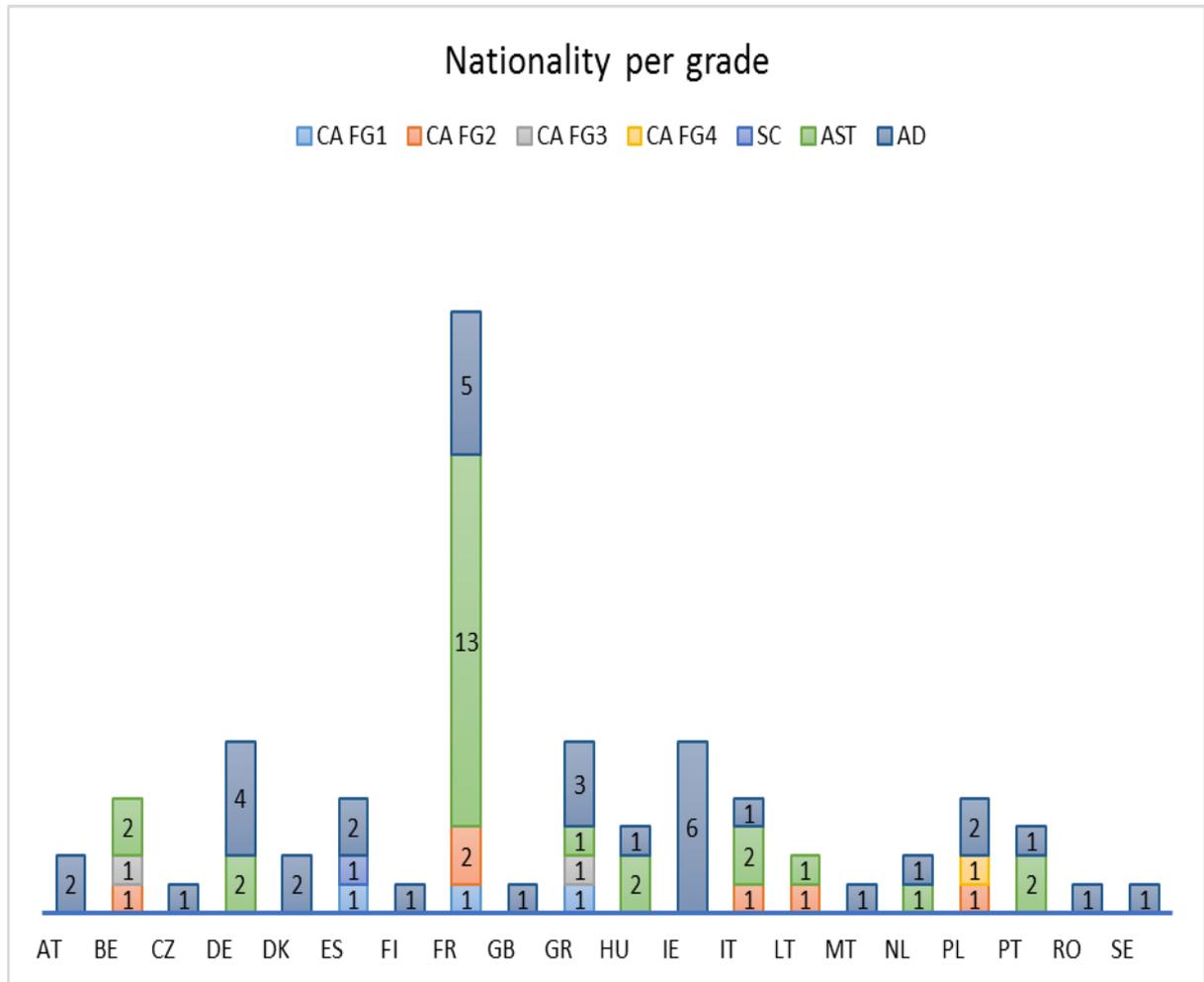
In December 2016 the categorisation of jobs in the Ombudsman's Office resulted in the following figures.

Job-Type (sub) category	Year N-1 (%)	Year N (%)
Administration support and coordination	N/A	29.9
Administrative Support	N/A	21.1
Coordination	N/A	8.8
Operational	N/A	63.2
General operating activities	N/A	49.0
Programme management and implementation	N/A	0.0
Top operational coordination	N/A	14.2
Evaluation & impact assessment	N/A	0.0
Neutral	N/A	6.9
Finance, non-operational procurement and quality management	N/A	6.9
Linguistic activities	N/A	0.0



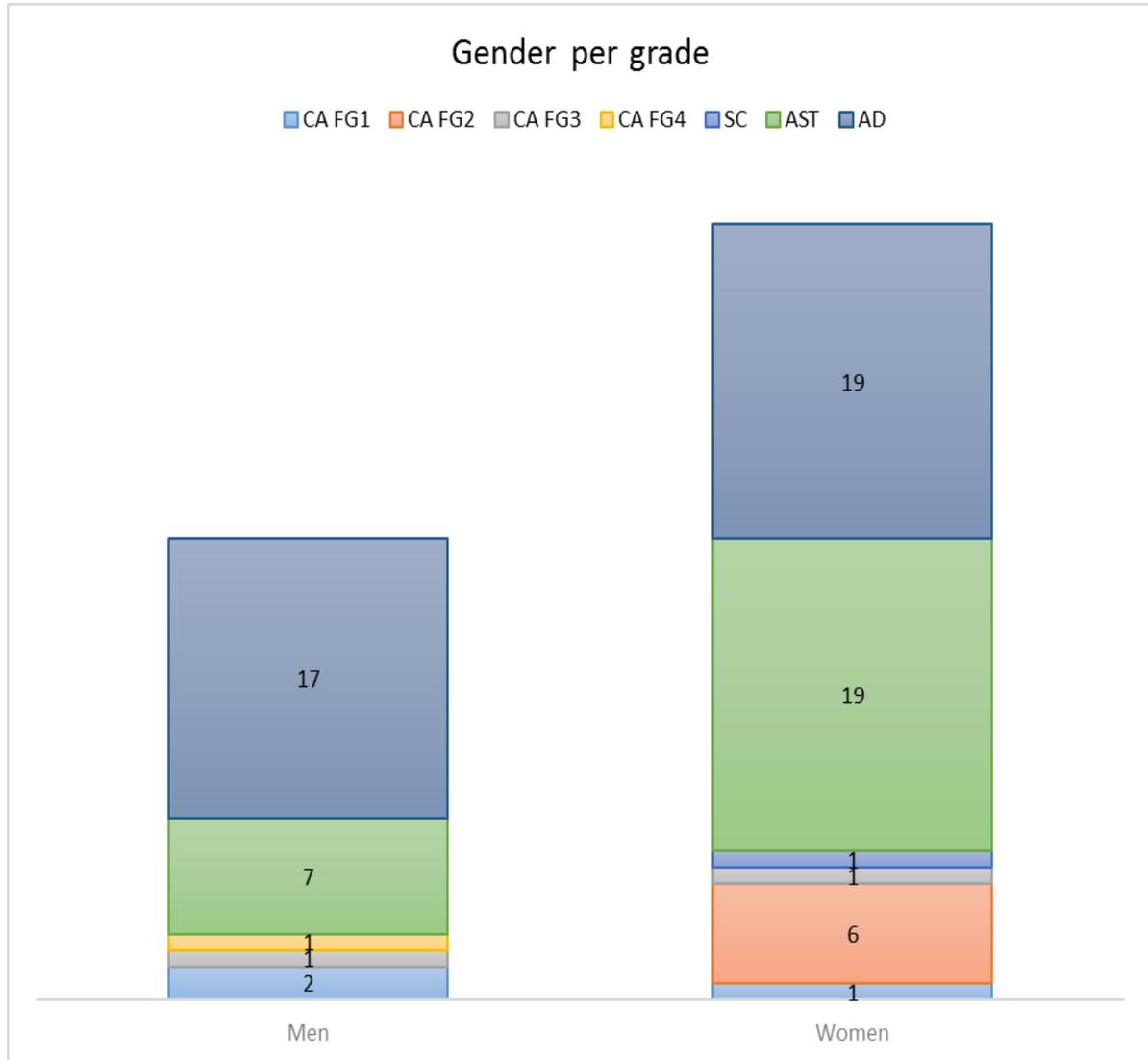
Graphs 1, 2 and 3 below show the breakdown of the various categories of staff respectively by nationality, grade and gender.

Graph 1 - Nationality per grade: snapshot on 31 December 2016



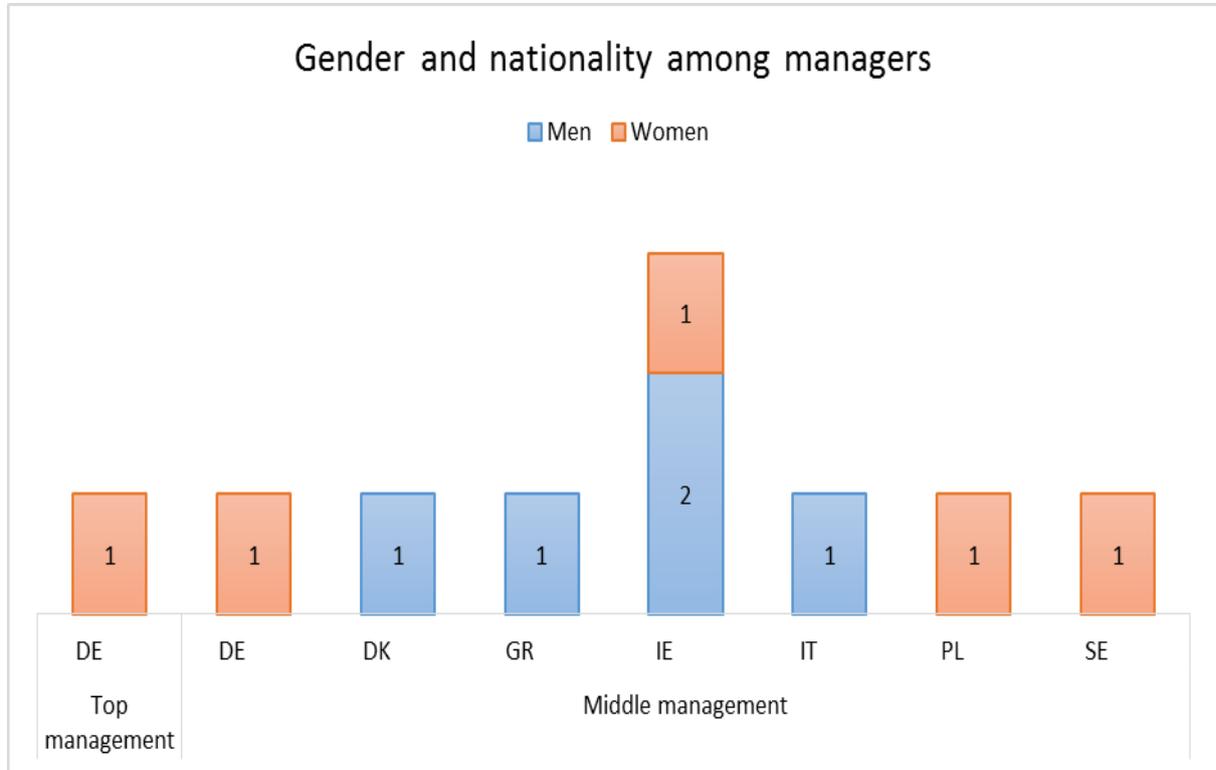


Graph 2 - Gender per grade: snapshot on 31 December 2016





Graph 3 - Gender and nationality among managers: Snapshot on 31 December 2016



IE: out of the three Irish managers, two occupied managerial positions in the Ombudsman's office before the appointment of the present Ombudsman. The third manager is her head of Cabinet and joined the office at the beginning of her mandate.

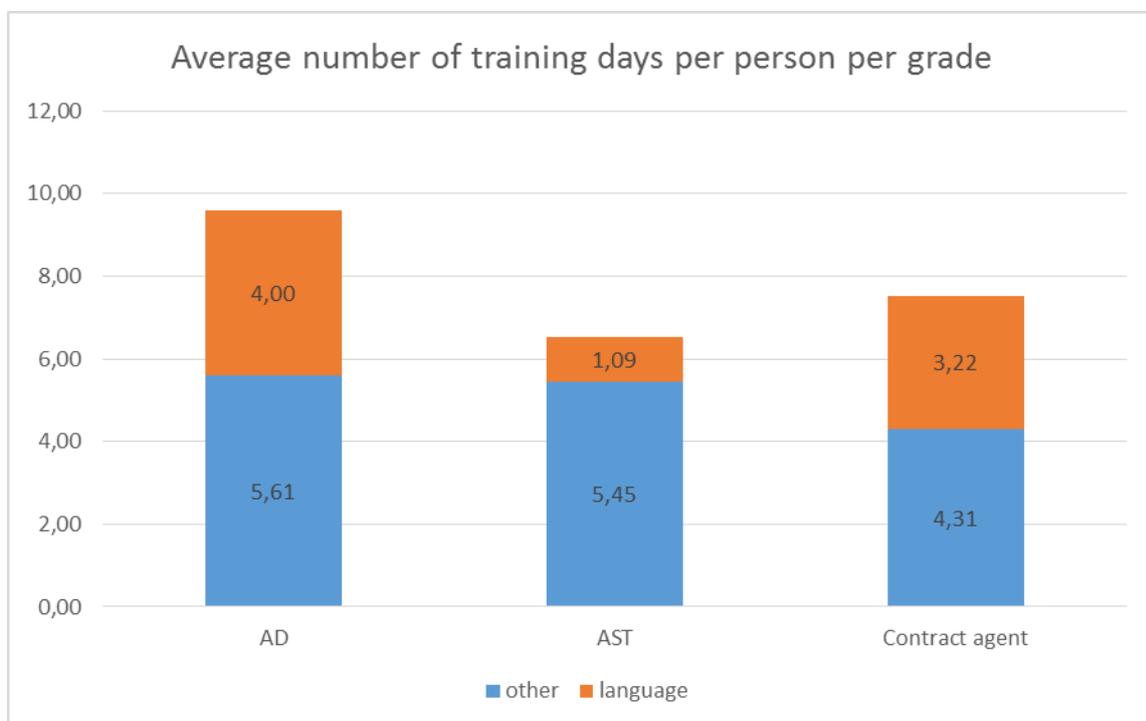


B. Number of days of professional training in 2016

Graph 3 - Training days per person

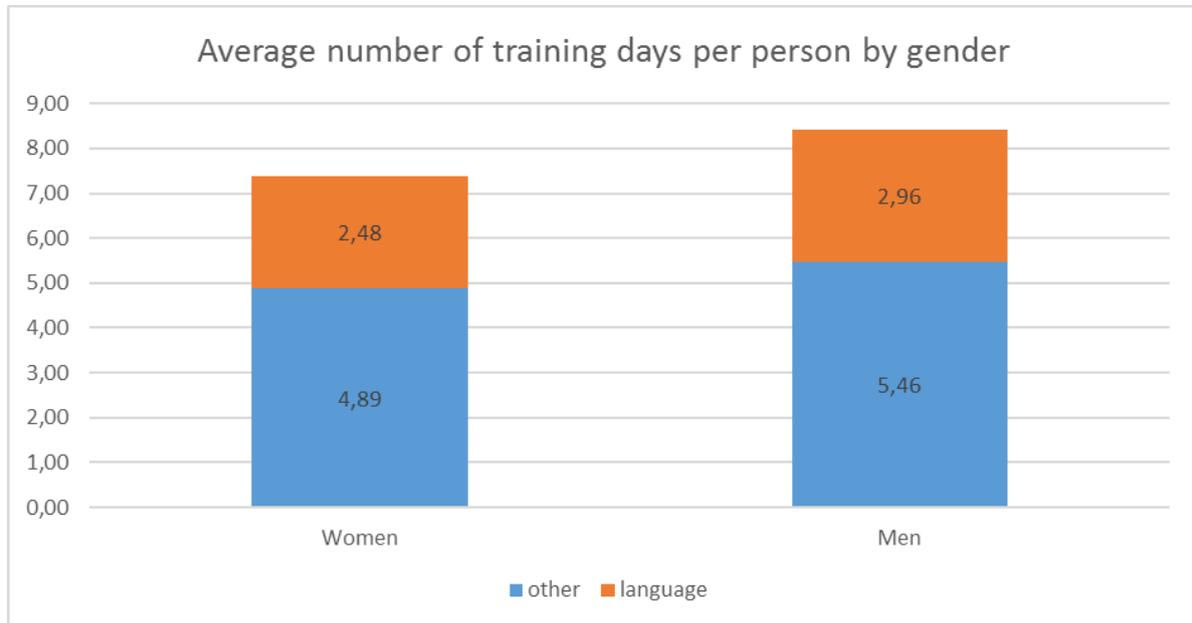


Graph 4 - Training days by grade



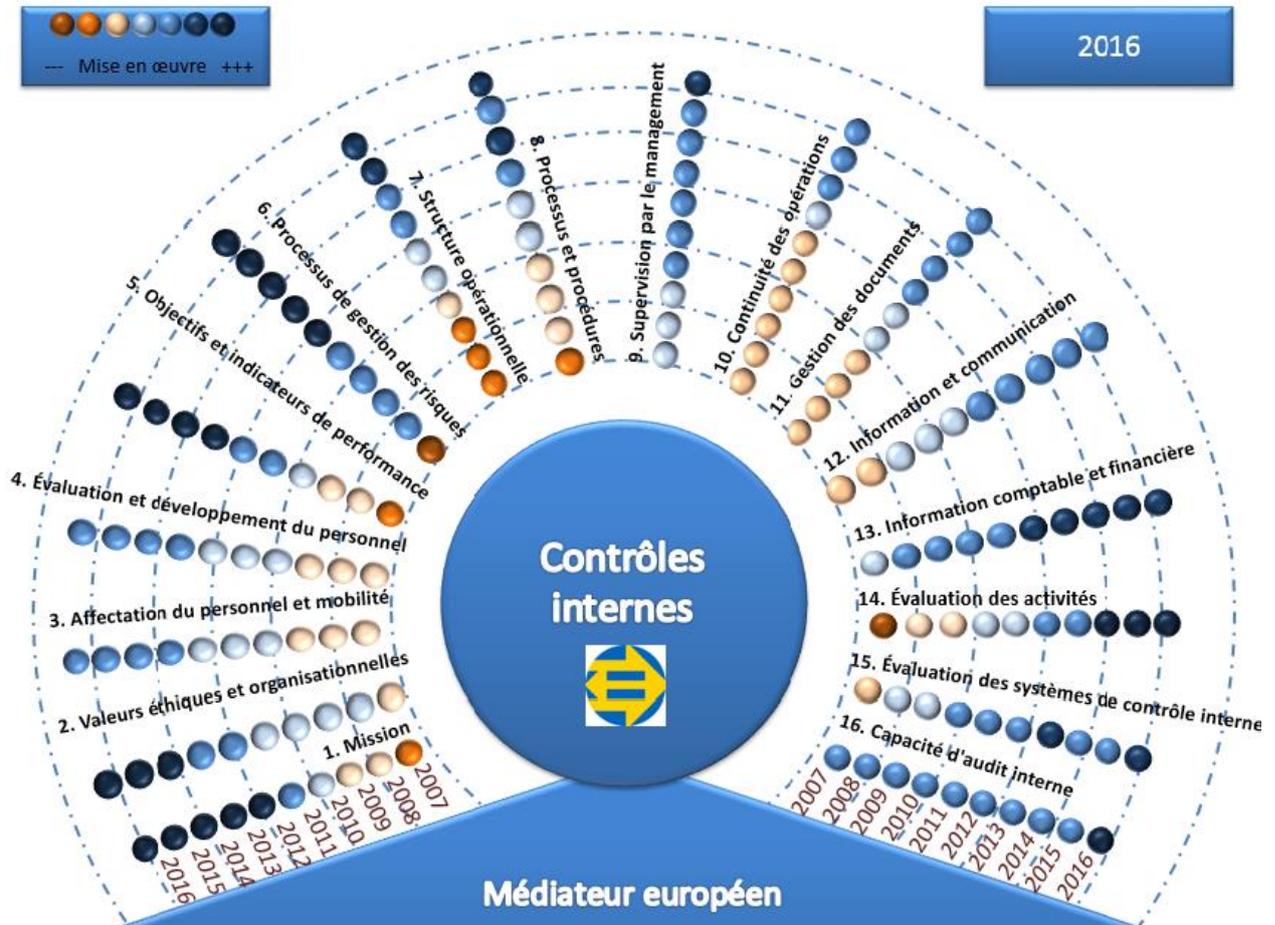


Graph 5 -Training days by gender





Annex 2: Internal control assessment chart





The following annexes are enclosed as separate documents.

Annex 3: The Ombudsman's Operating Framework (PowerPoint Presentation)

Annex 4: Report on budgetary and financial management for the financial year 2016

Annex 5: Draft Annual Report 2016 of the European Ombudsman

The Ombudsman shall submit to the European Parliament a report on the outcome of his/her inquiries every year. The Annual Report of the European Ombudsman for 2016 is scheduled to be officially presented to the European Parliament in May 2017. A draft version is attached to the present report.

The report will subsequently be made available in all languages in the following section of the Ombudsman's website:

<http://www.ombudsman.europa.eu/en/activities/annualreports.faces>

Annex 6: Putting it Right? How the institutions responded to the Ombudsman in 2015



European Ombudsman

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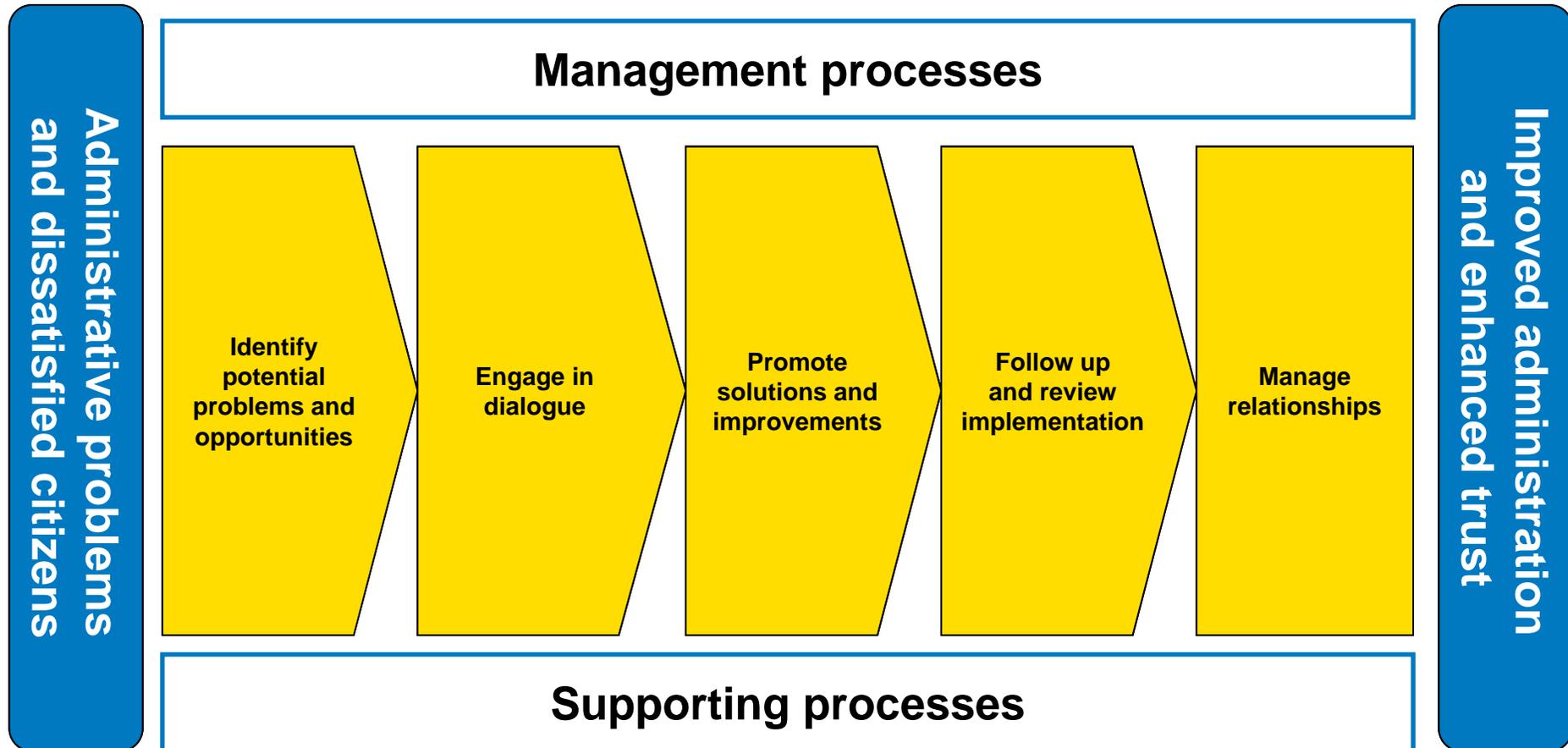
OPERATING FRAMEWORK AND KEY PROCESSES



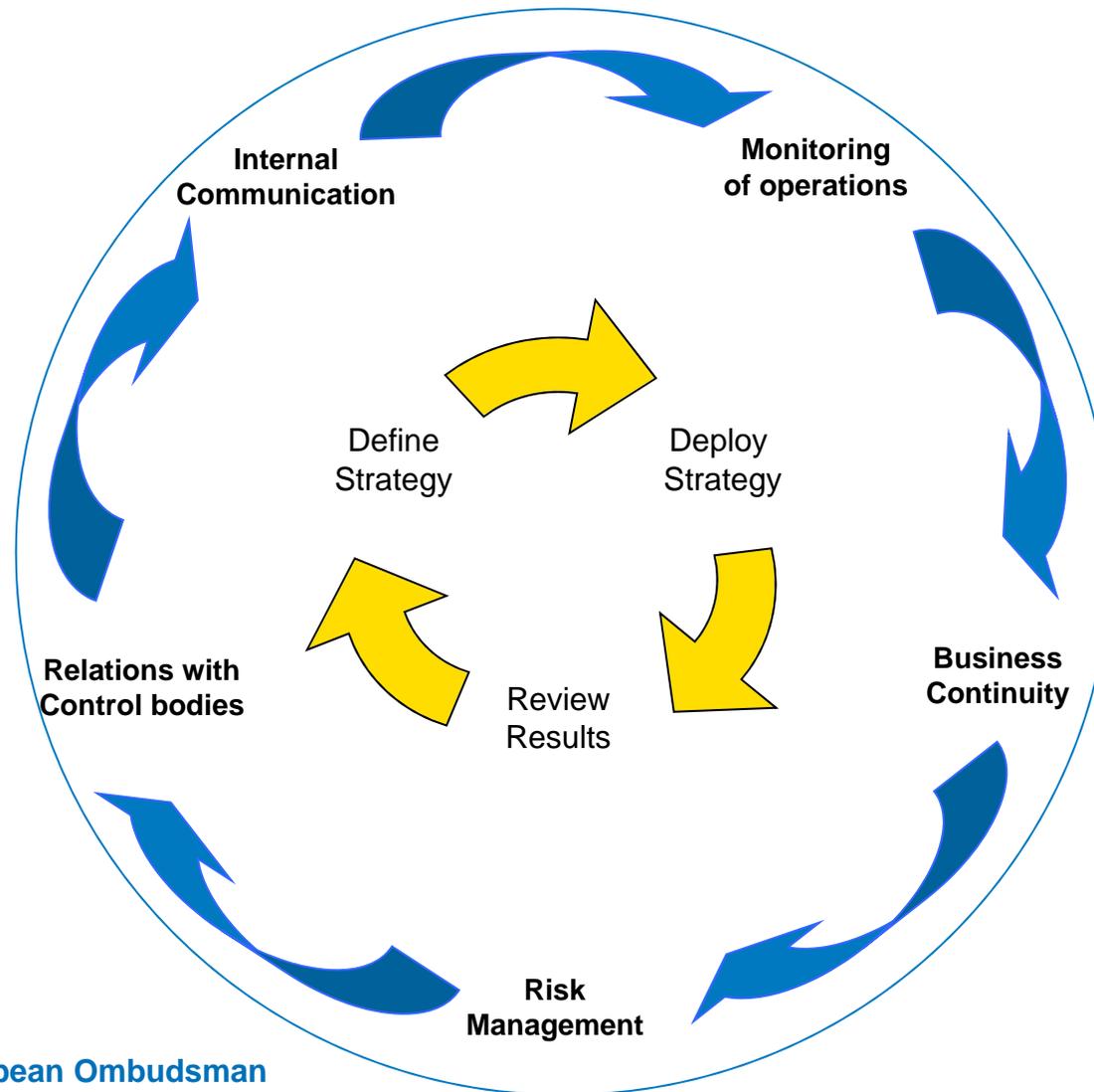
European Ombudsman

V5-January 2017

Operating Framework



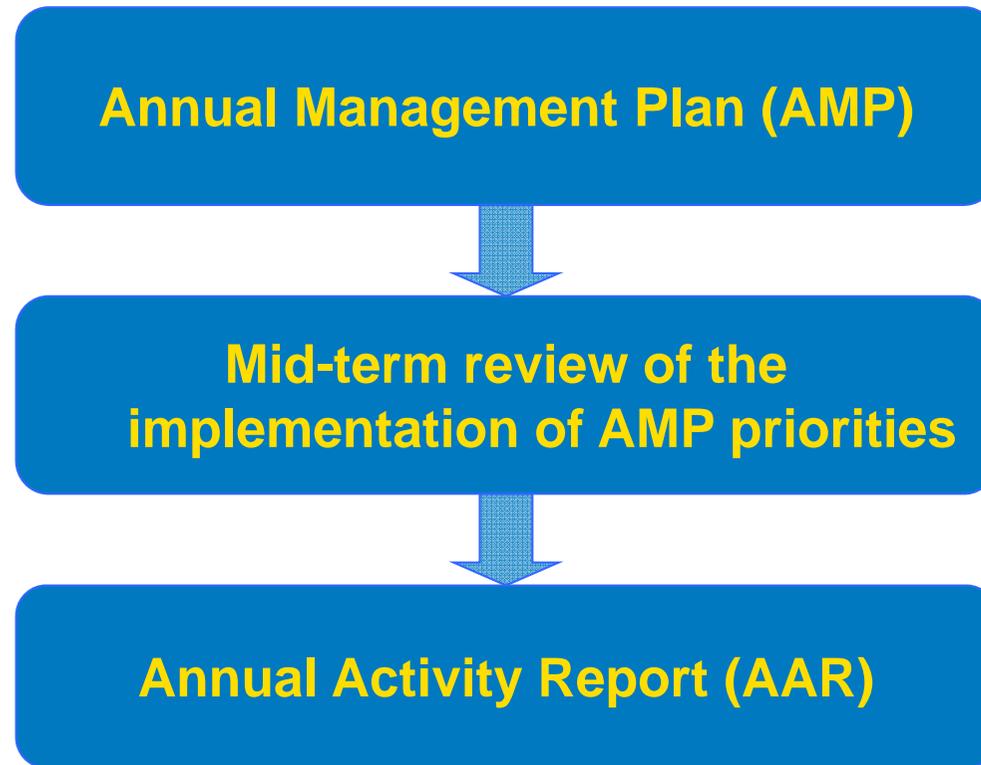
1. Management processes



1.1 Define Strategy



1.2 Deploy Strategy



2. Identify potential problems and opportunities

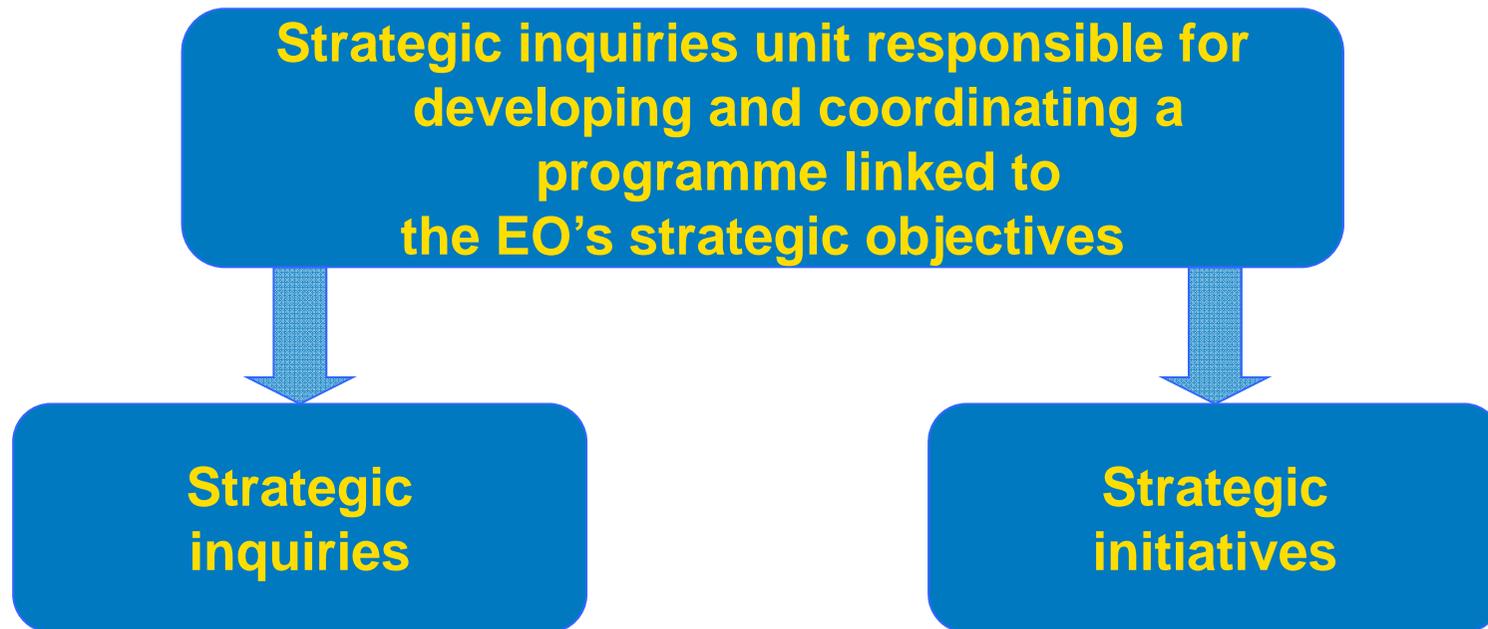
2.1 Proactive identification of systemic issues in the EO's fields of activity

2.2 Complaints

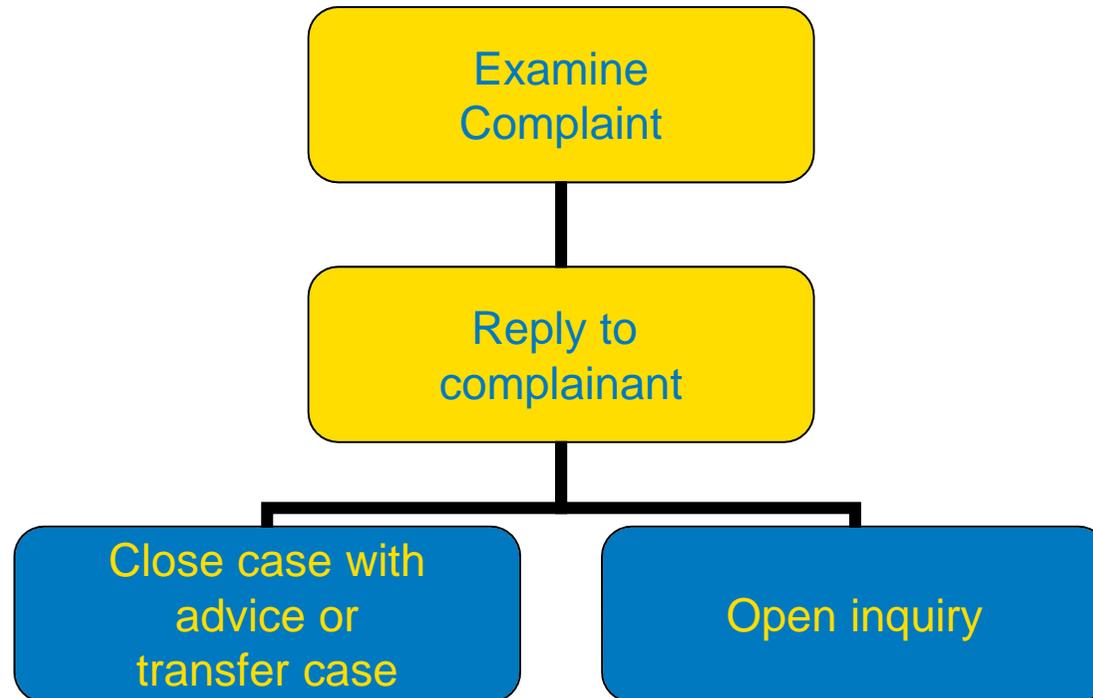
2.3 Other stakeholder input



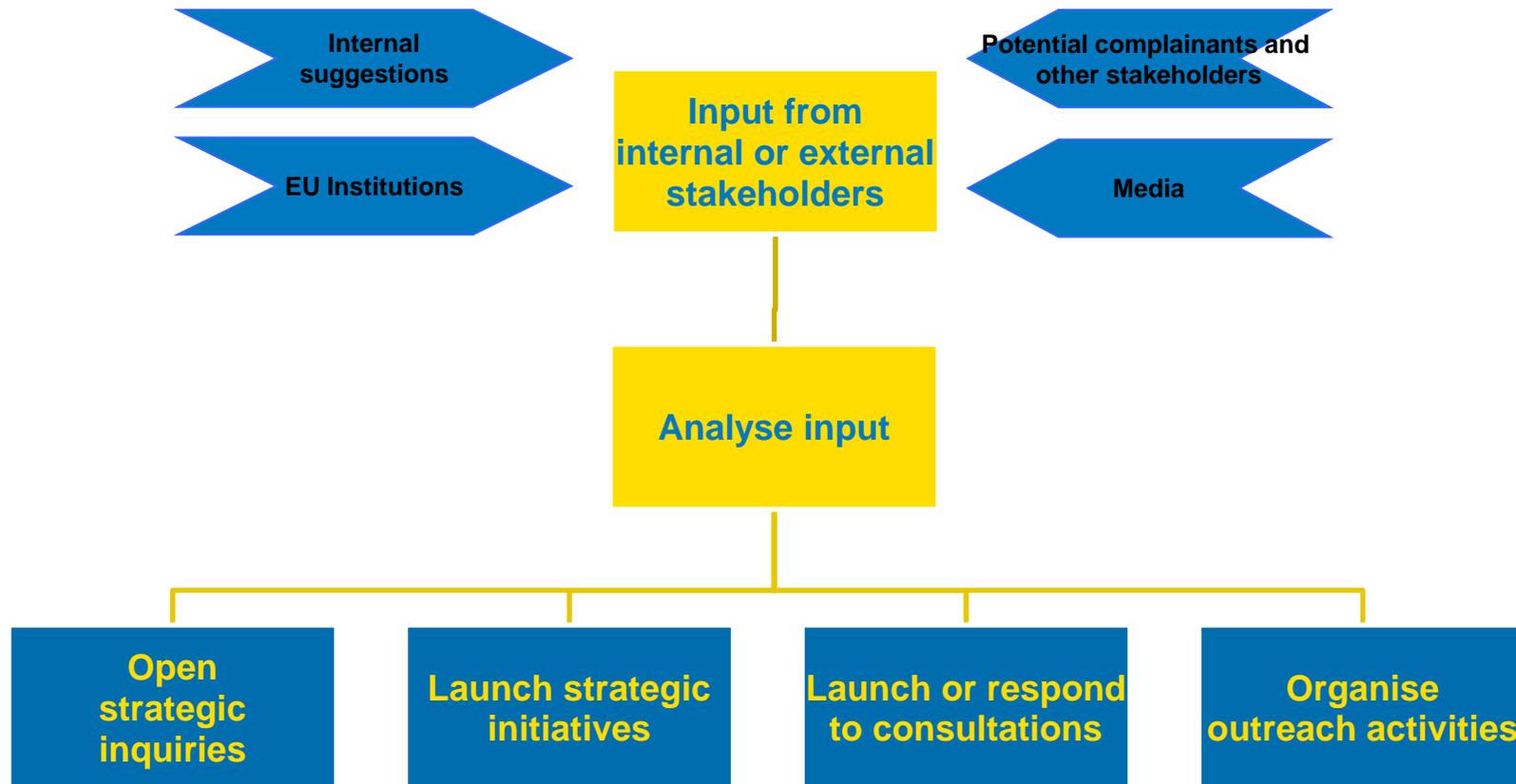
2.1 Proactive identification of systemic issues in the EO's fields of activity



2.2 Complaints



2.3 Other Stakeholder input



3. Engage in dialogue

In the context of

3.1 Inquiries

3.2 Strategic initiatives

3.3 Consultations

3.4 Outreach and other activities



3.1 Inquiries

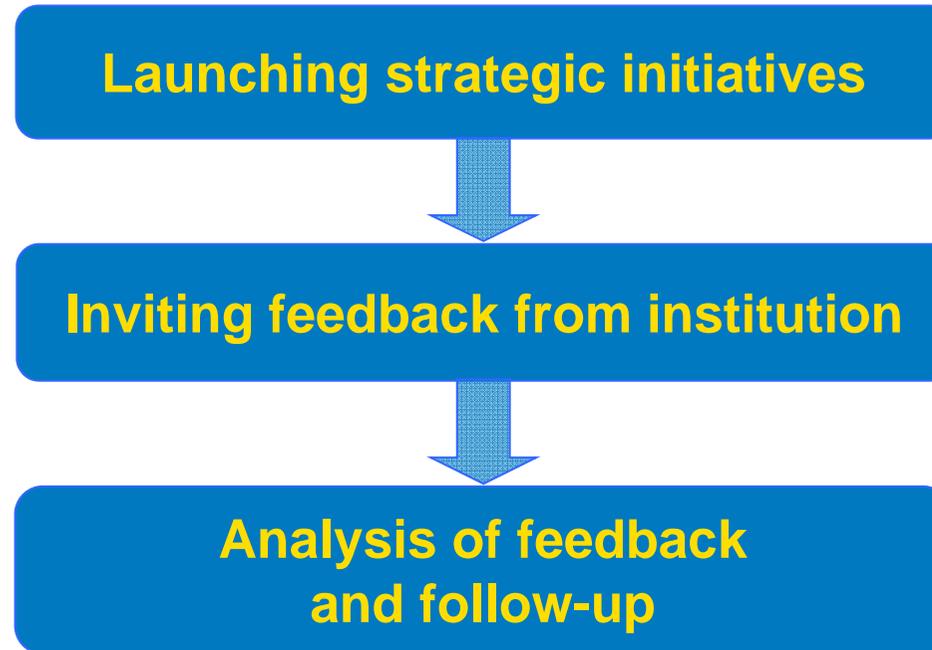
Investigating complaints

Strategic (own-initiative) inquiries

Queries from the Network



3.2 Strategic initiatives



3.3 Consultations

Responding to consultations

Public consultations launched by EU institutions, requests from Committees of the European Parliament or from other stakeholders, ...

Launching consultations

Public, European Network of Ombudsmen, EDPS, ...



3.4 Outreach and other activities

**Meetings and events with institutions
and other stakeholders**

Target group activities

**Proactive use of media,
including active social media engagement**



4. Promote solutions and improvements

4.1 Evaluation and recommendations in the inquiry process

4.2 Issuing general guidance

4.3 Informing and persuading



4.1 Evaluation and recommendations

Solutions

Recommendations

Suggestions

Special Reports



4.2 Issuing general guidance

Guidelines for EU civil servants

Guidelines on good administration

**Sharing and promoting
best practices**

**Joint statements with the European
Network of Ombudsmen**



4.3 Informing and persuading

**Publishing recommendations
and guidance**

Presentations to target audiences

Press releases and interviews

Organising thematic events



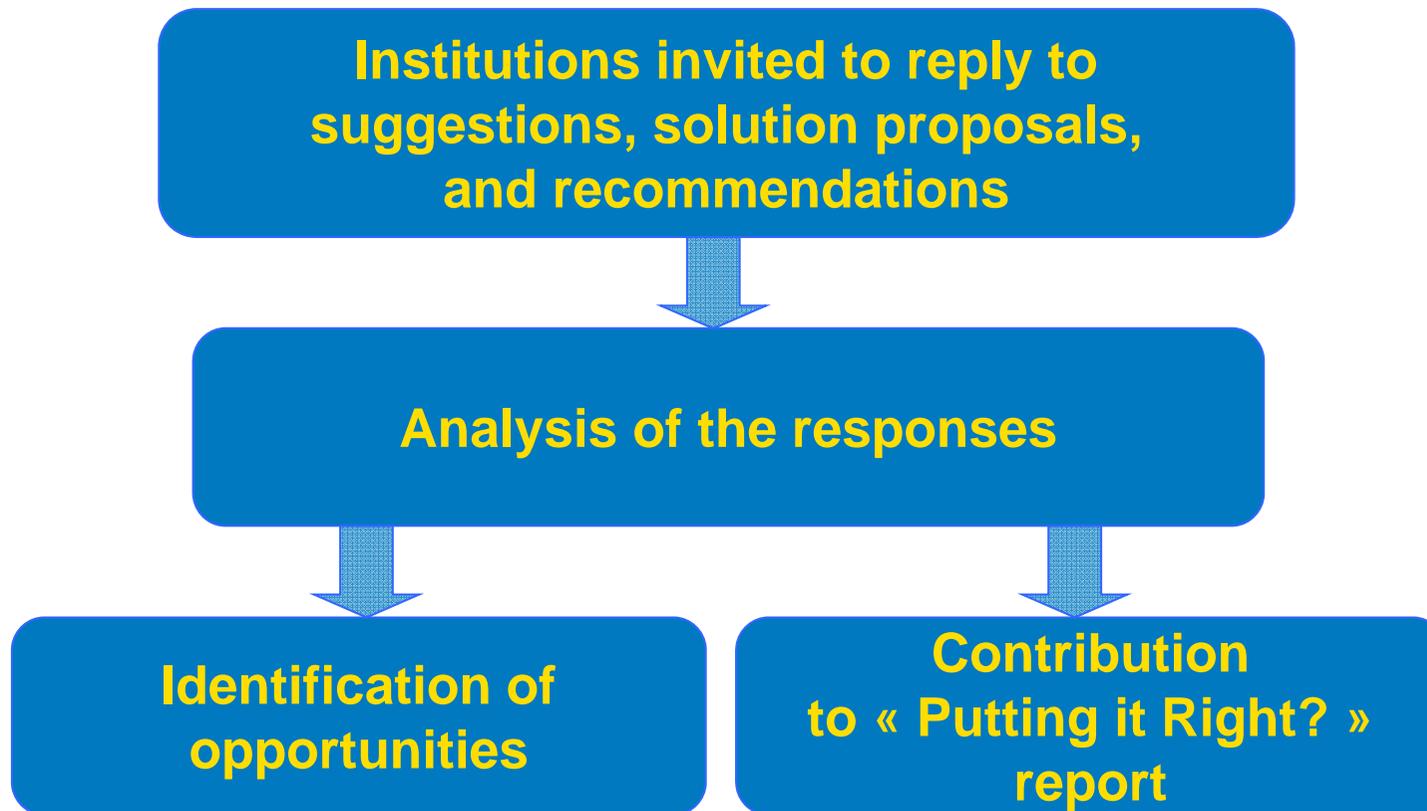
5. Follow-up and review implementation

5.1 Compliance analysis

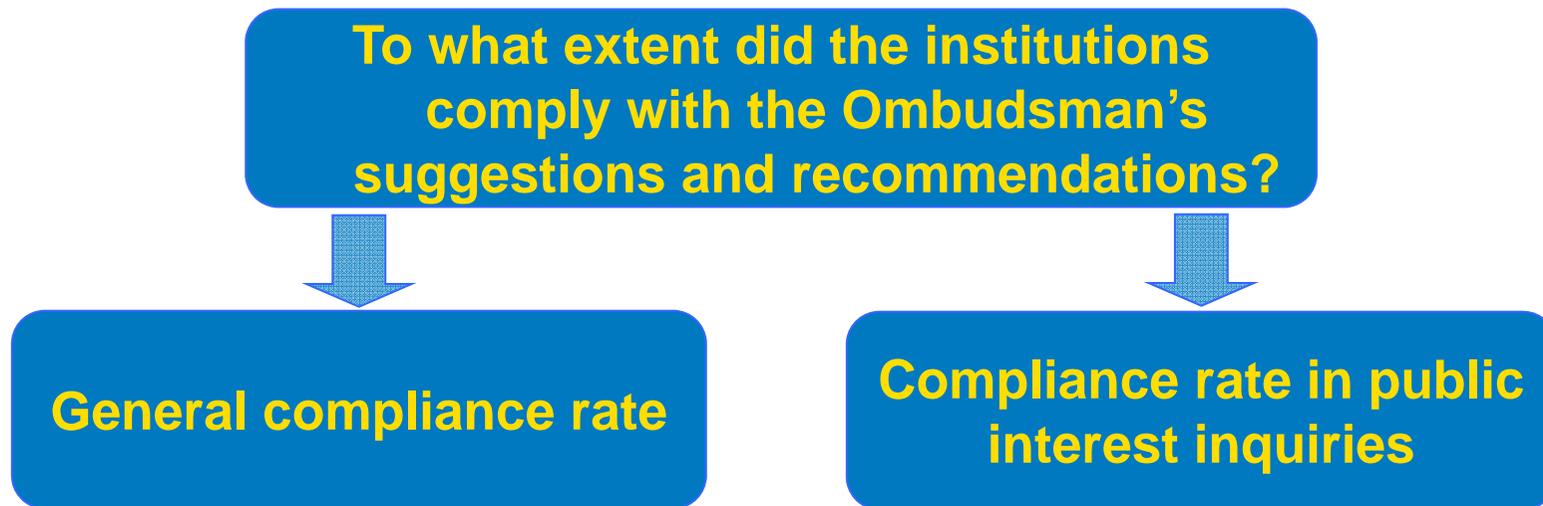
5.2 Compliance rate



5.1 Compliance analysis



5.2 Compliance rate



6. Manage relationships

6.1 Relations with complainants

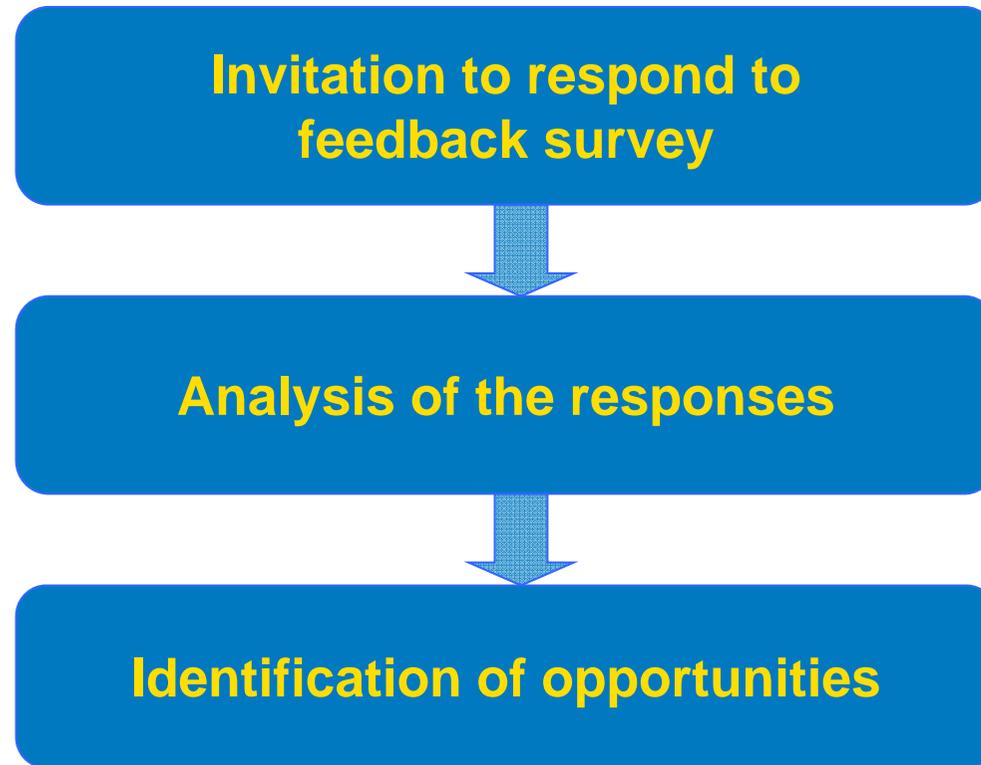
6.2 Relations with the European Parliament

6.3 Relations with the European Network of Ombudsmen

6.4 Relations with other stakeholders



6.1 Relations with complainants



6.2 Relations with the European Parliament

Annual Reports

Special Reports

Meetings with MEPs

Appearances before Committees



6.3 Relations with the European Network of Ombudsmen

Transfer of cases

Parallel investigations

Queries

Seminars and other events

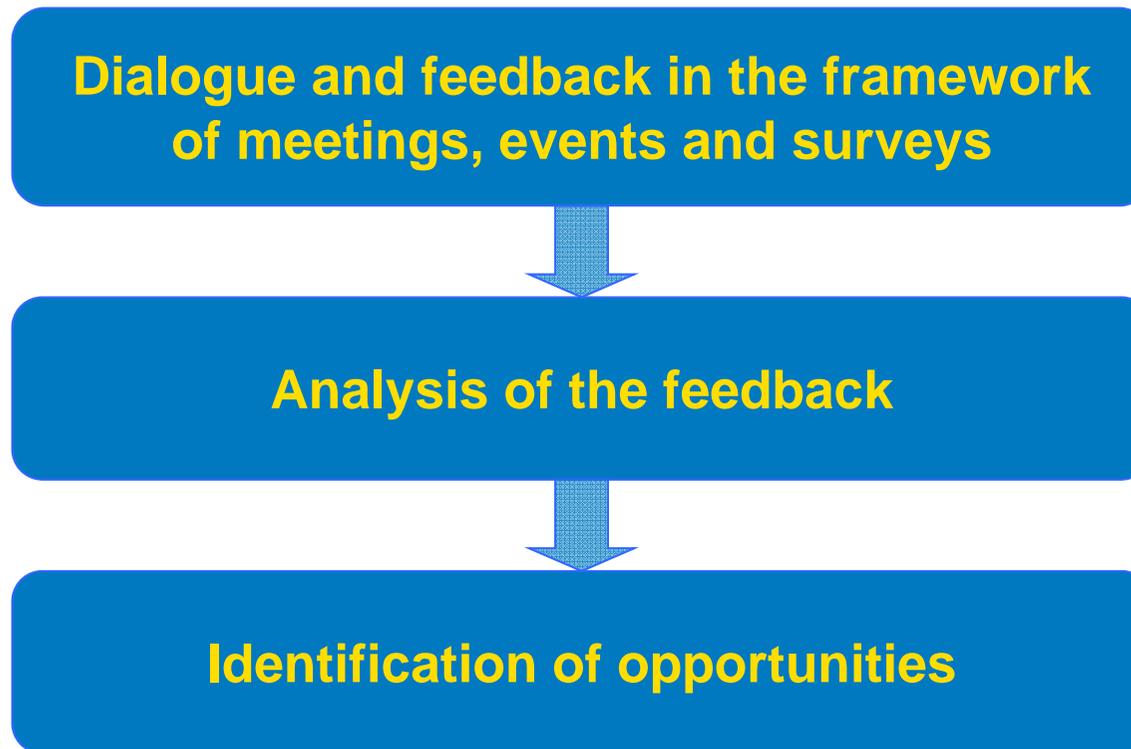
**Electronic discussion forum and
daily news service**

Newsletter



6.4 Relations with other stakeholders

(EU institutions, media, NGOs, ...)



7. Supporting processes

7.1 People

7.2 Finances

7.3 Information management

7.4 ICT

7.5 Administration



7.1 People

Recruitment

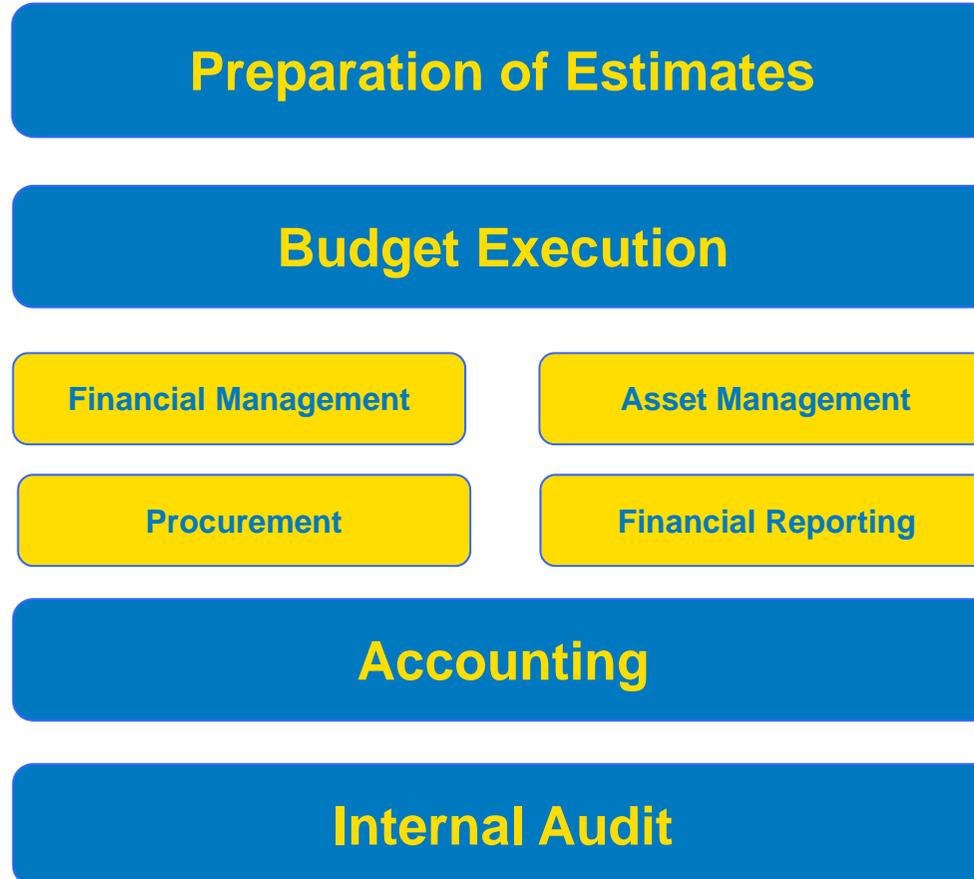
Training

Appraisal and career development

Leaving the institution



7.2 Finances



7.3 Information Management

Complaints management system

Register of non-complaints related documents

Historical archiving

Public Access to information and documents

Data protection



7.4 ICT

IU1-ICT coordinates priorities and implements projects

Management of external procurement

Maintenance and updating of existing systems

Management of hardware, servers and standard applications

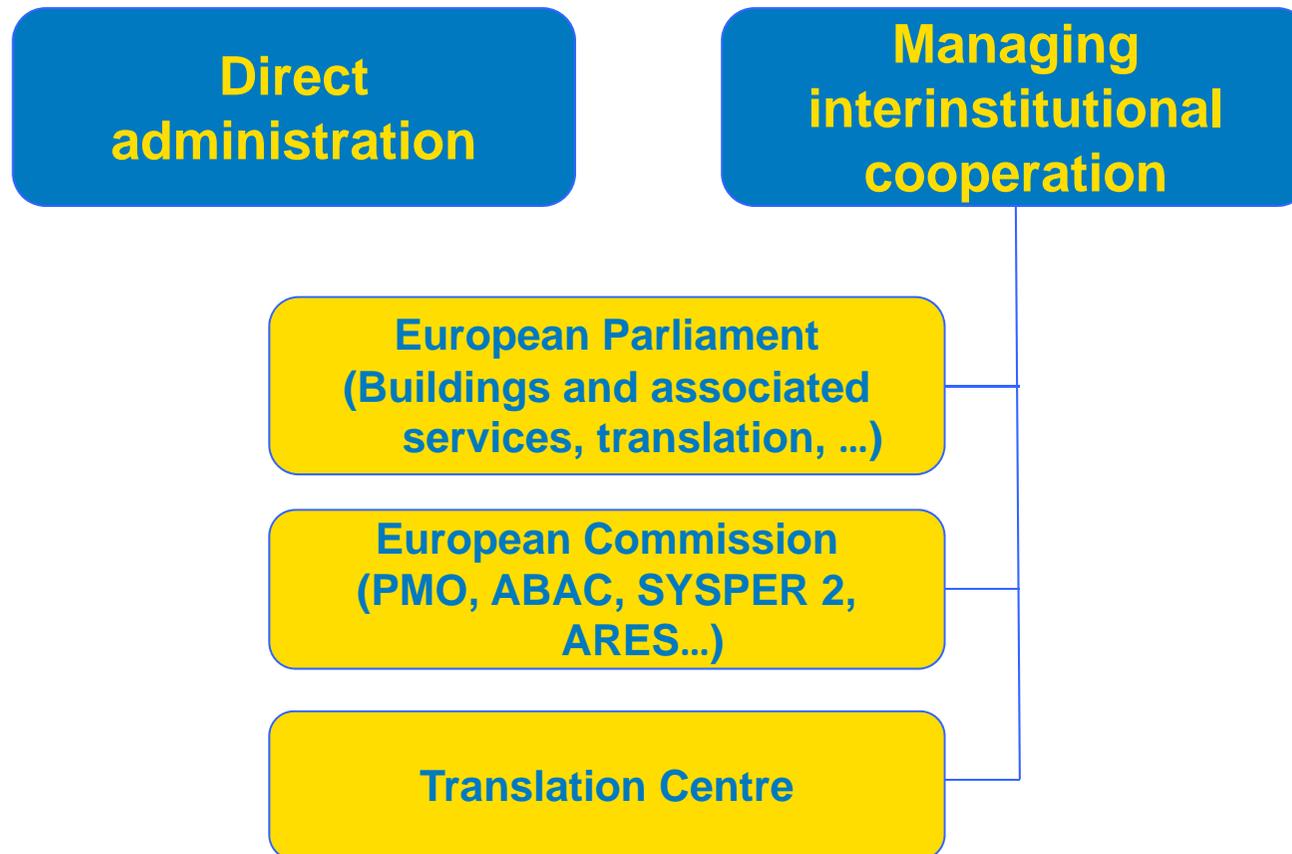
Relations with external service providers

Management of framework contracts

Preparation of budget and reporting on the implementation of priorities



7.5 Administration





Secrétariat Général
Unité personnel, administration et budget

Bilan 2016

Rapport sur la gestion budgétaire et financière

**Etats sur l'exécution du Budget
Etats financiers**

Section VIII / Médiateur

Conformément aux article 142 du Règlement Financier du
25.10.2012, ainsi que l'article 23 des Règles internes
relatives à l'exécution du budget du Médiateur européen

FR



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Sommaire

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2.2 Engagements

2.3 Paiements

2.4 Virements

2.5 Crédits reportés de 2015 à 2016

2.6 Crédits reportés de 2016 à 2017

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Annexe 2 : Tableau de bord - crédits reportés 2015 vers 2016

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3 - Situation des recettes de l'exercice 2016

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4 - Etat de variation de l'actif net

5 - Rapprochement entre l'exécution budgétaire et le résultat des activités de l'exercice 2016

6 - Notes annexes aux états financiers



Partie I. - Rapport sur la gestion budgétaire et financière

1 - Récapitulatif des dépenses de l'exercice 2016

(Montants exprimés en euros)

I. Crédits disponibles

Les crédits définitifs inscrits au budget du Médiateur pour l'exercice 2016 s'élèvent à : 10 658 951,00

II. Utilisation des crédits

a) Les engagements s'élèvent à : 10 168 215,48

b) Les crédits non engagés s'élèvent à : 490 735,52

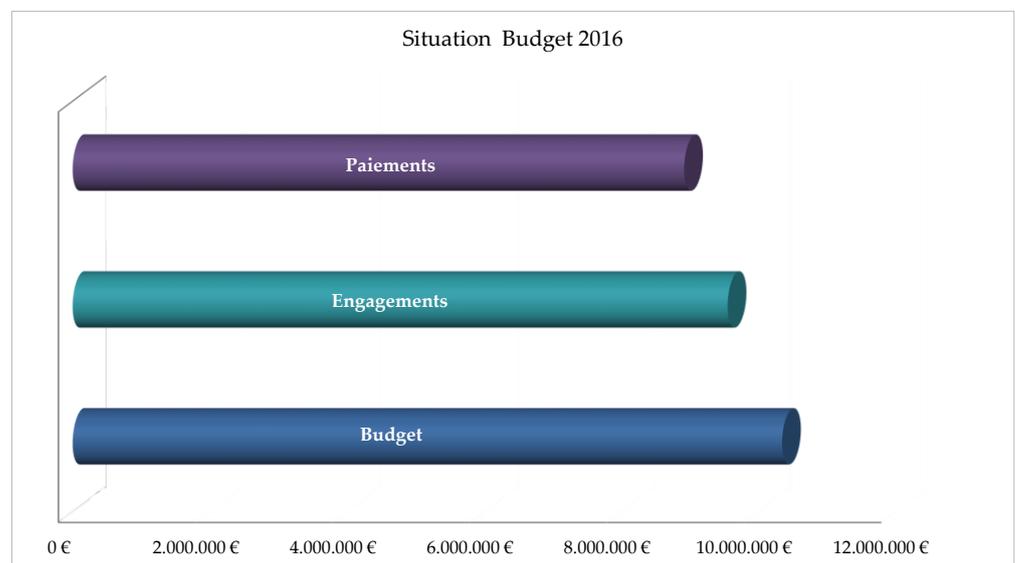
c) Les paiements réels s'élèvent à : 9 155 430,07

III. Utilisation des crédits reportés (2015 vers 2016)

Les crédits reportés de droit de l'exercice 2015 à l'exercice 2016 s'élèvent à : 633 758,52

Les paiements effectués sur la base des crédits reportés s'élèvent à : 535 543,86

Solde des crédits reportés : 98 214,66





2 - Exécution budgétaire 2016¹

2.1 Recettes

Le total des recettes pour l'exercice 2016 s'est élevé à 1 122 438 € (contre 1 237 268 € pour l'exercice 2015).

2.2 Engagements

Les engagements se sont élevés au total à 10 168 215,48 €, soit 95,40 % du budget 2016 (contre 92,32 % en 2015).

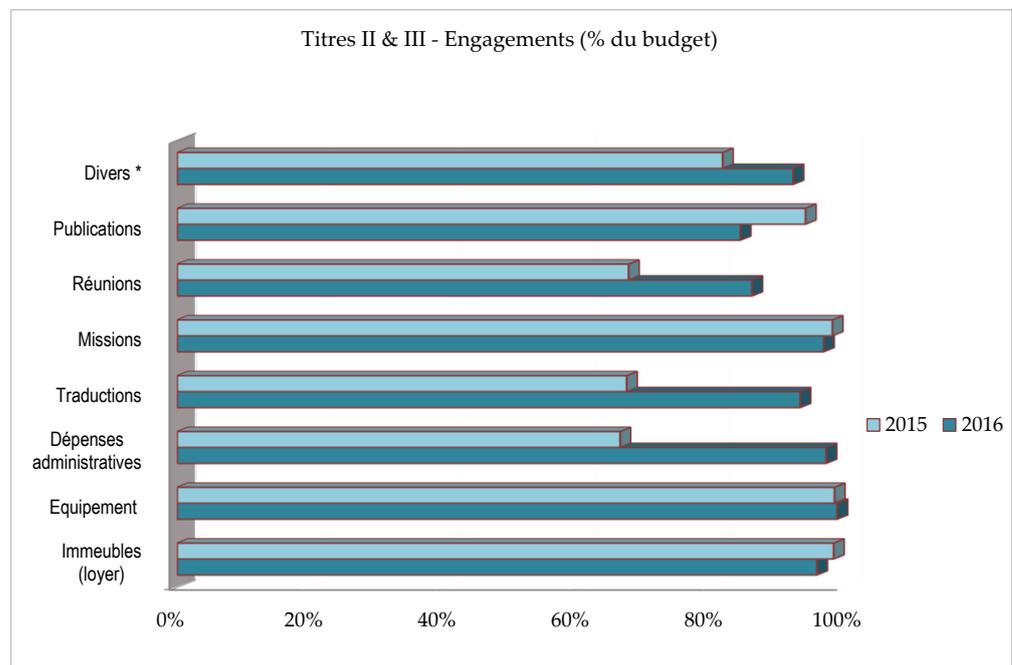
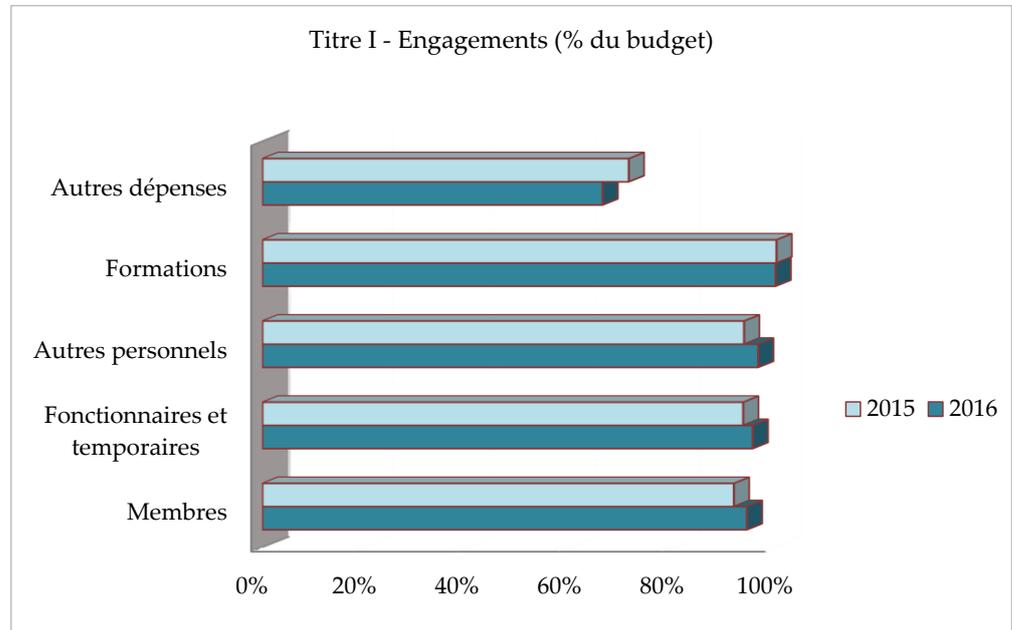
Le tableau ci-après présente, chapitre après chapitre, l'évolution des crédits engagés en 2016 par rapport à l'exercice 2015.

Chapitre	Intitulé	2016 (euros)	2015 (euros)
10	Membres de l'institution	557 797	588 109
12	Fonctionnaires et agents temporaires	6 294 766	6 251 721
14	Autres personnels et prestations externes	626 392	512 961
16	Autres dépenses concernant les personnels	438 076	375 932
	Total du Titre I	7 917 031	7 728 723
20	Immeubles et frais accessoires	824 214	746 425
21	Informatique, équipement et mobilier : achat, location et maintenance	544 694	232 401
23	Dépenses de fonctionnement administratif courant	432 067	361 562
	Total du Titre II	1 800 975	1 340 388
30	Réunions et conférences	241 190	196 033
32	Expertise et information : acquisition, archivage, production et diffusion	187 369	282 408
33	Etudes et autres subventions	20 300	2 800
34	Dépenses relatives aux fonctions du Médiateur	1 350	1 350
	Total du Titre III	450 209	482 591
	Total Général	10 168 215	9 551 702

¹ cf. Annexes 1 et 2 (tableaux de bord crédits courants et crédits reportés arrêtés au 31/12/2016)



Les graphiques ci-dessous illustrent schématiquement les parts des crédits engagés par titre et l'évolution de 2015 à 2016.



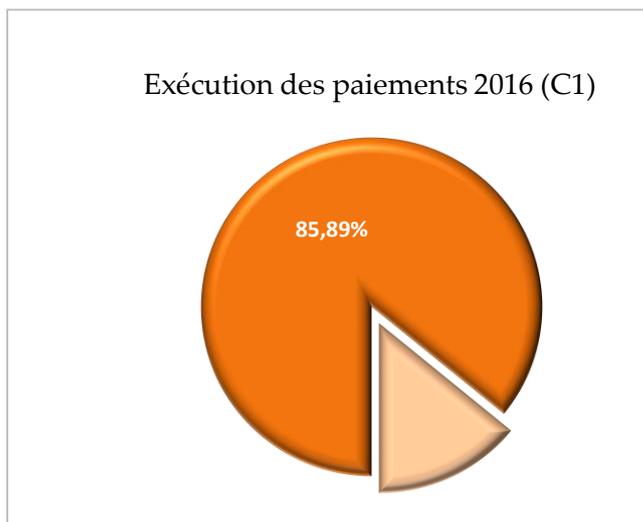
* divers (bibliothèque, archives, subventions, autres dépenses)



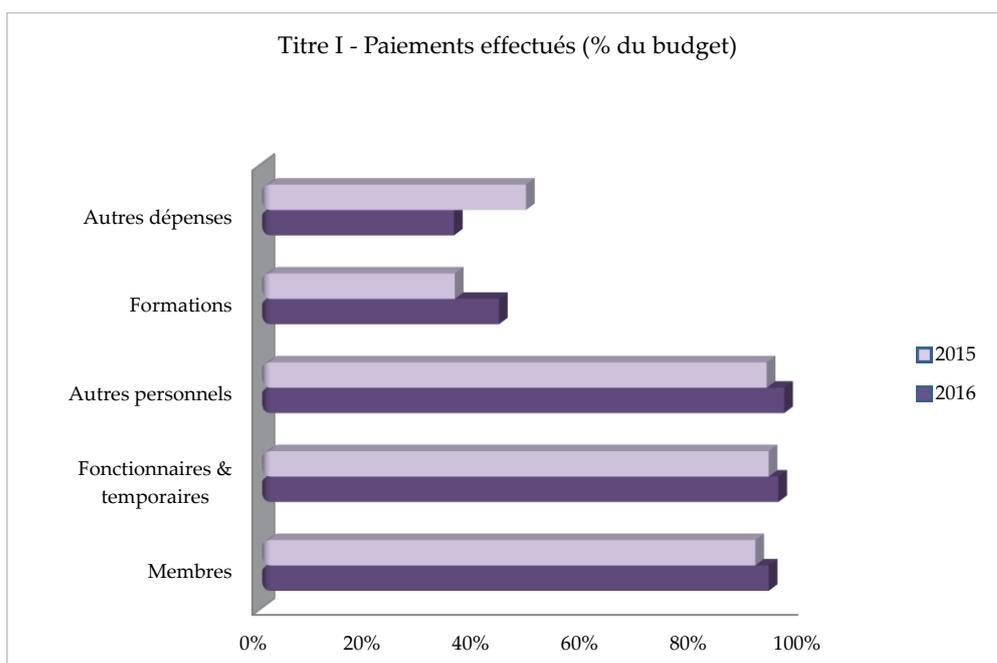
2.3 Paiements

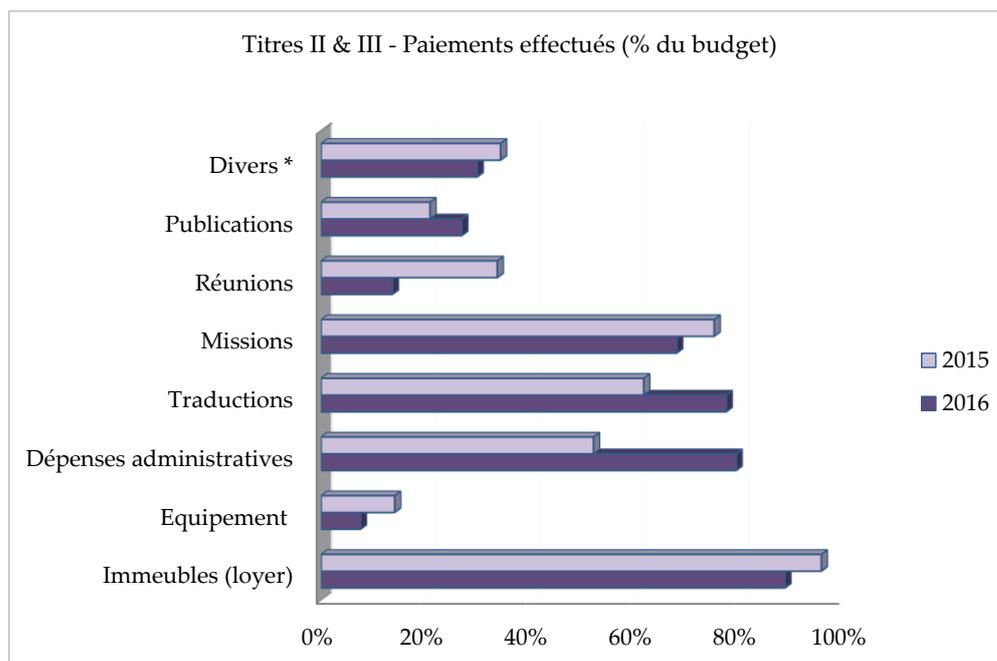
Les paiements ont totalisé 9 155 430,07 € soit 85,89 % du budget 2016 (contre 86,19 % en 2015).

Le lancement, au cours de l'été 2016, de projets substantiels nécessitant le transfert de crédits dans le budget du Médiateur a conduit le Médiateur à reporter certains aspects plus stratégiques de l'exécution budgétaire jusqu'au dernier trimestre de 2016, d'où un taux de paiement exceptionnellement faible en fin d'année 2016 et une augmentation des crédits reportés à 2017 pour assurer le paiement des projets engagés tardivement dans l'année.



Les graphiques ci-dessous illustrent schématiquement la part des paiements par titre et l'évolution de 2015 à 2016.





* divers (bibliothèque, archives, subventions, autres dépenses)

Le graphique ci-dessus dont les données sont exprimées en pourcentage du budget fait apparaître une légère diminution des paiements de loyers et de frais de missions en 2016 par rapport à 2015. Toutefois, il est à souligner qu'en terme absolu, le montant payé en 2016 pour les dépenses consacrées aux bâtiments (763.680 euros) est bien supérieur au montant dépensé en 2015 pour ce même poste budgétaire (726.926 euros). C'est également le cas pour les dépenses de missions qui s'élèvent à 120.487 euros en 2016 (contre 110 631,50 euros en 2015).

Concernant les dépenses de réunions et d'achat en équipement, la diminution des paiements vient du fait que certains projets ont été décidés au cours du dernier trimestre 2016. Les crédits ont été reportés en 2017 afin de pouvoir s'acquitter des dépenses.

2.4 Virements

Modification de la répartition des crédits de l'exercice

Conformément au Règlement Financier, des modifications de la répartition des crédits entre les lignes ont été adoptées. Il s'agit des transformations suivantes :

- Virement 01/2016 (article 25 du Règlement financier)

Poste donneur / Poste receveur	Montant donné (-) / montant reçu (+)
De	
2300 "Papeterie, fournitures de bureau	- 5.750 €



et consommables divers"

2301 "Affranchissement de correspondance et frais de port" - 4.250 €

À

2305 "Frais juridiques et dommages" + 10.000 €

- Virement 02/2016 (article 25§4 du Règlement financier)

Poste donneur / Poste receveur	Montant donné (-) / montant reçu (+)
De	
1200 "Rémunérations et indemnités"	- 89.500 €
1650 "Ecoles européennes"	- 27.500 €
3210 "Communication et publications"	- 21.900 €
Total	- 138.900 €

À

1612 "Perfectionnement professionnel"	+ 65.000 €
2100 "Achat, entretien et maintenance des équipements et des logiciels, et travaux connexes"	+ 21.900 €
212 "Mobilier"	+ 35.000 €
2300 "Papeterie, fournitures de bureau et consommables divers"	+ 2.000 €
2302 "Télécommunications"	+ 2.000 €
2320 "Support aux activités"	+ 9.000 €
3300 "Etudes"	+ 4.000 €
Total	+ 138.900 €

- Virement 03/2016 (article 25 du Règlement financier)

Poste donneur / Poste receveur	Montant donné (-) / montant reçu (+)
De	
1200 "Rémunérations et indemnités"	- 310.000 €
Total	- 310.000 €



À	
1612 "Perfectionnement professionnel"	+ 30.000 €
2100 "Achat, entretien et maintenance des équipements et des logiciels, et travaux connexes "	+ 260.000 €
300 "Frais de missions du personnel"	+ 20.000 €
Total	+ 310.000 €

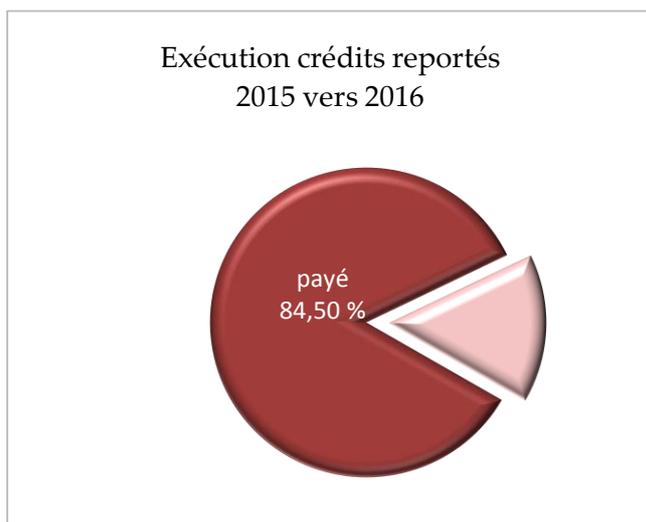
- Virement 04/2016 (article 25 du Règlement financier)

Poste donneur / Poste receveur	Montant donné (-) / montant reçu (+)
De	
2303 "Charges financières"	- 210,00 €
2304 "Autres dépenses"	- 498,15 €
2305 "Frais juridiques et dommages"	- 150,00 €
Total	- 858,15 €

À	
2302 "Télécommunications "	+ 858,15 €
Total	+ 858,15 €

2.5 Crédits reportés de 2015 à 2016

Les reports de crédits à 2016 ont atteint un montant total de 633 758,52 €. Les paiements au titre de ces reports se sont établis à 535 543,86 €, soit 84,50 % (contre 91,15 % en 2015).



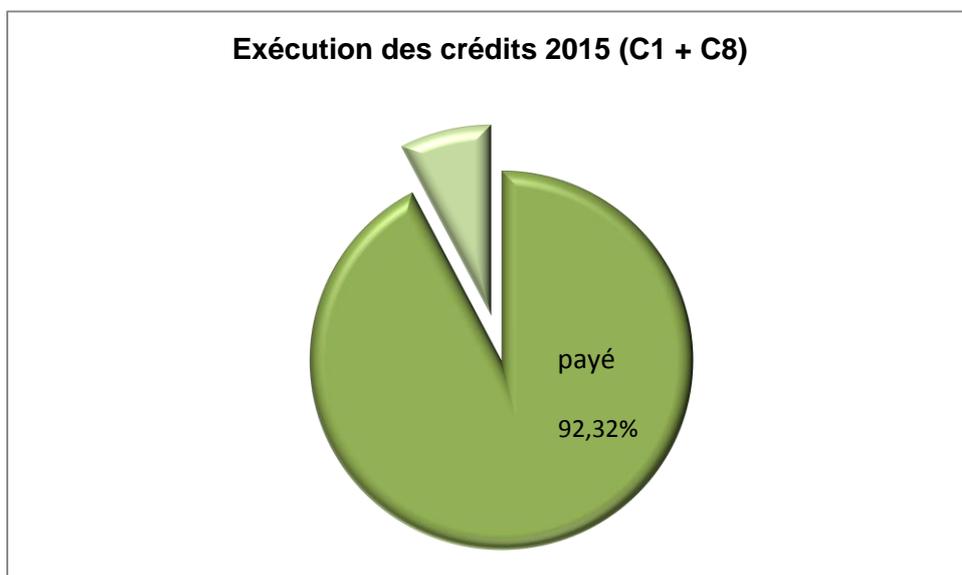
Pour mémoire, les paiements en crédits courants pour l'année 2015 ont atteint un total de 8 917 621,77 €.

Par conséquent, le paiement des crédits 2015 (paiement en crédits courants + paiement en crédits reportés) représente 91,37 % du Budget 2015 (contre 97,53 % pour l'exécution des crédits 2014).

2.6 Crédits reportés de 2016 à 2017

Les crédits reportés de 2016 à 2017 représentent 1 012 785,41 €, soit 9,50 % du Budget 2016. En comparaison, la part relative des crédits reportés de 2015 s'élevait à 633 758,52 €, soit 6,13 % du Budget 2015.

Par conséquent, l'exécution des crédits 2016 (paiements en crédits courants + montant des crédits reportés) représente 95,40 % du Budget 2016 (contre 92,32 % du Budget 2015).





2.7 Indicateurs

Indicateurs	Objectifs 2016	1er trim. 2016	1er+2ème trim 2016	1er-3ème trim 2016	2016	(2015)
F1: Pourcentage de l'exécution budgétaire	Total : 93%	86,87 %	90,59 %	92,20 %	95,40%	(92,32%)
F2: Nombre d'opérations payées au-delà de 30 jours	Total : 0	3	5	5	6	(2)

Le délai moyen de paiement pour l'exercice 2016 est de 13,97 jours (contre 11,73 jours en 2015).



Annexe 1 : Tableau de bord - crédits courants 2016

Exercice 2016		Budget initial	Crédits actuels	Engagements contractés	% engagé	Balance en €	Paielements effectués	% payé sur engagements	% payé sur Budget
Titre I - Personnes liées à l'Institution									
1000	Traitements	426.880,00	426.880,00	406.302,28	95,18%	20.577,72	406.302,28	100,00%	95,18%
1020	Indemnités transitoires	124.000,00	124.000,00	124.000,00	100,00%	0,00	124.000,00	100,00%	100,00%
1030	Pension	4.000,00	4.000,00	2.935,32	0,00%	1.064,68	2.935,32	0,00%	0,00%
1040	Missions	35.000,00	35.000,00	22.579,64	64,51%	12.420,36	20.161,83	89,29%	57,61%
1050	Cours	2.000,00	2.000,00	1.980,00	99,00%	20,00	0,00	0,00%	0,00%
1080	Prises/ Cessation fonctions	0,00	0,00	0,00	0,00%	0,00	0,00	0,00%	0,00%
Chapitre 10		591.880,00	591.880,00	557.797,24	94,24%	34.082,76	553.399,43	99,21%	93,50%
1200	Traitements	6.916.269,00	6.516.769,00	6.216.931,06	95,40%	299.837,94	6.216.931,06	100,00%	95,40%
1202	Heures supplémentaires	3.000,00	3.000,00	0,00	0,00%	3.000,00	0,00	0,00%	0,00%
1204	Prise/ cessation fonction	80.000,00	80.000,00	77.835,28	97,29%	2.164,72	69.915,38	89,82%	87,39%
1220	Retrait d'emploi dans l'intérêt du service	0,00	0,00	0,00	0,00%	0,00	0,00	0,00%	0,00%
Chapitre 12		6.999.269,00	6.599.769,00	6.294.766,34	95,38%	305.002,66	6.286.846,44	99,87%	95,26%
1400	Agents contractuels	487.502,00	487.502,00	466.617,53	95,72%	20.884,47	466.617,53	100,00%	95,72%
1404	Stages	162.000,00	162.000,00	159.774,67	98,63%	2.225,33	159.060,12	99,55%	98,19%
Chapitre 14		649.502,00	649.502,00	626.392,20	96,44%	23.109,80	625.677,65	99,89%	96,33%
1610	Frais recrutements	5.000,00	5.000,00	1.573,54	31,47%	3.426,46	1.147,26	72,91%	22,95%
1612	Perfectionnement professionnel	95.000,00	190.000,00	189.680,70	99,83%	319,30	83.627,23	44,09%	44,01%
1630	Service social	0,00	0,00	0,00	0,00%	0,00	0,00	0,00%	0,00%
1632	Relations / personnel	6.000,00	6.000,00	5.704,05	95,07%	295,95	2.786,30	48,85%	46,44%
1650	Ecoles européennes	275.000,00	247.500,00	241.117,80	97,42%	6.382,20	241.117,80	100,00%	97,42%
Chapitre 16		381.000,00	448.500,00	438.076,09	97,68%	10.423,91	328.678,59	75,03%	73,28%
TOTAL TITRE I		8.621.651,00	8.289.651,00	7.917.031,87	95,51%	372.619,13	7.794.602,11	98,45%	94,03%
Titre II - Immeubles, Mobilier, Equipements et dépenses diverses									
2000	Loyers	860.000,00	860.000,00	824.214,04	95,84%	35.785,96	763.680,48	92,66%	88,80%
Chapitre 20		860.000,00	860.000,00	824.214,04	95,84%	35.785,96	763.680,48	92,66%	88,80%
2100	Informatique	200.000,00	481.900,00	481.091,55	99,83%	808,45	32.461,85	6,75%	6,74%
2120	Mobilier	15.000,00	50.000,00	47.564,85	95,13%	2.435,15	8.446,87	17,76%	16,89%
2160	Transport	19.000,00	19.000,00	16.037,50	84,41%	2.962,50	623,20	3,89%	3,28%
Chapitre 21		234.000,00	550.900,00	544.693,90	98,87%	6.206,10	41.531,92	7,62%	7,54%
2300	Fournitures bureau & impressions	12.000,00	8.250,00	7.944,66	96,30%	305,34	7.069,90	88,99%	85,70%
2301	Affranchissement	7.000,00	2.750,00	2.105,50	76,56%	644,50	1.643,25	78,05%	59,75%
2302	Téléphone	6.000,00	8.858,15	8.858,15	100,00%	0,00	6.016,28	67,92%	67,92%
2303	Charges financières	500,00	290,00	290,00	100,00%	0,00	31,20	10,76%	10,76%
2304	Régie d'avance & divers	3.500,00	3.001,85	2.913,49	97,06%	88,36	2.122,86	72,86%	70,72%
2305	Frais juridiques	5.000,00	14.850,00	14.600,00	0,00%	250,00	600,00	0,00%	0,00%
2310	Traductions	315.000,00	315.000,00	294.000,00	93,33%	21.000,00	244.307,59	83,10%	77,56%
2320	Support aux activités	95.000,00	104.000,00	101.355,00	97,46%	2.645,00	95.355,00	94,08%	91,69%
Chapitre 23		444.000,00	457.000,00	432.066,80	94,54%	24.933,20	357.146,08	82,66%	78,15%
TOTAL TITRE II		1.538.000,00	1.867.900,00	1.800.974,74	96,42%	66.925,26	1.162.358,48	64,54%	62,23%
Titre III dépenses résultant de l'exercice par l'institution de ses missions									
3000	Frais de missions	157.000,00	177.000,00	171.434,29	96,86%	5.565,71	120.487,51	70,28%	68,07%
3020	Frais de réception	7.000,00	7.000,00	1.028,40	14,69%	5.971,60	785,90	76,42%	11,23%
3030	Réunions en général	47.000,00	47.000,00	41.934,10	89,22%	5.065,90	7.223,22	17,23%	15,37%
3040	Frais divers de réunion	27.000,00	27.000,00	26.792,94	99,23%	207,06	3.059,65	11,42%	11,33%
Chapitre 30		238.000,00	258.000,00	241.189,73	93,48%	16.810,27	131.556,28	54,54%	50,99%
3200	Bibliothèque	8.000,00	8.000,00	6.127,53	76,59%	1.872,47	5.536,80	90,36%	69,21%
3201	Fonds d'archives	15.000,00	15.000,00	14.952,00	99,68%	48,00	4.152,00	27,77%	27,68%
3210	Publications	219.000,00	197.100,00	166.289,61	84,37%	30.810,39	53.074,40	31,92%	26,93%
Chapitre 32		242.000,00	220.100,00	187.369,14	85,13%	32.730,86	62.763,20	33,50%	28,52%
3300	Etudes	17.800,00	21.800,00	20.300,00	0,00%	1.500,00	2.800,00	0,00%	0,00%
3301	Autres subventions	0,00	0,00	0,00	0,00%	0,00	0,00	0,00%	0,00%
Chapitre 33		17.800,00	21.800,00	20.300,00	93,12%	1.500,00	2.800,00	0,00%	12,84%
3400	Dépenses diverses	1.500,00	1.500,00	1.350,00	90,00%	150,00	1.350,00	100,00%	90,00%
Chapitre 34		1.500,00	1.500,00	1.350,00	90,00%	150,00	1.350,00	100,00%	90,00%
TOTAL TITRE III		499.300,00	501.400,00	450.208,87	89,79%	51.191,13	198.469,48	44,08%	39,58%
TOTAL TITRE II + III		2.037.300,00	2.369.300,00	2.251.183,61	95,01%	118.116,39	1.360.827,96	60,45%	57,44%
TOTAL GENERAL		10.658.951,00	10.658.951,00	10.168.215,48	95,40%	490.735,52	9.155.430,07	90,04%	85,89%



Annexe 2 : Tableau de bord - crédits reportés 2015 vers 2016

UTILISATION DES CREDITS REPORTEES 2015 vers 2016					
postes budget	Intitulés	Crédits reportés	Paiements effectués	% utilisation	Reste à liquider (RAL)
1040	Missions Médiatrice	3.495,39	1.784,76	51,06%	1.710,63
1050	Cours	835,00	660,00	79,04%	175,00
1204	Frais entrée/cessation fonctions	2.000,00	1.075,23	53,76%	924,77
1404	Stages	3.129,41	1.051,70	33,61%	2.077,71
1610	Frais de recrutement	1.012,97	0,00	0,00%	1.012,97
1612	Perfectionnement professionnel	80.103,24	65.417,12	81,67%	14.686,12
1632	Relations sociales personnel	4.782,58	3.935,70	82,29%	846,88
Total Titre I		95.358,59	73.924,51	77,52%	21.434,08
2000	Loyer	19.498,82	11.253,01	57,71%	8.245,81
2100	Informatique	175.456,99	171.856,99	97,95%	3.600,00
2120	Mobilier	5.715,10	5.715,10	100,00%	0,00
2160	Matériel de transport	17.984,23	16.672,09	92,70%	1.312,14
2300	Fournitures de bureau	4.832,05	4.563,60	94,44%	268,45
2301	Affranchissement	3.340,80	196,28	5,88%	3.144,52
2302	Télécommunications	1.640,95	1.640,95	100,00%	0,00
2303	Charges financières	321,90	227,25	70,60%	94,65
2304	Regie avance	438,60	365,42	83,32%	73,18
2305	Frais juridiques	9.000,00	0,00	0,00%	9.000,00
2310	Traductions	22.291,05	20.600,48	92,42%	1.690,57
Total Titre II		260.520,49	233.091,17	89,47%	27.429,32
3000	Missions staff	33.669,46	22.358,88	66,41%	11.310,58
3040	Frais réunions internes	25.927,50	23.667,50	91,28%	2.260,00
3200	Documentation et librairie	2.755,00	2.625,00	95,28%	130,00
3201	Frais archives	11.115,00	11.115,00	100,00%	0,00
3210	Publications	204.412,48	168.761,80	82,56%	35.650,68
Total Titre III		277.879,44	228.528,18	82,24%	49.351,26
Total général		633.758,52	535.543,86	84,50%	98.214,66



Partie II. - États sur l'exécution du budget

1 - Situation des crédits courants de l'exercice
2016

Budgetary Execution by Budget Line and Fund Source

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Budget Position	Appropriation Description	Commitment					Payment		
		Credit Available Com Amount	Commitment Accepted Amount (Euro)	% Commit	Balance (non committed Amount)	Com L1 Open Amount (Eur)	Credit Available Pay Amount	Payment Request Accepted Amount (Euro)	% Payment
A01000	SALAIRES INDEMN ET A	426,880.00	406,302.28	95.18 %	20,577.72	0.00	426,880.00	406,302.28	95.18 %
A01020	INDEMN TRANSITOIRES	124,000.00	124,000.00	100.00 %	0.00	0.00	124,000.00	124,000.00	100.00 %
A01030	PENSIONS	4,000.00	2,935.32	73.38 %	1,064.68		4,000.00	2,935.32	73.38 %
A01040	FRAIS DE MISSIONS	35,000.00	22,579.64	64.51 %	12,420.36	0.00	35,000.00	20,161.83	57.61 %
A01050	COURS	2,000.00	1,980.00	99.00 %	20.00	0.00	2,000.00		
A01200	SALAIRES ET INDEMN	6,516,769.00	6,216,931.06	95.40 %	299,837.94	0.00	6,516,769.00	6,216,931.06	95.40 %
A01202	HEURES SUPP PAYÉES	3,000.00	0.00	0.00 %	3,000.00	0.00	3,000.00		
A01204	DROITS LIÉS FONCTION	80,000.00	77,835.28	97.29 %	2,164.72	0.00	80,000.00	69,915.38	87.39 %
A01400	AGENTS CONTRACTUELS	487,502.00	466,617.53	95.72 %	20,884.47	0.00	487,502.00	466,617.53	95.72 %
A01404	STAGIAIRES	162,000.00	159,774.67	98.63 %	2,225.33	0.72	162,000.00	159,060.12	98.19 %
A01610	FRAIS DE RECRUTEMENT	5,000.00	1,573.54	31.47 %	3,426.46	0.00	5,000.00	1,147.26	22.95 %
A01612	FORMATION PROFES	190,000.00	189,680.70	99.83 %	319.30	0.00	190,000.00	83,627.23	44.01 %
A01632	RELATIONS SOCIALES	6,000.00	5,704.05	95.07 %	295.95	0.00	6,000.00	2,786.30	46.44 %
A01650	ECOLES EUROPÉENNES	247,500.00	241,117.80	97.42 %	6,382.20		247,500.00	241,117.80	97.42 %
A02000	LOYER	860,000.00	824,214.04	95.84 %	35,785.96		860,000.00	763,680.48	88.80 %
A02100	ACHAT INFORMATIQUE	481,900.00	481,091.55	99.83 %	808.45	0.00	481,900.00	32,461.85	6.74 %
A02120	MOBILIER	50,000.00	47,564.85	95.13 %	2,435.15	0.00	50,000.00	8,446.87	16.89 %
A02160	MATÉRIEL DE TRANSPOR	19,000.00	16,037.50	84.41 %	2,962.50	0.00	19,000.00	623.20	3.28 %
A02300	FOUNITURES DE BUREAU	8,250.00	7,944.66	96.30 %	305.34	0.00	8,250.00	7,069.90	85.70 %

Budgetary Execution by Budget Line and Fund Source

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Budget Position	Appropriation Description	Commitment					Payment		
		Credit Available Com Amount	Commitment Accepted Amount (Euro)	% Commit	Balance (non committed Amout)	Com L1 Open Amount (Eur)	Credit Available Pay Amount	Payment Request Accepted Amount (Euro)	% Payment
A02301	AFFRANCHISSEMENT	2,750.00	2,105.50	76.56 %	644.50	0.00	2,750.00	1,643.25	59.75 %
A02302	TÉLÉCOMMUNICATIONS	8,858.15	8,858.15	100.00 %	0.00	0.00	8,858.15	6,016.28	67.92 %
A02303	CHARGES FINANCIÈRES	290.00	290.00	100.00 %	0.00	0.00	290.00	31.20	10.76 %
A02304	AUTRES DÉPENSES	3,001.85	2,913.49	97.06 %	88.36	0.00	3,001.85	2,122.86	70.72 %
A02305	FRAIS JURIDIQUES	14,850.00	14,600.00	98.32 %	250.00	0.00	14,850.00	600.00	4.04 %
A02310	TRADUCT ET INTERPRÉT	315,000.00	294,000.00	93.33 %	21,000.00	0.00	315,000.00	244,307.59	77.56 %
A02320	SUPPORT AUX ACTIVITÉ	104,000.00	101,355.00	97.46 %	2,645.00	0.00	104,000.00	95,355.00	91.69 %
B03000	MISSIONS PERSONNEL	177,000.00	171,434.29	96.86 %	5,565.71	0.70	177,000.00	120,487.51	68.07 %
B03020	RÉCEPTIONS ET REPRÉS	7,000.00	1,028.40	14.69 %	5,971.60	0.00	7,000.00	785.90	11.23 %
B03030	RÉUNIONS EXTERNES	47,000.00	41,934.10	89.22 %	5,065.90	0.00	47,000.00	7,223.22	15.37 %
B03040	RÉUNIONS INTERNES	27,000.00	26,792.94	99.23 %	207.06	0.00	27,000.00	3,059.65	11.33 %
B03200	FRAIS DE BIBLIOTHÈQU	8,000.00	6,127.53	76.59 %	1,872.47	23.32	8,000.00	5,536.80	69.21 %
B03201	ARCHIVAGE	15,000.00	14,952.00	99.68 %	48.00		15,000.00	4,152.00	27.68 %
B03210	PUBLICATIONS	197,100.00	166,289.61	84.37 %	30,810.39	0.00	197,100.00	53,074.40	26.93 %
B03300	ETUDES	21,800.00	20,300.00	93.12 %	1,500.00		21,800.00	2,800.00	12.84 %
B03400	FRAIS DIVERS	1,500.00	1,350.00	90.00 %	150.00	0.00	1,500.00	1,350.00	90.00 %
		10,658,951.00	10,168,215.48	95.40 %	490,735.52	24.74	10,658,951.00	9,155,430.07	85.89 %



Budgetary Execution by Budget Position and Fund Source

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Budget Position	Appropriation Description	Commitment			Payment		
		Credit Available Com Amount	Commitment Accepted Amount (Euro)	Commitment Workflow Amount (Euro)	Credit Available Pay Amount	Payment Request Accepted Amount (Euro)	Pay Workflow Amount (Eur)
A01000	SALAIRES INDEMN ET A	426,880.00	406,302.28		426,880.00	406,302.28	0.00
		426,880.00	406,302.28	0.00	426,880.00	406,302.28	0.00
A01020	INDEMN TRANSITOIRES	124,000.00	124,000.00		124,000.00	124,000.00	0.00
		124,000.00	124,000.00	0.00	124,000.00	124,000.00	0.00
A01030	PENSIONS	4,000.00	2,935.32		4,000.00	2,935.32	0.00
		4,000.00	2,935.32	0.00	4,000.00	2,935.32	0.00
A01040	FRAIS DE MISSIONS	35,000.00	22,579.64		35,000.00	20,161.83	0.00
		35,000.00	22,579.64	0.00	35,000.00	20,161.83	0.00
A01050	COURS	2,000.00	1,980.00		2,000.00		
		2,000.00	1,980.00	0.00	2,000.00		
A01200	SALAIRES ET INDEMN	6,516,769.00	6,216,931.06		6,516,769.00	6,216,931.06	0.00
		6,516,769.00	6,216,931.06	0.00	6,516,769.00	6,216,931.06	0.00
A01202	HEURES SUPP PAYÉES	3,000.00	0.00		3,000.00		
		3,000.00	0.00	0.00	3,000.00		
A01204	DROITS LIÉS FONCTION	80,000.00	77,835.28		80,000.00	69,915.38	0.00
		80,000.00	77,835.28	0.00	80,000.00	69,915.38	0.00



Budgetary Execution by Budget Position and Fund Source

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Budget Position	Appropriation Description	Commitment			Payment		
		Credit Available Com Amount	Commitment Accepted Amount (Euro)	Commitment Workflow Amount (Euro)	Credit Available Pay Amount	Payment Request Accepted Amount (Euro)	Pay Workflow Amount (Eur)
A01400	AGENTS CONTRACTUELS	487,502.00	466,617.53		487,502.00	466,617.53	0.00
		487,502.00	466,617.53	0.00	487,502.00	466,617.53	0.00
A01404	STAGIAIRES	162,000.00	159,774.67		162,000.00	159,060.12	0.00
		162,000.00	159,774.67	0.00	162,000.00	159,060.12	0.00
A01610	FRAIS DE RECRUTEMENT	5,000.00	1,573.54		5,000.00	1,147.26	0.00
		5,000.00	1,573.54	0.00	5,000.00	1,147.26	0.00
A01612	FORMATION PROFES	190,000.00	189,680.70		190,000.00	83,627.23	0.00
		190,000.00	189,680.70	0.00	190,000.00	83,627.23	0.00
A01632	RELATIONS SOCIALES	6,000.00	5,704.05		6,000.00	2,786.30	0.00
		6,000.00	5,704.05	0.00	6,000.00	2,786.30	0.00
A01650	ECOLES EUROPEENNES	247,500.00	241,117.80		247,500.00	241,117.80	0.00
		247,500.00	241,117.80	0.00	247,500.00	241,117.80	0.00
A02000	LOYER	860,000.00	824,214.04		860,000.00	763,680.48	0.00
		860,000.00	824,214.04	0.00	860,000.00	763,680.48	0.00
A02100	ACHAT INFORMATIQUE	481,900.00	481,091.55		481,900.00	32,461.85	0.00
		481,900.00	481,091.55	0.00	481,900.00	32,461.85	0.00
A02120	MOBILIER	50,000.00	47,564.85		50,000.00	8,446.87	0.00
		50,000.00	47,564.85	0.00	50,000.00	8,446.87	0.00



Budgetary Execution by Budget Position and Fund Source

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Budget Position	Appropriation Description	Commitment			Payment		
		Credit Available Com Amount	Commitment Accepted Amount (Euro)	Commitment Workflow Amount (Euro)	Credit Available Pay Amount	Payment Request Accepted Amount (Euro)	Pay Workflow Amount (Eur)
A02160	MATÉRIEL DE TRANSPOR	19,000.00	16,037.50		19,000.00	623.20	0.00
		19,000.00	16,037.50	0.00	19,000.00	623.20	0.00
A02300	FOUNITURES DE BUREAU	8,250.00	7,944.66		8,250.00	7,069.90	0.00
		8,250.00	7,944.66	0.00	8,250.00	7,069.90	0.00
A02301	AFFRANCHISSEMENT	2,750.00	2,105.50		2,750.00	1,643.25	0.00
		2,750.00	2,105.50	0.00	2,750.00	1,643.25	0.00
A02302	TÉLÉCOMMUNICATIONS	8,858.15	8,858.15		8,858.15	6,016.28	0.00
		8,858.15	8,858.15	0.00	8,858.15	6,016.28	0.00
A02303	CHARGES FINANCIÈRES	290.00	290.00		290.00	31.20	0.00
		290.00	290.00	0.00	290.00	31.20	0.00
A02304	AUTRES DÉPENSES	3,001.85	2,913.49		3,001.85	2,122.86	0.00
		3,001.85	2,913.49	0.00	3,001.85	2,122.86	0.00
A02305	FRAIS JURIDIQUES	14,850.00	14,600.00		14,850.00	600.00	0.00
		14,850.00	14,600.00	0.00	14,850.00	600.00	0.00
A02310	TRADUCT ET INTERPRÉT	315,000.00	294,000.00		315,000.00	244,307.59	0.00
		315,000.00	294,000.00	0.00	315,000.00	244,307.59	0.00
A02320	SUPPORT AUX ACTIVITÉ	104,000.00	101,355.00		104,000.00	95,355.00	0.00
		104,000.00	101,355.00	0.00	104,000.00	95,355.00	0.00



Budgetary Execution by Budget Position and Fund Source

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Budget Position	Appropriation Description	Commitment			Payment		
		Credit Available Com Amount	Commitment Accepted Amount (Euro)	Commitment Workflow Amount (Euro)	Credit Available Pay Amount	Payment Request Accepted Amount (Euro)	Pay Workflow Amount (Eur)
B03000	MISSIONS PERSONNEL	177,000.00	171,434.29		177,000.00	120,487.51	0.00
		177,000.00	171,434.29	0.00	177,000.00	120,487.51	0.00
B03020	RÉCEPTIONS ET REPRÉS	7,000.00	1,028.40		7,000.00	785.90	0.00
		7,000.00	1,028.40	0.00	7,000.00	785.90	0.00
B03030	RÉUNIONS EXTERNES	47,000.00	41,934.10		47,000.00	7,223.22	0.00
		47,000.00	41,934.10	0.00	47,000.00	7,223.22	0.00
B03040	RÉUNIONS INTERNES	27,000.00	26,792.94		27,000.00	3,059.65	0.00
		27,000.00	26,792.94	0.00	27,000.00	3,059.65	0.00
B03200	FRAIS DE BIBLIOTHÈQU	8,000.00	6,127.53		8,000.00	5,536.80	0.00
		8,000.00	6,127.53	0.00	8,000.00	5,536.80	0.00
B03201	ARCHIVAGE	15,000.00	14,952.00		15,000.00	4,152.00	0.00
		15,000.00	14,952.00	0.00	15,000.00	4,152.00	0.00
B03210	PUBLICATIONS	197,100.00	166,289.61		197,100.00	53,074.40	0.00
		197,100.00	166,289.61	0.00	197,100.00	53,074.40	0.00
B03300	ETUDES	21,800.00	20,300.00		21,800.00	2,800.00	0.00
		21,800.00	20,300.00	0.00	21,800.00	2,800.00	0.00
B03400	FRAIS DIVERS	1,500.00	1,350.00		1,500.00	1,350.00	0.00
		1,500.00	1,350.00	0.00	1,500.00	1,350.00	0.00



Budgetary Execution by Budget Position and Fund Source

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Budget Position	Appropriation Description	Commitment			Payment		
		Credit Available Com Amount	Commitment Accepted Amount (Euro)	Commitment Workflow Amount (Euro)	Credit Available Pay Amount	Payment Request Accepted Amount (Euro)	Pay Workflow Amount (Eur)
Total		10,658,951.00	10,168,215.48	0.00	10,658,951.00	9,155,430.07	0.00



Budgetary Execution by Budget Line - Level 1 Commitment Information

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Official Budget Sub Item	Appropriation Description	Credit Available Com Amount (1)	Com L1 Total Committed Amount (Eur) (2)	Consumed Indirect L2 Commitment Approp (L2 on L1) (3)	RAL on Level 1 Commitments (4)=(2)-(3)	Consumed Direct L2 Commitment Approp (5)	Total consumed on Appropriation (6)=(2)+(5)	RAL on Appropriation (7)=(1)-(6)
A-1000	SALAIRES INDEMN ET A	426,880.00	406,302.28	406,302.28	0.00		406,302.28	20,577.72
		426,880.00	406,302.28	406,302.28	0.00		406,302.28	20,577.72
A-1020	INDEMN TRANSITOIRES	124,000.00	124,000.00	124,000.00	0.00		124,000.00	0.00
		124,000.00	124,000.00	124,000.00	0.00		124,000.00	0.00
A-1030	PENSIONS	4,000.00				2,935.32	2,935.32	1,064.68
		4,000.00				2,935.32	2,935.32	1,064.68
A-1040	FRAIS DE MISSIONS	35,000.00	22,579.64	22,579.64	0.00		22,579.64	12,420.36
		35,000.00	22,579.64	22,579.64	0.00		22,579.64	12,420.36
A-1050	COURS	2,000.00	1,980.00	1,980.00	0.00		1,980.00	20.00
		2,000.00	1,980.00	1,980.00	0.00		1,980.00	20.00
A-1200	SALAIRES ET INDEMN	6,516,769.00	6,216,931.06	6,216,931.06	0.00		6,216,931.06	299,837.94
		6,516,769.00	6,216,931.06	6,216,931.06	0.00		6,216,931.06	299,837.94
A-1202	HEURES SUPP PAYÉES	3,000.00	0.00		0.00		0.00	3,000.00
		3,000.00	0.00		0.00		0	3,000.00

Budgetary Execution by Budget Line - Level 1 Commitment Information

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Official Budget Sub Item	Appropriation Description	Credit Available Com Amount	Com L1 Total Committed Amount (Eur)	Consumed Indirect L2 Commitment Approp (L2 on L1)	RAL on Level 1 Commitments	Consumed Direct L2 Commitment Approp	Total consumed on Appropriation	RAL on Appropriation
		(1)	(2)	(3)	(4)=(2)-(3)	(5)	(6)=(2)+(5)	(7)=(1)-(6)
A-1204	DROITS LIÉS FONCTION	80,000.00	77,835.28	77,835.28	0.00		77,835.28	2,164.72
		80,000.00	77,835.28	77,835.28	0.00		77,835.28	2,164.72
A-1400	AGENTS CONTRACTUELS	487,502.00	466,617.53	466,617.53	0.00	0.00	466,617.53	20,884.47
		487,502.00	466,617.53	466,617.53	0.00	0.00	466,617.53	20,884.47
A-1404	STAGIAIRES	162,000.00	159,774.67	159,773.95	0.72		159,774.67	2,225.33
		162,000.00	159,774.67	159,773.95	0.72		159,774.67	2,225.33
A-1610	FRAIS DE RECRUTEMENT	5,000.00	1,573.54	1,573.54	0.00		1,573.54	3,426.46
		5,000.00	1,573.54	1,573.54	0.00		1,573.54	3,426.46
A-1612	FORMATION PROFES	190,000.00	189,680.70	189,680.70	0.00		189,680.70	319.30
		190,000.00	189,680.70	189,680.70	0.00		189,680.70	319.30
A-1632	RELATIONS SOCIALES	6,000.00	3,245.30	3,245.30	0.00	2,458.75	5,704.05	295.95
		6,000.00	3,245.30	3,245.30	0.00	2,458.75	5,704.05	295.95
A-1650	ECOLES EUROPÉENNES	247,500.00				241,117.80	241,117.80	6,382.20
		247,500.00				241,117.80	241,117.80	6,382.20



Budgetary Execution by Budget Line - Level 1 Commitment Information

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Official Budget Sub Item	Appropriation Description	Credit Available Com Amount (1)	Com L1 Total Committed Amount (Eur) (2)	Consumed Indirect L2 Commitment Approp (L2 on L1) (3)	RAL on Level 1 Commitments (4)=(2)-(3)	Consumed Direct L2 Commitment Approp (5)	Total consumed on Appropriation (6)=(2)+(5)	RAL on Appropriation (7)=(1)-(6)
A-2000	LOYER	860,000.00				824,214.04	824,214.04	35,785.96
		860,000.00				824,214.04	824,214.04	35,785.96
A-2100	ACHAT INFORMATIQUE	481,900.00	40,919.46	40,919.46	0.00	440,172.09	481,091.55	808.45
		481,900.00	40,919.46	40,919.46	0.00	440,172.09	481,091.55	808.45
A-2120	MOBILIER	50,000.00	47,564.85	47,564.85	0.00		47,564.85	2,435.15
		50,000.00	47,564.85	47,564.85	0.00		47,564.85	2,435.15
A-2160	MATÉRIEL DE TRANSPOR	19,000.00	16,037.50	16,037.50	0.00		16,037.50	2,962.50
		19,000.00	16,037.50	16,037.50	0.00		16,037.5	2,962.50
A-2300	FOUNITURES DE BUREAU	8,250.00	7,944.66	7,944.66	0.00		7,944.66	305.34
		8,250.00	7,944.66	7,944.66	0.00		7,944.66	305.34
A-2301	AFFRANCHISSEMENT	2,750.00	2,105.50	2,105.50	0.00		2,105.50	644.50
		2,750.00	2,105.50	2,105.50	0.00		2,105.5	644.50
A-2302	TÉLÉCOMMUNICATIONS	8,858.15	8,858.15	8,858.15	0.00		8,858.15	0.00
		8,858.15	8,858.15	8,858.15	0.00		8,858.15	0.00



Budgetary Execution by Budget Line - Level 1 Commitment Information

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Official Budget Sub Item	Appropriation Description	Credit Available Com Amount (1)	Com L1 Total Committed Amount (Eur) (2)	Consumed Indirect L2 Commitment Approp (L2 on L1) (3)	RAL on Level 1 Commitments (4)=(2)-(3)	Consumed Direct L2 Commitment Approp (5)	Total consumed on Appropriation (6)=(2)+(5)	RAL on Appropriation (7)=(1)-(6)
A-2303	CHARGES FINANCIÈRES	290.00	290.00	290.00	0.00		290.00	0.00
		290.00	290.00	290.00	0.00		290	0.00
A-2304	AUTRES DÉPENSES	3,001.85	2,913.49	2,913.49	0.00		2,913.49	88.36
		3,001.85	2,913.49	2,913.49	0.00		2,913.49	88.36
A-2305	FRAIS JURIDIQUES	14,850.00	0.00		0.00	14,600.00	14,600.00	250.00
		14,850.00	0.00		0.00	14,600.00	14,600	250.00
A-2310	TRADUCT ET INTERPRÉT	315,000.00	0.00		0.00	294,000.00	294,000.00	21,000.00
		315,000.00	0.00		0.00	294,000.00	294,000	21,000.00
A-2320	SUPPORT AUX ACTIVITÉ	104,000.00	101,355.00	101,355.00	0.00		101,355.00	2,645.00
		104,000.00	101,355.00	101,355.00	0.00		101,355	2,645.00
B3-000	MISSIONS PERSONNEL	177,000.00	171,434.29	171,433.59	0.70		171,434.29	5,565.71
		177,000.00	171,434.29	171,433.59	0.70		171,434.29	5,565.71
B3-020	RÉCEPTIONS ET REPRÉS	7,000.00	1,028.40	1,028.40	0.00		1,028.40	5,971.60
		7,000.00	1,028.40	1,028.40	0.00		1,028.4	5,971.60

Budgetary Execution by Budget Line - Level 1 Commitment Information

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Official Budget Sub Item	Appropriation Description	Credit Available Com Amount	Com L1 Total Committed Amount (Eur)	Consumed Indirect L2 Commitment Approp (L2 on L1)	RAL on Level 1 Commitments	Consumed Direct L2 Commitment Approp	Total consumed on Appropriation	RAL on Appropriation
		(1)	(2)	(3)	(4)=(2)-(3)	(5)	(6)=(2)+(5)	(7)=(1)-(6)
B3-030	RÉUNIONS EXTERNES	47,000.00	41,934.10	41,934.10	0.00		41,934.10	5,065.90
		47,000.00	41,934.10	41,934.10	0.00		41,934.1	5,065.90
B3-040	RÉUNIONS INTERNES	27,000.00	26,792.94	26,792.94	0.00		26,792.94	207.06
		27,000.00	26,792.94	26,792.94	0.00		26,792.94	207.06
B3-200	FRAIS DE BIBLIOTHÈQU	8,000.00	6,127.53	6,104.21	23.32		6,127.53	1,872.47
		8,000.00	6,127.53	6,104.21	23.32		6,127.53	1,872.47
B3-201	ARCHIVAGE	15,000.00				14,952.00	14,952.00	48.00
		15,000.00				14,952.00	14,952	48.00
B3-210	PUBLICATIONS	197,100.00	143,507.69	143,507.69	0.00	22,781.92	166,289.61	30,810.39
		197,100.00	143,507.69	143,507.69	0.00	22,781.92	166,289.61	30,810.39
B3-300	ETUDES	21,800.00				20,300.00	20,300.00	1,500.00
		21,800.00				20,300.00	20,300	1,500.00
B3-400	FRAIS DIVERS	1,500.00	1,350.00	1,350.00	0.00		1,350.00	150.00
		1,500.00	1,350.00	1,350.00	0.00		1,350	150.00



Budgetary Execution by Budget Line - Level 1 Commitment Information

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Official Budget Sub Item	Appropriation Description	Credit Available Com Amount (1)	Com L1 Total Committed Amount (Eur) (2)	Consumed Indirect L2 Commitment Approp (L2 on L1) (3)	RAL on Level 1 Commitments (4)=(2)-(3)	Consumed Direct L2 Commitment Approp (5)	Total consumed on Appropriation (6)=(2)+(5)	RAL on Appropriation (7)=(1)-(6)
Total		10,658,951.00	8,290,683.56	8,290,658.82	24.74	1,877,531.92	10,168,215.48	490,735.52



Budgetary_Execution_Details

Prompts (parameters) : Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C1

Category	Standard Reports/Credit
Function	<p>This list gives the level of execution for the commitment and payment appropriations of the selected budget lines.</p> <p>The first tab gives an overview by budget item and fund source.</p> <p>The percentage of consumption is computed for commitments and payments. An alerter gives a warning for a commitment appropriation lower than 95 %.</p> <p>The second tab presents the amounts by detailed budget position (especially useful for administrative credits).</p> <p>A separate sheet gives the consumption of Level 1 commitments. Please note that the 'L1 accepted amount' gives the amount not yet consumed by L2 commitments at the beginning of the financial year. In ABAC WF, the L1 accepted amount gives you the total amount of that Level 1 commitment.</p> <p>Among the prompts, budget position requires the user to enter the budget line with dots (e.g. 21.010211.00); fund sources can be selected as required or without distinction using the [All] value.</p>
Version	[1.0.6]
Name	Budgetary_Execution_Details



2 - Situation des crédits reportés de l'exercice 2016

Budgetary Execution by Budget Line and Fund Source

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C8

Budget Position	Appropriation Description	Commitment					Payment		
		Credit Available Com Amount	Commitment Accepted Amount (Euro)	% Commit	Balance (non committed Amount)	Com L1 Open Amount (Eur)	Credit Available Pay Amount	Payment Request Accepted Amount (Euro)	% Payment
A01040	FRAIS DE MISSIONS	3,495.39	1,784.76	51.06 %	1,710.63	0.00	3,495.39	1,784.76	51.06 %
A01050	COURS	835.00	660.00	79.04 %	175.00	0.00	835.00	660.00	79.04 %
A01204	DROITS LIÉS FONCTION	2,000.00	1,075.23	53.76 %	924.77	0.00	2,000.00	1,075.23	53.76 %
A01404	STAGIAIRES	3,129.41	1,192.90	38.12 %	1,936.51	0.00	3,129.41	1,051.70	33.61 %
A01610	FRAIS DE RECRUTEMENT	1,012.97	0.00	0.00 %	1,012.97	0.00	1,012.97		
A01612	FORMATION PROFES	80,103.24	65,417.12	81.67 %	14,686.12	0.00	80,103.24	65,417.12	81.67 %
A01632	RELATIONS SOCIALES	4,782.58	3,935.70	82.29 %	846.88	0.00	4,782.58	3,935.70	82.29 %
A02000	LOYER	19,498.82	11,253.01	57.71 %	8,245.81		19,498.82	11,253.01	57.71 %
A02100	ACHAT INFORMATIQUE	175,456.99	171,856.99	97.95 %	3,600.00	0.00	175,456.99	171,856.99	97.95 %
A02120	MOBILIER	5,715.10	5,715.10	100.00 %	0.00	0.00	5,715.10	5,715.10	100.00 %
A02160	MATÉRIEL DE TRANSPOR	17,984.23	16,672.09	92.70 %	1,312.14	0.00	17,984.23	16,672.09	92.70 %
A02300	FOUNITURES DE BUREAU	4,832.05	4,563.60	94.44 %	268.45	0.00	4,832.05	4,563.60	94.44 %
A02301	AFFRANCHISSEMENT	3,340.80	196.28	5.88 %	3,144.52	0.00	3,340.80	196.28	5.88 %
A02302	TÉLÉCOMMUNICATIONS	1,640.95	1,640.95	100.00 %	0.00		1,640.95	1,640.95	100.00 %
A02303	CHARGES FINANCIÈRES	321.90	227.25	70.60 %	94.65		321.90	227.25	70.60 %
A02304	AUTRES DÉPENSES	438.60	365.42	83.32 %	73.18	0.00	438.60	365.42	83.32 %
A02305	FRAIS JURIDIQUES	9,000.00	0.00	0.00 %	9,000.00		9,000.00		
A02310	TRADUCT ET INTERPRÉT	22,291.05	20,600.48	92.42 %	1,690.57		22,291.05	20,600.48	92.42 %
B03000	MISSIONS PERSONNEL	33,669.46	22,358.88	66.41 %	11,310.58	0.00	33,669.46	22,358.88	66.41 %



Budgetary Execution by Budget Line and Fund Source

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C8

Budget Position	Appropriation Description	Commitment					Payment		
		Credit Available Com Amount	Commitment Accepted Amount (Euro)	% Commit	Balance (non committed Amout)	Com L1 Open Amount (Eur)	Credit Available Pay Amount	Payment Request Accepted Amount (Euro)	% Payment
B03040	RÉUNIONS INTERNES	25,927.50	23,667.50	91.28 %	2,260.00	0.00	25,927.50	23,667.50	91.28 %
B03200	FRAIS DE BIBLIOTHÈQU	2,755.00	2,625.00	95.28 %	130.00	0.00	2,755.00	2,625.00	95.28 %
B03201	ARCHIVAGE	11,115.00	11,115.00	100.00 %	0.00		11,115.00	11,115.00	100.00 %
B03210	PUBLICATIONS	204,412.48	168,761.80	82.56 %	35,650.68	0.00	204,412.48	168,761.80	82.56 %
		633,758.52	535,685.06	84.53 %	98,073.46	0.00	633,758.52	535,543.86	84.50 %



Budgetary Execution by Budget Position and Fund Source

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C8

Budget Position	Appropriation Description	Commitment			Payment		
		Credit Available Com Amount	Commitment Accepted Amount (Euro)	Commitment Workflow Amount (Euro)	Credit Available Pay Amount	Payment Request Accepted Amount (Euro)	Pay Workflow Amount (Eur)
A01040	FRAIS DE MISSIONS	3,495.39	1,784.76		3,495.39	1,784.76	0.00
		3,495.39	1,784.76	0.00	3,495.39	1,784.76	0.00
A01050	COURS	835.00	660.00		835.00	660.00	0.00
		835.00	660.00	0.00	835.00	660.00	0.00
A01204	DROITS LIÉS FONCTION	2,000.00	1,075.23		2,000.00	1,075.23	0.00
		2,000.00	1,075.23	0.00	2,000.00	1,075.23	0.00
A01404	STAGIAIRES	3,129.41	1,192.90		3,129.41	1,051.70	0.00
		3,129.41	1,192.90	0.00	3,129.41	1,051.70	0.00
A01610	FRAIS DE RECRUTEMENT	1,012.97	0.00		1,012.97		
		1,012.97	0.00	0.00	1,012.97		
A01612	FORMATION PROFES	80,103.24	65,417.12		80,103.24	65,417.12	0.00
		80,103.24	65,417.12	0.00	80,103.24	65,417.12	0.00
A01632	RELATIONS SOCIALES	4,782.58	3,935.70		4,782.58	3,935.70	0.00
		4,782.58	3,935.70	0.00	4,782.58	3,935.70	0.00
A02000	LOYER	19,498.82	11,253.01		19,498.82	11,253.01	0.00
		19,498.82	11,253.01	0.00	19,498.82	11,253.01	0.00

Budgetary Execution by Budget Position and Fund Source

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C8

Budget Position	Appropriation Description	Commitment			Payment		
		Credit Available Com Amount	Commitment Accepted Amount (Euro)	Commitment Workflow Amount (Euro)	Credit Available Pay Amount	Payment Request Accepted Amount (Euro)	Pay Workflow Amount (Eur)
A02100	ACHAT INFORMATIQUE	175,456.99	171,856.99		175,456.99	171,856.99	0.00
		175,456.99	171,856.99	0.00	175,456.99	171,856.99	0.00
A02120	MOBILIER	5,715.10	5,715.10		5,715.10	5,715.10	0.00
		5,715.10	5,715.10	0.00	5,715.10	5,715.10	0.00
A02160	MATÉRIEL DE TRANSPOR	17,984.23	16,672.09		17,984.23	16,672.09	0.00
		17,984.23	16,672.09	0.00	17,984.23	16,672.09	0.00
A02300	FOUNITURES DE BUREAU	4,832.05	4,563.60		4,832.05	4,563.60	0.00
		4,832.05	4,563.60	0.00	4,832.05	4,563.60	0.00
A02301	AFFRANCHISSEMENT	3,340.80	196.28		3,340.80	196.28	0.00
		3,340.80	196.28	0.00	3,340.80	196.28	0.00
A02302	TÉLÉCOMMUNICATIONS	1,640.95	1,640.95		1,640.95	1,640.95	0.00
		1,640.95	1,640.95	0.00	1,640.95	1,640.95	0.00
A02303	CHARGES FINANCIÈRES	321.90	227.25		321.90	227.25	0.00
		321.90	227.25	0.00	321.90	227.25	0.00
A02304	AUTRES DÉPENSES	438.60	365.42		438.60	365.42	0.00
		438.60	365.42	0.00	438.60	365.42	0.00
A02305	FRAIS JURIDIQUES	9,000.00	0.00		9,000.00		
		9,000.00	0.00	0.00	9,000.00		

Budgetary Execution by Budget Position and Fund Source

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C8

Budget Position	Appropriation Description	Commitment			Payment		
		Credit Available Com Amount	Commitment Accepted Amount (Euro)	Commitment Workflow Amount (Euro)	Credit Available Pay Amount	Payment Request Accepted Amount (Euro)	Pay Workflow Amount (Eur)
A02310	TRADUCT ET INTERPRÉT	22,291.05	20,600.48		22,291.05	20,600.48	0.00
		22,291.05	20,600.48	0.00	22,291.05	20,600.48	0.00
B03000	MISSIONS PERSONNEL	33,669.46	22,358.88		33,669.46	22,358.88	0.00
		33,669.46	22,358.88	0.00	33,669.46	22,358.88	0.00
B03040	RÉUNIONS INTERNES	25,927.50	23,667.50		25,927.50	23,667.50	0.00
		25,927.50	23,667.50	0.00	25,927.50	23,667.50	0.00
B03200	FRAIS DE BIBLIOTHÈQU	2,755.00	2,625.00		2,755.00	2,625.00	0.00
		2,755.00	2,625.00	0.00	2,755.00	2,625.00	0.00
B03201	ARCHIVAGE	11,115.00	11,115.00		11,115.00	11,115.00	0.00
		11,115.00	11,115.00	0.00	11,115.00	11,115.00	0.00
B03210	PUBLICATIONS	204,412.48	168,761.80		204,412.48	168,761.80	0.00
		204,412.48	168,761.80	0.00	204,412.48	168,761.80	0.00
Total		633,758.52	535,685.06	0.00	633,758.52	535,543.86	0.00



Budgetary Execution by Budget Line - Level 1 Commitment Information

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C8

Official Budget Sub Item	Appropriation Description	Credit Available Com Amount (1)	Com L1 Total Committed Amount (Eur) (2)	Consumed Indirect L2 Commitment Approp (L2 on L1) (3)	RAL on Level 1 Commitments (4)=(2)-(3)	Consumed Direct L2 Commitment Approp (5)	Total consumed on Appropriation (6)=(2)+(5)	RAL on Appropriation (7)=(1)-(6)
A-1040	FRAIS DE MISSIONS	3,495.39	1,784.76	1,784.76	0.00		1,784.76	1,710.63
		3,495.39	1,784.76	1,784.76	0.00		1,784.76	1,710.63
A-1050	COURS	835.00	660.00	660.00	0.00		660.00	175.00
		835.00	660.00	660.00	0.00		660	175.00
A-1204	DROITS LIÉS FONCTION	2,000.00	1,075.23	1,075.23	0.00		1,075.23	924.77
		2,000.00	1,075.23	1,075.23	0.00		1,075.23	924.77
A-1404	STAGIAIRES	3,129.41	1,192.90	1,192.90	0.00	0.00	1,192.90	1,936.51
		3,129.41	1,192.90	1,192.90	0.00	0.00	1,192.9	1,936.51
A-1610	FRAIS DE RECRUTEMENT	1,012.97	0.00	0.00	0.00		0.00	1,012.97
		1,012.97	0.00	0.00	0.00		0	1,012.97
A-1612	FORMATION PROFES	80,103.24	65,417.12	65,417.12	0.00		65,417.12	14,686.12
		80,103.24	65,417.12	65,417.12	0.00		65,417.12	14,686.12
A-1632	RELATIONS SOCIALES	4,782.58	3,586.12	3,586.12	0.00	349.58	3,935.70	846.88
		4,782.58	3,586.12	3,586.12	0.00	349.58	3,935.7	846.88



Budgetary Execution by Budget Line - Level 1 Commitment Information

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C8

Official Budget Sub Item	Appropriation Description	Credit Available Com Amount (1)	Com L1 Total Committed Amount (Eur) (2)	Consumed Indirect L2 Commitment Approp (L2 on L1) (3)	RAL on Level 1 Commitments (4)=(2)-(3)	Consumed Direct L2 Commitment Approp (5)	Total consumed on Appropriation (6)=(2)+(5)	RAL on Appropriation (7)=(1)-(6)
A-2000	LOYER	19,498.82				11,253.01	11,253.01	8,245.81
		19,498.82				11,253.01	11,253.01	8,245.81
A-2100	ACHAT INFORMATIQUE	175,456.99	24,842.30	24,842.30	0.00	147,014.69	171,856.99	3,600.00
		175,456.99	24,842.30	24,842.30	0.00	147,014.69	171,856.99	3,600.00
A-2120	MOBILIER	5,715.10	5,715.10	5,715.10	0.00		5,715.10	0.00
		5,715.10	5,715.10	5,715.10	0.00		5,715.1	0.00
A-2160	MATÉRIEL DE TRANSPOR	17,984.23	16,672.09	16,672.09	0.00		16,672.09	1,312.14
		17,984.23	16,672.09	16,672.09	0.00		16,672.09	1,312.14
A-2300	FOUNITURES DE BUREAU	4,832.05	4,563.60	4,563.60	0.00		4,563.60	268.45
		4,832.05	4,563.60	4,563.60	0.00		4,563.6	268.45
A-2301	AFFRANCHISSEMENT	3,340.80	0.00	0.00	0.00	196.28	196.28	3,144.52
		3,340.80	0.00	0.00	0.00	196.28	196.28	3,144.52
A-2302	TÉLÉCOMMUNICATIONS	1,640.95				1,640.95	1,640.95	0.00
		1,640.95				1,640.95	1,640.95	0.00

Budgetary Execution by Budget Line - Level 1 Commitment Information

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C8

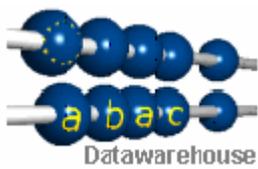
Official Budget Sub Item	Appropriation Description	Credit Available Com Amount (1)	Com L1 Total Committed Amount (Eur) (2)	Consumed Indirect L2 Commitment Approp (L2 on L1) (3)	RAL on Level 1 Commitments (4)=(2)-(3)	Consumed Direct L2 Commitment Approp (5)	Total consumed on Appropriation (6)=(2)+(5)	RAL on Appropriation (7)=(1)-(6)
A-2303	CHARGES FINANCIÈRES	321.90				227.25	227.25	94.65
		321.90				227.25	227.25	94.65
A-2304	AUTRES DÉPENSES	438.60	365.42	365.42	0.00		365.42	73.18
		438.60	365.42	365.42	0.00		365.42	73.18
A-2305	FRAIS JURIDIQUES	9,000.00				0.00	0.00	9,000.00
		9,000.00				0.00	0	9,000.00
A-2310	TRADUCT ET INTERPRÉT	22,291.05				20,600.48	20,600.48	1,690.57
		22,291.05				20,600.48	20,600.48	1,690.57
B3-000	MISSIONS PERSONNEL	33,669.46	22,358.88	22,358.88	0.00		22,358.88	11,310.58
		33,669.46	22,358.88	22,358.88	0.00		22,358.88	11,310.58
B3-040	RÉUNIONS INTERNES	25,927.50	23,667.50	23,667.50	0.00		23,667.50	2,260.00
		25,927.50	23,667.50	23,667.50	0.00		23,667.5	2,260.00
B3-200	FRAIS DE BIBLIOTHÈQU	2,755.00	2,625.00	2,625.00	0.00		2,625.00	130.00
		2,755.00	2,625.00	2,625.00	0.00		2,625	130.00



Budgetary Execution by Budget Line - Level 1 Commitment Information

Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C8

Official Budget Sub Item	Appropriation Description	Credit Available Com Amount (1)	Com L1 Total Committed Amount (Eur) (2)	Consumed Indirect L2 Commitment Approp (L2 on L1) (3)	RAL on Level 1 Commitments (4)=(2)-(3)	Consumed Direct L2 Commitment Approp (5)	Total consumed on Appropriation (6)=(2)+(5)	RAL on Appropriation (7)=(1)-(6)
B3-201	ARCHIVAGE	11,115.00				11,115.00	11,115.00	0.00
		11,115.00				11,115.00	11,115	0.00
B3-210	PUBLICATIONS	204,412.48	140,711.07	140,711.07	0.00	28,050.73	168,761.80	35,650.68
		204,412.48	140,711.07	140,711.07	0.00	28,050.73	168,761.8	35,650.68
Total		633,758.52	315,237.09	315,237.09	0.00	220,447.97	535,685.06	98,073.46



Budgetary_Execution_Details

Prompts (parameters) : Budget Year: 2016 / Budget Position: % / Fund Mgt Center: % / Financial Mgt Area: OMBU / Fund Source: C8

Category	Standard Reports/Credit
Function	<p>This list gives the level of execution for the commitment and payment appropriations of the selected budget lines.</p> <p>The first tab gives an overview by budget item and fund source.</p> <p>The percentage of consumption is computed for commitments and payments. An alerter gives a warning for a commitment appropriation lower than 95 %.</p> <p>The second tab presents the amounts by detailed budget position (especially useful for administrative credits).</p> <p>A separate sheet gives the consumption of Level 1 commitments. Please note that the 'L1 accepted amount' gives the amount not yet consumed by L2 commitments at the beginning of the financial year. In ABAC WF, the L1 accepted amount gives you the total amount of that Level 1 commitment.</p> <p>Among the prompts, budget position requires the user to enter the budget line with dots (e.g. 21.010211.00); fund sources can be selected as required or without distinction using the [All] value.</p>
Version	[1.0.6]
Name	Budgetary_Execution_Details



3 - Situation des recettes de l'exercice 2016



Appropriation(s) list

Local Key	Comm.Credits	Comm.Cons.	Comm.Credits Avail.	Pay.Credits	Pay.Cons.	Pay.Credits Avail.	Inc. Cons.	Description
OMBU-I2016-%-IC1-OMBUDSMAN								RECETTES OMBU 2014
OMBU-I2016-04-IC1-OMBUDSMAN								RECETTES PERSONNEL
OMBU-I2016-040-IC1-OMBUDSMAN								TAXES ET RETENUES DI
OMBU-I2016-0400-IC1-OMBUDSMAN								IMPÔTS
OMBU-I2016-04000-IC1-OMBUDSMAN	0.00	0.00	0.00	0.00	0.00	0.00	-534 298.01	IMPÔTS
OMBU-I2016-0404-IC1-OMBUDSMAN								PRÉLÈVEMENT SPÉCIAL
OMBU-I2016-04040-IC1-OMBUDSMAN	0.00	0.00	0.00	0.00	0.00	0.00	-91 613.39	PRÉLÈVEMENT SPÉCIAL
OMBU-I2016-041-IC1-OMBUDSMAN								CONTRIB PENSIONS
OMBU-I2016-0410-IC1-OMBUDSMAN								CONTRIB PENSIONS
OMBU-I2016-04100-IC1-OMBUDSMAN	0.00	0.00	0.00	0.00	0.00	0.00	-495 130.02	CONTRIB PENSIONS
OMBU-I2016-0411-IC1-OMBUDSMAN								TRANSFERTS RACHAT PE
OMBU-I2016-04110-IC1-OMBUDSMAN	0.00	0.00	0.00	0.00	0.00	0.00	0.00	TRANSFERTS RACHAT PE
OMBU-I2016-0412-IC1-OMBUDSMAN								CONTRIB AGENTS CCP P
OMBU-I2016-04120-IC1-OMBUDSMAN	0.00	0.00	0.00	0.00	0.00	0.00	0.00	CONTRIB AGENTS CCP P

Local Key	Comm.Credits	Comm.Cons.	Comm.Credits Avail.	Pay.Credits	Pay.Cons.	Pay.Credits Avail.	Inc. Cons.	Description
OMBU-I2016-06-IC1-OMBUDSMAN								CONTRIB ET RESTITUTI
OMBU-I2016-066-IC1-OMBUDSMAN								AUTRES CONTRIB ET RE
OMBU-I2016-0660-IC1-OMBUDSMAN								AUTRES CONTRIB ET RE
OMBU-I2016-06600-IC1-OMBUDSMAN	0.00	0.00	0.00	0.00	0.00	0.00	0.00	RECETTES AFFECTÉES
OMBU-I2016-09-IC1-OMBUDSMAN								RECETTES DIVERSES
OMBU-I2016-090-IC1-OMBUDSMAN								RECETTES DIVERSES
OMBU-I2016-0900-IC1-OMBUDSMAN								RECETTES DIVERSES
OMBU-I2016-09000-IC1-OMBUDSMAN	0.00	0.00	0.00	0.00	0.00	0.00	396.24	RECETTES DIVERSES



Partie III. - États financiers

1 - Bilan financier au 31 décembre 2016

2 - Résultat économique de l'exercice 2016

3 - Tableau de flux de trésorerie pour l'exercice 2015

4 - Etat de variation de l'actif net

5 - Rapprochement entre l'exécution budgétaire et le résultat des activités de l'exercice 2016

6 - Notes annexes aux états financiers



European Ombudsman

The Accounting officer

Provisional annual accounts European Ombudsman

Financial year 2016



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1. Legal bases and accounting principles

1.1 Overview

The European Ombudsman's accounting system is made up of budgetary accounts and general accruals-based accounts; they are kept in euros. The purpose of the budgetary accounts is to give a detailed picture of budget implementation; they are based on a modified form of cash accounting, i.e. an item of expenditure or revenue is recognised when a payment is made or income is received, with the exception of elements such as carryovers. In accruals-based accounting, expenditure and revenue are recorded, regardless of date of payment or of receipt, in the period when the related work or service is performed.

The accounts must not only comply with the rules and be accurate and comprehensive, but must also present a true and fair view of the institution's assets and liabilities, entitlements and obligations, cashflows, and budget implementation in terms of revenue and expenditure operations.

The objective of the financial statements is to provide information about the assets and liabilities, financial position, economic result, cashflows and equity movements of an entity.

The budget statements summarise the budget operations for a financial year in terms of revenue and expenditure.

1.2 Legal bases

The institution's financial statements are presented on the basis of the accounting principle of accruals-based accounting in accordance with the following:

- Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council on the financial rules applicable to the general budget of the Union;
- The Commission's accounting rules (based on International Public Sector Accounting Standards (IPSAS)) adopted by the Commission's Accounting Officer on 28 December 2004 and amended on 18 December 2015.



1.3 Accounting principles

The financial statements are presented in accordance with the following principles:

Principle of unit of account (Article 19 of the Financial Regulation)

The budget must be drawn up and implemented in euros and the accounts must be presented in euros.

Going-concern principle (IPSAS 1; Commission Accounting Rule 2)

The going-concern principle means that, for the purposes of preparing the financial statements, the institution is deemed to have been established for an indefinite duration.

Principle of prudence (IPSAS 1; Commission Accounting Rule 2)

The principle of prudence means that assets and income must not be overstated and liabilities and charges must not be understated. However, the principle of prudence does not allow the creation of hidden reserves or undue provisions.

Principle of consistent accounting methods (IPSAS 1; Commission Accounting Rule 2)

The principle of consistent accounting methods means that the structure of the components of the financial statements and the accounting methods and valuation rules may not be changed from one year to the next.

Principle of comparability of information (IPSAS 1; Commission Accounting Rule 2)

The principle of comparability of information means that for each item the financial statements must also show the amount of the corresponding item the previous year.

Materiality principle (IPSAS 1; Commission Accounting Rule 2)

The materiality principle means that all operations which are of significance for the information sought must be taken into account in the financial statements. Materiality must be assessed in particular by reference to the nature of the transaction or the amount.

No-netting principle (IPSAS 1; Commission Accounting Rule 2)

The no-netting principle means that receivables and debts may not be offset against each other, nor may charges and income, save where charges and income derive from the same transaction, from similar transactions or from hedging operations and provided that they are not individually material.



Principle of reality over appearance (IPSAS 1; Commission Accounting Rule 2)

The principle of reality over appearance means that accounting events recorded in the financial statements must be presented by reference to their economic nature;

Accrual-based accounting principle (IPSAS 1; Commission Accounting Rule 2)

The accrual-based accounting principle means that transactions and events must be entered in the accounts when they occur and not when amounts are actually paid or recovered. They are to be recorded in the accounts for the financial years to which they pertain.

1.4 Accounting rules

In accordance with Articles 143 and 144 of the Financial Regulation, the financial statements must comply with the 18 accounting rules adopted by the Commission's Accounting Officer in December 2004 and updated on 18 December 2015.

The main rules affecting the European Ombudsman's accounts are summarised below:

Tangible and intangible fixed assets

Tangible and intangible fixed assets are valued at their purchase price in euros (or, if necessary, at their purchase price in another currency converted into euros at the rate applicable at the time of purchase).

The book value of an intangible fixed asset is equal to its purchase or production price less accumulated depreciation and write-downs plus write-ups.

Ancillary costs are included in the fixed asset amount or separately recognised as an intangible fixed asset only if they generate a future economic benefit. Any repair or maintenance work is recognised as an expense in the year in which it is incurred.

Depreciation is calculated using the straight-line method on a monthly basis so as to allocate the cost over the estimated life of the item concerned.

Fixed assets are adjusted in value, if necessary, at the annual closure of accounts.

Intangible assets are non-monetary, identifiable assets without physical substance. To be entered as assets on the balance sheet, they must be under the institution's control and generate economic benefits for the European Union. Software which has been purchased is regarded as an intangible asset.

Since 1 January 2010, software developed in-house has had to be recorded as an intangible asset. The threshold used when drawing up the European



Ombudsman's balance sheet is EUR 50 000 (consolidation threshold: EUR 2 000 000).

Currency conversion and exchange differences

The financial statements are presented in euros.

Transactions denominated in a foreign currency will be entered in the EU's financial statements in euros at the exchange rate applicable on the transaction date.

When the accounts are closed, monetary balance sheet items must be converted at the closing rate.

Exchange differences are entered in specific sections of the statement of financial performance either as expenditure or as revenue, depending on the nature of the transactions to which they relate.

Leases

Leases that do not give rise to a substantial transfer of risks or ownership - the lessor retains a significant portion of the risks and rewards inherent to ownership - are classified as operating leases. Payments made under operating leases are charged to the statement of financial performance on a straight-line basis over the period of the lease.

Receivables

Receivables are entered at their realisable value.

There is no bad-debt provision in respect of European institutions (consolidated entities).

Allowances may be established for other types of bad debt on the basis of a review of open accounts on the date of closure if there is objective evidence that the amounts concerned are unrecoverable.

Cash and cash equivalents

These are defined as current assets. They include cash at hand, deposits held at call with banks and other short-term highly liquid investments with original maturities of three months or less.

Provisions

Provisions are established and entered in the accounts by the institution where it bears a legal and valid obligation resulting from a previous transaction and resources will probably have to be drawn on in order to discharge the obligation.

It must be possible, however, to make a reasonable and reliable estimate of the amount of provisions.



Income and expenses

Transactions and events are recognised in the financial statements in the period to which they relate.

Expenses from exchange transactions arising from the purchase of goods or services are recognised when the goods or services are delivered and accepted. They are valued at original invoice cost. Expenses from non-exchange transactions are recognised as expenses in the period during which the events giving rise to the transfer occurred, provided that the type of transfer concerned is allowed by the relevant rules or a contract has been signed that authorises the transfer, any eligibility criteria have been met by the beneficiary, and the amount can be reasonably estimated. Revenue from the sale of goods or services is recognised when the significant risk and rewards of ownership of the goods are transferred to the purchaser. Revenue is recognised by reference to the stage of completion of the transaction at the reporting date.

At the end of the accounting period, accrued expenses are recognised based on an estimated amount of the transfer obligation for the period. Revenue is also accounted for in the period to which it relates. At year-end, if an invoice has not yet been issued but the service concerned has been performed or goods have been delivered, accrued income will be recognised in the financial statements. At year-end, if an invoice has not yet been issued but the service concerned has not been performed or goods have not been delivered, accrued income will be recognised in the financial statements.

Preliminary remark: The amounts given in the following financial statements are rounded to the nearest euro.



2. Financial statements

2.1 Balance sheet as at 31 December 2016

<u>ASSETS</u>		Note	31.12.2016 <u>EUR</u>	31.12.2015 <u>EUR</u>
<u>Non-current assets</u>		3.1.1		
I.	INTANGIBLE FIXED ASSETS		18.948,85	9.540,88
II.	TANGIBLE FIXED ASSETS		111.546,00	100.714,45
			130.494,85	110.255,33
 <u>Current assets</u>		 3.1.2		
III.	SHORT-TERM RECEIVABLES			
	Sundry debtors		5.068,97	5.239,35
	Other receivables		31.977,08	29.381,66
	Accrued interest		91,38	119,83
	Receivables from European Union bodies		- 1.493,10	2.048,79
	Deferred charges		19.601,37	0,00
	Income to be received from consolidated entities		0,00	0,00
			55.245,70	36.789,63
IV.	CASH AND CASH EQUIVALENTS		1.065.051,48	1.034.815,46
			1.250.792,03	1.181.860,42



	Note	31.12.2016	31.12.2015
<u>LIABILITIES</u>		<u>EUR</u>	<u>EUR</u>
<u>Capital</u>			
I. OWN FUNDS	3.1.3		
Economic result for the financial year		- 55.973,05	463.787,14
Results carried over from previous years		887.867,29	424.080,15
		<u>831.894,24</u>	<u>887.867,29</u>
<u>Non-current</u>			
II. LONG-TERM DEBT	3.1.4		
Pensions provision		0,00	-
Provisions for charges		0,00	-
		<u>0,00</u>	<u>-</u>
<u>Current</u>			
III. CURRENT LIABILITIES	3.1.5		
Short-term provision		0,00	-
Trade accounts payable		37.072,74	870,13
Accounts payable with consolidated entities		50.489,93	-
Sundry creditors		55.764,61	8,75
Accrued charges		191.118,67	181.473,03
Accrued charges with consolidated entities		84.451,84	111.641,22
		<u>418.897,79</u>	<u>293.993,13</u>
		<u>1.250.792,03</u>	<u>1.181.860,42</u>



2.2 Statement of financial performance for the financial year 2016

	Note	<u>2016</u>	<u>2015</u>
<u>OPERATING REVENUE</u>	3.2.1		
Commission's financial contribution		8.600.000,00	8.600.000,00
Staff-related revenue		1.121.041,95	1.169.510,75
Other income		0,00	43.880,31
Total operating revenue		9.721.041,95	9.813.391,06
<u>OPERATING EXPENSES</u>	3.2.2		
Staff-related expenditure		7.422.247,98	7.314.822,33
Fixed asset expenses		52.995,21	44.175,14
Other administrative expenditure		2.301.849,60	1.990.805,81
Total operating expenses		9.777.092,79	9.349.803,28
OPERATING RESULT		(56.050,84)	463.587,78
<u>FINANCIAL REVENUE</u>			
Interest	3.2.3	367,79	604,71
<u>FINANCIAL CHARGES</u>			
Bank charges	3.2.4	290,00	405,35
RESULT OF FINANCIAL OPERATIONS		77,79	199,36
<u>PENSIONS PROVISION</u>			
Increase / (decrease) in pensions liability	3.2.5	0,00	0,00
MOVEMENT IN PENSIONS PROVISION		0,00	0,00
ECONOMIC RESULT FOR THE FINANCIAL YEAR		- 55.973,05	463.787,14



2.3 Cashflow statement for the financial year 2016

<u>Cashflows - operating activities</u>	2016	2015
Economic result for the financial year	(55.973)	463.787
Adjustments:		
- Amortisation charges and tangible and intangible fixed asset provisions	45.141	44.175
- Decrease (increase) in short-term receivables	(18.468)	(1.392)
- Increase (decrease) in pay adjustment provision	0	0
- Increase (decrease) in trade accounts payable and other creditors	101.616	31.669
- Increase (decrease) in receivables, European Union bodies	23.301	41.303
Cashflows - operating activities	<u>95.617</u>	<u>579.542</u>
 <u>Cashflows - investing activities</u>		
Acquisitions of tangible and intangible fixed assets	(67.313)	(39.005)
Disposals of tangible and intangible fixed assets	<u>1.932</u>	<u>0</u>
Cashflows - financing activities	<u>(65.381)</u>	<u>(39.005)</u>
Increase / (decrease) in provision for members' pensions liability	0,00	0,00
Increase (decrease) in cash holdings	30.236	540.537
Cash holdings at start of financial year	<u>1.034.815</u>	<u>494.278</u>
Cash holdings at end of financial year	<u>1.065.051</u>	<u>1.034.815</u>



2.4 Statement of changes in net assets

Net assets	Results carried over from previous years	Economic result for the financial year	Net assets (total)
Balance at 31.12.2015	424.080,15	463.787,14	887.867,29
Allocation of economic result for the previous year	463.787,14	- 463.787,14	-
Economic result for the financial year		- 55.973,05	- 55.973,05
Balance at 31.12.2016	887.867,29	- 55.973,05	831.894,24



2.5 Reconciliation of budget outturn with economic result for the financial year 2016

ECONOMIC RESULT FOR THE FINANCIAL YEAR	(55.973,05)
Adjustments:	
- Financial contribution received from the Commission	(8.600.000,00)
- Cut-off bookings at 31 December 2016	397.463,43
- Cut-off bookings at 31 December 2014	(290.069,84)
- Invoices received but not paid	0,00
- Acquisitions of fixed assets	(67.312,53)
- Depreciation of fixed assets	46.929,01
- Movement in provisions	0,00
- Payments of pensions against provision	0,00
- Appropriations carried over to 2017	(1.012.785,41)
- Payments drawing on 2015 appropriations carried over to 2016	535.543,86
- 2015 carryovers cancelled at year-end 2016	98.073,46
- Exchange rate differences	<u>(66,17)</u>
Total adjustments	(8.892.224,19)
Difference not explained	<u>(507,12)</u>
TOTAL	<u>(8.948.704,36)</u>
BUDGET OUTTURN	<u>(8.948.704,36)</u>



2.6 Contingent liabilities

Contingent liabilities	31/12/2016	31/12/2015
RAL - commitments against appropriations not yet used	816.653,22	457.332,96
Leasing arrangement	7.389,63	13.311,83
Total	824.042,85	470.644,79

Commitments for future funding are off-balance-sheet obligations arising from obligations contracted by the European Ombudsman in 2016 and concerning goods and services to be provided after the closure date.

The RAL figure - commitments against appropriations not yet used - is the difference between commitments carried over to 2016 (EUR 1.012.785.41) and the accrued charges (staff expenses excluded) (EUR 176 416.82), the deferred charges (EUR 19 601.37) and the invoices which were posted in expenses (class 6), but which have not yet been paid at year-end (EUR 114).

Contractual commitments (for which budget commitments have not yet been made) represent the amount resulting from contracts for leasing the European Ombudsman's photocopiers.



3. Notes to the financial statements

3.1 Notes to the balance sheet

3.1.1 Fixed assets

Fixed assets are recognised at their acquisition price, with amortisation on a straight-line basis from the month in which they are received. Only items with a purchase price greater than EUR 420 are recognised as fixed assets in accordance with the rules introduced by the Commission's Accounting Officer.

The depreciation rates applied, depending on the item concerned, and the statements of intangible and tangible fixed assets owned by the European Ombudsman are set out below.

Depreciation rate

Type of fixed asset	
<u>Intangible fixed assets</u>	
Software	25%
<u>Tangible fixed assets</u>	
Office equipment	
Office equipment	25% , 12,5%
IT equipment	
Computers, servers, accessories, data transfer equipment, printers, screens	25%
Photocopiers, scanners and digitisation equipment	25%
Movable furniture and equipment	
Furniture	10%
Office machines, printers and franking machines	25% , 12,5%
Other fixed assets	
Telecommunications and audiovisual equipment	25%
Security equipment	12,5%



The institution's fixed assets increased in value by 18.4%: from EUR 110 255 in 2015 to EUR 130 495 in 2016 (see point 3.1.1, balance sheet assets).

Intangible fixed assets

	Software	Total
<u>Purchase price</u>		
At 31.12.2015	96.741,45	96.741,45
Acquisitions	15.956,88	15.956,88
Disposals	-	-
At 31.12.2016	112.698,33	112.698,33
<u>Depreciation</u>		
At 31.12.2015	- 87 200,57	- 87 200,57
Depreciation in the year	-6.548,91	-6.548,91
Disposals	-	-
At 31.12.2016	- 93.749,48	- 93.749,48
Net value at 31.12.2016	18.948,85	18.948,85

With regard to intangible assets, the institution purchased new softwares and continued to amortise existing assets.

Tangible fixed assets

	Plant, machinery and equipment	IT equipment	Fixtures, fittings and vehicles	Other tangible assets	Total
<u>Purchase price</u>					
At 31.12.2015	127.512,70	149.135,88	100.296,14	484,94	377.429,66
Acquisitions	7.837,22	37.532,76	5.985,67	-	51.355,65
Disposal	-	-	-1.931,90	-	-1.931,90
Other variations	-	-	-	-	-
At 31.12.2016	135.349,92	186.668,64	104.349,91	484,94	426.853,41
<u>Depreciation</u>					
At 31.12.2015	- 93.348,36	- 119.664,73	-63.217,18	- 484,94	-276.715,21
Depreciation	- 10.824,37	-23.414,24	-6.141,49	-	-40.380,10
Disposals	-	-	1.787,90	-	1.787,90
At 31.12.2016	- 104.172,73	-143.078,97	-67.570,77	- 484,94	-315.307,41
Net value at 31.12.2016	31.177,19	43.589,67	36.779,14	0	111.546,00



3.1.2 Current assets

Short-term receivables

There was an overall increase in short-term receivables from EUR 36 789.63 in 2015 to EUR 55 245.70 in 2016:

- The institution had sundry receivables totalling EUR 5 068.97, in respect of certain Member States, in connection with unrecovered value-added tax at 31.12.2016.
- The breakdown of short-term receivables is:
 - EUR 1 493.10 in respect of other institutions; this amount payable as at 31.12.2016 represents corrections between institutions, in connection with pay calculations, which will be cleared in 2017;
 - EUR 6 977.08 in respect of staff members; this amount payable as at 31.12.2016 represents monies owed to staff members, in connection with calculations of pay and advances on mission expenses, which will be cleared in 2017;
 - EUR 25 000.00 in respect of a former member of staff; this amount payable as at 31.12.2016 represents monies to be recovered for legal costs incurred in connection with two court cases.
- As accruals, the institution has still collect bank interest, for the final quarter of 2016, accruing on its current account at the Société Générale bank; EUR 91.38 (EUR 119.83 in 2015) will be paid in to the institution's account in January 2017.
- The institution has recognised deferred expenses of EUR 19 601.37 which include expenses for the financial year 2017, recorded in the 2016 accounts and carried forward to the financial year to which they relate.

Cash and cash equivalents

The aggregate balance on the current accounts is EUR 1 065 051.48.

3.1.3 Own funds

The own funds amount to EUR 831 894.24 and comprise the total of the economic result of previous years for the amount of EUR 887 867.29 and the economic result of the current year, a loss for the amount of EUR 55 973.05.



3.1.4 Long-term liabilities

Pensions for members of the European Ombudsman's office have been transferred to the Commission. Accordingly, the pension liability is now entered in the Commission's accounts.

3.1.5 Short-term liabilities

Current liabilities

- Trade accounts payable:

EUR 37 072.74 as at 31.12.2016.

- Sundry liabilities:

The European Ombudsman has a liability of EUR 55 764.61 vis-à-vis the institutions. That amount stems from corrections between institutions in connection with pay calculations. It will be cleared in 2017.

- Accounts payable with consolidated entities:

The European Ombudsman has accounts payable with consolidated entities which amount to EUR 50 489.93.

- Other liabilities:

The institution has recognised accrued expenses of EUR 191 118.67, part of which is accounted for by invoices not received or entered in the accounts as at 31.12.2016 (amount higher than last year). The amount also includes the provision for leave not taken by staff as at 31.12.2016.

- Suppliers' invoices not received total EUR 91 964.98.
- The 2016 provision for leave not taken totals EUR 99 153.69; for 2015, it totalled EUR 117 558.82. The calculation involves multiplying the average daily pay per grade, for each category of staff member (official, temporary staff and contract staff), by the number of days worked.

Invoices not received or entered in the accounts as at 31.12.2016, in respect of consolidated entities, total EUR 84 451.84 and relate to various SLAs with institutions for the provision of services. The following amounts are involved:

- EUR 41 393.64 payable to the European Parliament for the rental of premises, professional training services, translation/interpretation services, transport, postage and telecommunications services;
- EUR 27 854.50 for translations produced in December 2016 (Translation Centre);
- EUR 15 203.70 payable to the Commission for Publications Office publications, training courses and ICT inter institutional cooperation.



3.2 Notes to the statement of financial performance

3.2.1 Operating income

Operating income is made up of:

- EUR 8 600 000 by way of the Commission's contribution to the European Ombudsman's budget;
- EUR 1 121 041.95 in staff-related revenue, i.e. pension scheme contributions, temporary levy and income tax.

3.2.2 Operating expenses

Operating expenses increase by EUR 427 289.51 over last year.

- Personnel expenditure on members and former members of the institution, officials, temporary staff and contract staff rose by EUR 107 425 (+1.5%) over last year.
- Fixed assets related expenses increased by EUR 8 820 (+20 %) over 2015.
- Other administrative expenditure rose by EUR 311 044 (+15.6%) over last year.

3.2.3 Financial revenue

Bank interest totalled EUR 367.79 in 2016.

3.2.4 Financial charges

Bank charges totalled EUR 290.00 in 2016.

3.2.5 Pension changes

Pensions for members of the European Ombudsman's office have been transferred to the Commission. A provision for those pensions is no longer needed.



3.3 Notes to the cashflow statement

The cashflow statement is prepared using the indirect method. That means that the net result for the financial year is adjusted for the effects of transactions of a non-cash nature, any deferrals or accruals of past or future operating cash receipts or payments, and items of revenue or expense associated with investing cashflows.

The cashflow statement reports cashflows during the period classified by operating and investing activities.

Operating activities are the activities of the European Ombudsman that are not investing activities. Those are the majority of the activities performed.

Investing activities involve the acquisition and disposal of tangible and intangible fixed assets.

European Ombudsman Annual Report 2016 EN

draft

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Introduction



Emily O'Reilly, European Ombudsman

I am very happy to present our 2016 Annual Report.

It was a turbulent year for the EU and the challenges will continue. The unemployment crisis, the ongoing migration crisis, the decision by the UK to leave the Union, and concerns around the impact on Europe of the new administration in the United States compel all of us to work even harder to make the EU institutions as responsive to, and as compassionate towards, the citizens we serve as possible.

This year showed again how the work of an ombudsman can have a positive effect over time on the quality of the EU administration, in line with my strategy to increase the impact, relevance and visibility of this office.

By conducting proactive strategic inquiries, my office was able to help raise the already high transparency and administrative standards of EU public bodies further still. We worked with the European Commission and European Parliament on reviewing the expert groups that advise the Commission on policy. We engaged with the President of the European Commission, Jean-Claude Juncker on the ethics of former Commissioners, and with the President of the Eurogroup, Jeroen Dijsselbloem on the Eurogroup's transparency. We also made recommendations to the Commission on the authorisation of pesticides and to the Commission, Council and Parliament on how to improve the transparency of trilogues.

At the end of the year, we launched the Award for Good Administration to recognise excellence in EU public administration and the dedicated work of so many European civil servants working to improve the lives of European citizens.

My core work remains helping individuals when they encounter problems with EU public administration and their concerns make up the vast majority of the hundreds of complaints we deal with every year.

Introduction

In 2016, we also held the annual conference of the European Network of Ombudsmen in Brussels, which built on our successful cooperation on issues including migration, lobbying transparency and the rule of law. The European Commission also committed to working more effectively with the Network.

I look forward to the challenging year ahead and to working with the EU administration in helping to find solutions to the problems faced by EU citizens. In particular, I look forward to continuing my excellent and collaborative engagement with the European Parliament. Its support has been, and continues to be, vital to the effective discharge of my mandate on behalf of the citizens we jointly serve.

A handwritten signature in black ink, reading "Emily O'Reilly". The signature is fluid and cursive, with a prominent flourish at the end of the name.

Emily O'Reilly

1 2016 at a glance

The year 2016 was an eventful one. Here are some of the highlights:

January

[Letter to members of the European Network of Ombudsmen on the Asylum, Migration and Integration Fund](#)

February

[Ombudsman asks Commission to report back on the authorisation of pesticides](#)

March

[Opened inquiry on the Euratom Treaty expert group documents](#)

April

[“Improving transparency in tobacco lobbying” – Ombudsman event](#)

May

[Opened inquiry into Commission evaluation of conflicts of interest of special advisers](#)

June

[European Network of Ombudsmen annual conference in Brussels](#)

July

[Ombudsman calls for more transparency in trilogues](#)

August

[Commission’s handling of infringement complaints under the EU Pilot scheme](#)

September

[Ombudsman calls on President Juncker to clarify position on predecessor's new role](#)

October

[“Disrupting Europe – truth, facts and social media” – Ombudsman event](#)

November

[Ombudsman welcomes President Juncker's action on the Code of Conduct for Commissioners](#)

December

[Open Government Partnership global summit – Ombudsman's plenary speech](#)

2 Key topics

The European Ombudsman helps citizens as they engage with the EU institutions, bodies and agencies. Problems that arise range from contractual issues to violations of fundamental rights to a lack of transparency in decision-making or refusal of access to documents. In 2016, transparency-related inquiries again accounted for the greatest proportion of cases.

2.1 Transparency in EU decision-making

The Ombudsman in July [published](#) proposals to make **trilogues** – informal negotiations on EU legislative proposals between the European Parliament and Council of the EU in the presence of the Commission – more transparent. These included making available dates of trilogue meetings and summary agendas; the positions of both co-legislators on the Commission's proposal; and the names of the decision-makers present in trilogue meetings. She recommended that documents that track the main stages of the process should be published as soon as possible after the negotiations end. The Ombudsman inspected the trilogue files of two EU laws (Credit Mortgage Directive and Clinical Trials Regulation) and held a public consultation, receiving 51 replies including five from national parliaments. The European Parliament, Council and Commission responded to the Ombudsman's proposals in December, generally agreeing with the Ombudsman's arguments in favour of more transparency. In the responses, the institutions outline their initial follow-up, which includes discussions with each other on the implementation of the proposals.

[Twitter 1](#) **How transparency in the negotiation of and agreement on EU laws can be improved.**

In May, the Ombudsman opened a [strategic inquiry](#) into how the European Commission carries out conflict of interest assessments for its **special advisers**. The advisers provide on-demand expert input directly to Commissioners. The aim of the inquiry, opened following individual complaints, is to ensure that rules are robust enough to avoid inappropriate influence on policy-making. In a letter to the President of the European Commission, Jean-Claude Juncker, the Ombudsman suggested that both the mandate of the adviser and their outside activities be clear before the adviser is appointed and that the conflict of interest assessment be updated if their outside activity changes.

[Twitter 2](#) **The European Ombudsman has now started a wider inquiry into the appointment of special advisers (who often concurrently work for private sector clients and the EU).**

The Ombudsman's case-handlers inspected the files concerning special advisers appointed in 2015 and 2016. The inspection report showed significant improvement in certain areas in 2016, a fact acknowledged in a letter from the Ombudsman to President Juncker. The Ombudsman in 2017 will continue to focus on possible further improvements in the following areas: how the procedure for appointing special advisers is organised; the Commission's conflict of interest assessment before the appointment; the duty to declare new activities after the appointment; and public access to documents and information.

The Commission's **pilot programme**, under which it seeks to ensure that Member States properly apply EU laws without resorting to an infringement procedure, is the subject of a [strategic inquiry](#) which began in May. The Ombudsman decided to look into the process after inquiring into several complaints. The Ombudsman asked the Commission how the procedure

2 Key topics

operates, including reasons for delays; how it communicates to complainants about the opening and closing of a pilot procedure and what the Commission does when a Member State repeatedly delays answering or does not give enough information. Towards the end of 2016, the Ombudsman conducted a further inspection of files to get a broader idea of how the procedure works in practice. The inquiry continues into 2017.

One [case](#) illustrating the importance of transparent decision-making concerned the process for authorising **pesticides** for the European market. Specifically it concerned the Commission's practice of approving the safe use of an active substance before it gets all of the data necessary to support that decision (known as confirmatory data procedure). The Ombudsman asked the Commission to report back in 2018 and demonstrate that the procedure is being used restrictively, that there is improved oversight of Member States' use of pesticides, and that the remaining assessments of the ten substances highlighted by the complainant have been completed.

[Google+ 1](#) [Press Release] Ombudsman tells Commission to report back on pesticides authorisation

The European Ombudsman's inquiry into the approval of pesticides by the European Commission highlights concerns with the Commission's practice of approving the safe use of an active substance before it gets all of the data necessary to support that decision. The Ombudsman analysed the Commission's practice of approving substances while simultaneously requesting data confirming their safety. Following her analysis, and in light of the importance of health and environmental protection in the EU, the Ombudsman made several proposals to improve the Commission's pesticide approval system.

Another [case](#) concerned delays by the Commission in the authorisation of 20 applications for **genetically modified food and feed**. During the inquiry, the Commission dealt with the 20 applications in question. However, the Ombudsman concluded that the delays were not justified and suggested that if the Commission considered the timescale for decision-making in relation to genetically modified food and feed to be inadequate, it should deal with the issue in its review of how such decisions are taken.

2.2 Lobbying transparency

The Ombudsman also inquired into the transparency of EU lobbying and related matters. The balance of interests represented in the hundreds of **expert groups** that advise the Commission on policy and legislation became a major strategic inquiry. In early 2016, the Ombudsman asked the Commission to take a series of expert group transparency steps, including the publication of comprehensive minutes of their meetings. The Parliament was also very active on this issue. In May, the Commission replied that it intended to make several changes to the system, including publishing agendas and meaningful minutes; improving conflict of interest management in relation to individuals appointed in a personal capacity; and linking expert group membership to the obligation to be on the EU Transparency Register. The Ombudsman will inspect the minutes of meetings and other relevant documents in 2017, before drawing her final conclusions on the Commission's response to her recommendations.

[Twitter 3](#) First Vice-President of the European Commission, Frans Timmermans, says: Another step forward in changing the way 'Brussels' works. New expert group rules adopted.

First Vice-President Frans Timmermans said: "When we design rules and policies we need the help of outside expertise to help us get it right. Citizens rightly expect this to be done in a transparent and balanced way. Thanks to the measures we are taking today, the Commission will benefit from high quality expertise while avoiding possible conflicts of interest, and the public will be able to hold us to account. Today's decision follows fruitful consultations with Members of the European Parliament, the European Ombudsman and representatives of civil society organisations, who are key partners in delivering a transparent approach to EU policy-making. This is another step forward in changing the way 'Brussels' works."

2 Key topics

Following the urging of the Parliament, the Commission revised the EU **Transparency Register** in 2016. The Ombudsman [wrote](#) to President Juncker with suggestions for improving the Register by making it a central transparency hub for all EU institutions and agencies. She also called for full funding transparency for all lobbying groups, improved data accuracy, and tightened monitoring. She also called for the final inter-institutional agreement on the Register to mention the right to complain to the Ombudsman. The revised Register is now being negotiated between the Commission, Parliament and Council.

[Twitter 4](#) The European Ombudsman makes some pertinent suggestions on how to improve the EU Transparency Register.

Recognising that officials in public institutions at the EU and national level may welcome advice on how to avoid undue influence from interest groups, the Ombudsman drew up some [practical guidelines](#). The do and do not list was published in draft form at the end of the year with a call for public feedback. The advice to officials included the reporting by them of unacceptable lobbying practices and not arranging meetings outside office hours, other than on official premises, or without the presence of another colleague.

In a [decision](#) at the end of 2016, the Ombudsman noted her strong disapproval of the Commission's stance regarding the transparency of its meetings with tobacco lobbyists. In autumn 2015, the Ombudsman had asked the Commission to proactively publish online all meetings with tobacco lobbyists, or their legal representatives, as well as the minutes of those meetings, to bring the institution in line with its obligations under the UN Framework Convention for Tobacco Control (FCTC). The practice recommended by the Ombudsman was already being followed by the Commission's Directorate-General (DG) for Health. The Commission responded in early 2016 that it believed it was already complying with the FCTC and did not need to adopt DG Health's practice. The Ombudsman closed the case with a finding of maladministration, noting that the Commission had not provided any good reasons for refusing to take the steps proposed by her office.

[Storify 1](#) Vera da Costa e Silva, Head of the Secretariat of the WHO's Framework Convention for Tobacco Control (FCTC) says: Congratulations European Ombudsman! Compliance with the WHO FCTC is essential.

How to improve **tobacco lobbying transparency** was the subject of the Ombudsman's [strategic spring event](#). The seminar speakers included the EU Health Commissioner, the WHO representative to the EU; and civil society. The event examined how DG Health implements the FCTC and discussed the importance of the entire Commission implementing the same measures. The Ombudsman called on all EU institutions to implement the Convention fully according to its guidelines.

2 Key topics



European Ombudsman event on transparency in tobacco lobbying.

[Storify 2](#) Improving transparency in tobacco lobbying.

On 27 April the Ombudsman organised an event on how EU institutions could comply with their transparency obligations under the UN World Health Organization (WHO) rules and guidelines governing tobacco lobbying.

2.3 Transparency in economic and financial decision-making

Decision-making in economic and financial matters is of significant public interest. The Ombudsman's office has dealt with individual complaints in this area and the Ombudsman also sometimes considers it more helpful to point out issues of concern or ask for more information as part of a 'strategic initiative'. She [praised](#) Jeroen Dijsselbloem, President of the **Eurogroup**, for his proactive measures to make the body more transparent – such as by publishing a detailed agenda and summing up letter of its meetings – and asked for further clarifications on his proposals. Mr Dijsselbloem [responded](#) that since the transparency regime had been introduced, the Eurogroup had made a range of documents available, including material used to prepare the Eurogroup's discussions. Mr Dijsselbloem also [said](#) that the body was committed to furthering the transparency of its political deliberations and that points raised by the Ombudsman would feed into its further reflections.

Representatives of the Ombudsman's office met Danièle Nouy, Chair of the Supervisory Board of the European Central Bank (ECB), to discuss the transparency of the **Supervisory Review and Evaluation Process (SREP)** – by which Eurozone banks are assessed on their financial good health. The Ombudsman followed up with a [letter](#) to Ms Nouy, noting that the ECB was likely

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to be anticipating – if not already experiencing – an increasing number of requests for public access to documents in the area of banking supervision. The Ombudsman suggested that the ECB could examine its scope to make public parts of the supervisory manual of the Single Supervisory Mechanism. Additionally, the Ombudsman suggested that individual SREP letters that are issued to supervised entities could be published after a suitable passage of time. Ms Nouy [replied](#) that the Ombudsman's letter would be shared with the Supervisory Board and pointed out that as regards the SREP, the Bank had, in addition to publishing a booklet detailing the SSM SREP methodology, also organised dedicated workshops with the banking industry.

[Twitter 5](#) A letter from the European Ombudsman to the European Central Bank on the Supervisory Review and Evaluation Process.

[Twitter 6](#) A very good recommendation!

The European Ombudsman calls on the European Investment Bank and European Investment Fund to proactively disclose minutes of their Board of Directors' meetings.

In February, the Ombudsman [suggested](#) to the **European Investment Bank** (EIB) President Werner Hoyer that the minutes of Board of Directors meetings for both the EIB and the European Investment Fund (EIF) be proactively published. In a response welcomed by the Ombudsman, President Hoyer noted that the bank had agreed to take these transparency measures. The EIB, as requested by the Ombudsman, also published on its website the European Fund for Strategic Investments (EFSI) agreement signed by the EIB and the Commission. In addition, the EIB is progressively updating its public register – an electronic database linked to the projects the bank finances – by publishing more information related to environmental and social issues.

Later in the year, the Ombudsman suggested that the EIB change its internal ethics rules so that members of its Board of Directors be required to request authorisation from the Ethics and Compliance Committee before undertaking a new activity. She also inquired about the EIB's Code of Conduct for Board members, noting that it does not provide for the obligation to file a declaration of interest or a financial interest disclosure, as is the practice for other international financial institutions.

In a [letter](#) to President Juncker, the Ombudsman asked about the regime for publishing documents related to the work of the **European Fiscal Board**, a new body set up to advise the Commission on fiscal matters. The Commission [replied](#) that the Board's documents would be subject to EU rules on public access to documents (Regulation 1049/2001).

2.4 Access to EU documents

Every year, the Ombudsman receives many complaints from individuals or organisations about the EU administration's failure to provide public access to documents. In these cases, the Ombudsman looks to see if the institution is justified in not releasing the document. If the Ombudsman finds it not justified, she seeks release of the requested document.

One such [case](#) concerned a request for public access to opinions assessing candidates' suitability to be Judges and Advocates-General at the **Court of Justice and the General Court of the EU**. The Council refused access to the opinions – drawn up by a panel of experts -

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arguing that EU access to documents rules (Regulation 1049/2001) did not apply in that instance.

Following the Ombudsman's intervention, the Council announced that it had decided to apply Regulation 1049/2001. The Ombudsman welcomed the Council's policy change, noting that this case raised the important issue of how to strike the correct balance between the need to protect the personal data of those being assessed for high public office with the need to ensure maximum transparency in the appointment process. She noted that in such cases the balance should generally be in favour of greater openness. The Ombudsman encouraged the Council to deal with any future requests for public access to such documents with this approach in mind.

Another [case](#) concerned the Commission's refusal to grant public access to documents related to its investigation of an allegedly illegal shipment of live **bluefin tuna** to Malta. The Commission accepted the Ombudsman's recommendation to grant access to the documents the Commission had drafted. While it refused, during the inquiry, to disclose those documents that Malta had sent to the Commission, it later took a decision to follow the Ombudsman's recommendation to release the documents from Malta. Malta has now taken the Commission to the EU courts in an attempt to block the Commission from releasing the documents.

In a [case](#) concerning the **European External Action Service** (EEAS), the complainant, a Swedish NGO, wanted access to the Political Dialogue and Cooperation Agreement between the EU and Cuba. The EEAS refused, arguing that the Agreement was still provisional at that stage. The complainant turned to the Ombudsman, noting that the Agreement had already been initialled. In the course of the inquiry, the EEAS released the document after the Commission had adopted the Agreement.

Sometimes the institutions change their approach to a particular request for document access. This was the case in a [complaint](#) about the Commission's refusal to grant public access to documents concerning the surveillance of the Internet by **UK intelligence services**. Following the Ombudsman's intervention, the Commission disclosed one document, a letter from the UK Foreign Secretary, but not two letters from the Commission Vice-President. This led the Ombudsman to find maladministration. However, the Commission in October 2016, a year after the Ombudsman's decision, released the documents in question.

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The European Ombudsman at the presentation of the European Parliament's report on the European Ombudsman's *Annual Report 2015*.

2.5 Ethical issues

The EU administration has comparatively high ethical standards. However, for citizens to have more confidence in the EU, they need to be sure that both EU politicians and staff are working only in the public interest. The rules in place must ensure that Commissioners, both during their term in office and afterwards, do not put this into doubt. Concerns surrounding work undertaken by former Commissioners featured in the Ombudsman's work in 2016.

In a [decision](#) in June, the Ombudsman found maladministration in that the 2009-2014 Commission had failed adequately to deal with a former Commissioner's breach of the **Code of Conduct for Commissioners**; and had not properly investigated the compatibility of the Commissioner's private sector work contract with the EU Treaty obligations, despite concerns raised by the Ethics Committee that deals with these matters. The Ombudsman called for the Code of Conduct to be revised to make its rules more explicit and more easily implementable and to include sanctions for breaches of the Code.

The merits of reforming the Code came up for discussion once more when a former Commission President took a position as non-executive Chairman at Goldman Sachs bank. The Commission stated that he had not breached the Code, which stipulates an 18-month cooling-off period, but the Ombudsman noted that under the EU Treaty some posts can continue to be problematic even after the 18-month notification period has expired. In a [letter](#) to President Juncker, the Ombudsman asked the Commission to refer the matter to the Commission's Ethics Committee and to review the Code of Conduct. President Juncker [responded](#) that he was putting the matter to the Ad Hoc Ethical Committee. That Committee concluded that while the former President had not shown "the considerate judgement one may expect from someone having held the high office he occupied for so many years", there were "not sufficient grounds

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to establish a violation of the duty of integrity and discretion, imposed by Article 245 (2) TFEU [Treaty on the Functioning of the European Union]”.

[Twitter 7](#) The Commission should revise the Code of Conduct for ex-Commissioners.

Nevertheless, President Juncker did propose to tighten the Code by extending the cooling-off period to two years for ex-Commissioners and three years for ex-Commission Presidents. The Ombudsman [welcomed](#) the proposal but repeated the earlier caveat that the extended time will not always be a sufficient guarantee that Article 245 has been respected.

Robust ethics rules need to apply throughout an institution and not just to its political representatives. The Ombudsman in September closed her [inquiry](#) into how the Commission implements EU staff rules governing the so-called **revolving door** phenomenon. The Commission had already taken positive steps in response to the Ombudsman’s suggestions. The Ombudsman, on closing the inquiry, proposed some further steps. She called on the Commission to publish more details, particularly on its assessment and conclusions, when it approves requests from senior officials to work outside the Commission. She also suggested that those assessing applications of staff leaving the service should not have any professional connections with the person concerned. The Ombudsman will follow up on this issue with a strategic inquiry in order to assess how the rules work in practice.

2.6 EU agencies and other bodies

EU agencies – which deal with a range of issues from fundamental rights, to the safety and efficacy of medicines, the protection of the environment, health and environmental risks from chemicals and aviation safety – were the second biggest source, after the European Commission, of inquiries conducted by the Ombudsman in 2016.

One major case, opened in 2014, concerned the decision of the **European Medicines Agency** (EMA) to give only partial public access to clinical trial studies related to the approval of Humira, a drug used to treat Crohn’s disease. In June, [the Ombudsman closed the inquiry, welcoming increased transparency](#) in this area. However, she expressed concern about four specific pieces of information that the Agency had withheld. The Ombudsman noted that any clinical information of value to doctors, patients and researchers, should be disclosed in the public interest.

The Ombudsman closed the inquiry, welcoming increased transparency in clinical trial studies.

[Google+ 2](#) **[Press Release] Ombudsman welcomes increased Humira transparency – but calls for more on global top selling drug**

The European Ombudsman, Emily O’Reilly, has welcomed increased transparency in the clinical testing of Humira, one of the world’s biggest selling drugs, following her inquiry into the publication of clinical study reports. But the Ombudsman also expressed concern about certain parts of **four specific clinical trial reports into Humira which were withheld** by the European Medicines Agency on the stated grounds of commercial interest and has asked EMA to reconsider these redactions. “Any clinical information of value to doctors, patients and researchers, must be disclosed in the public interest,” said the Ombudsman.

The **European Chemicals Agency** (ECHA) in 2015 agreed to the Ombudsman’s proposal about how it requires those seeking to register products to show that they have tried to avoid animal testing. It followed up in 2016 with detailed information about how exactly it was seeking to give effect to the Ombudsman’s proposal. A new [inquiry](#), opened in 2016, sought clarifications

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on a joint Commission and ECHA statement on the possible use of animal tests, under certain conditions, for substances used in cosmetics.

Each year hundreds of people sit competitions to work in an EU body in a process managed by the **European Personnel Selection Office (EPSO)**. In one [case](#) referred to the Ombudsman, the complainant applied to an EPSO competition for the recruitment of conference interpreters. She missed the deadline for applications after she was briefly hospitalised and asked EPSO for an extension of the deadline. EPSO refused, arguing that it must treat all applicants equally. The Ombudsman recommended that EPSO acknowledge that there are exceptional situations where, because of force majeure, it is fair that candidates be given a new deadline. EPSO agreed to implement in the future all the Ombudsman's recommendations concerning the application of the principle of force majeure in the context of EPSO competitions.

2.7 EU contracts and grants

Complaints in this area accounted for 14.5 percent of the total. The Commission oversees a vast number of projects funded by the EU. It carries out rigorous auditing to ensure that public money is spent as it should be. However, this occasionally gives rise to disputes over how projects are audited or the amount of money that potentially should be reclaimed. In these situations, contractors often turn to the Ombudsman for a solution.

In one such case, the complainant, a Polish research institute, had undertaken a number of projects that were co-financed by the EU between 2004 and 2009. After successfully completing the projects, the Commission audited three of them, and decided to recover certain costs. The Ombudsman opened an inquiry and found that the Commission's project officer had agreed in writing (e-mail) to the sub-contracting of some services – the costs of which the Commission subsequently decided to recover – and was therefore aware of, and had authorised, the complainant's awarding of the sub-contract. **The Commission contended that the complainant had not followed the applicable rules of the contract agreement but, in light of the particular circumstances of this case, decided to waive the recovery of more than EUR 86 000.**

A Croatia-based research institute took part in a EU-funded project under the Seventh Framework Programme for Research and Technological Development. After an audit revealed some irregularities, the Commission sought to recover a substantial amount of funds. The institute lodged a [complaint](#) with the Ombudsman, who found that the auditors' findings were based on several uncertainties. Since the most crucial issue at hand was the determination of the actual starting date of the project, the Ombudsman suggested that the Commission should consult an expert to verify the auditors' finding or order a technical audit. The Commission accepted the Ombudsman's proposal.

A further case concerned how the Commission audited a project aimed at preserving water in Morocco. The complainant, the French non-profit organisation *Association pour la Participation et l'Action Régionale (APARE)*, which is involved in environmental education and eco-citizenship, disagreed with the audit finding by the Commission – which would have seen the Commission recover over EUR 20 000 – and turned to the Ombudsman's office. After the Ombudsman's intervention, the Commission agreed to reduce the amount to be recovered by almost 75%.

2.8 Future challenges

The Ombudsman's work is shaped by the broader political context. For example, widespread public concern about the lack of transparency of EU-US negotiations on the Transatlantic Trade and Investment Partnership (TTIP) led the Ombudsman to open a strategic own-initiative inquiry into the issue.

The Ombudsman also hosts events to discuss topical issues, such as the October [event](#) on "Disrupting EU – Truth, Facts and Social Media". Along with representatives of the Commission, the Organisation for Economic Co-operation and Development (OECD) and civil society, the Ombudsman debated how to better communicate the EU at a time of unprecedented challenges. The UK's decision to leave the EU will shape the Union in 2017 and beyond. Issues arising from the Brexit referendum began to be raised with the Ombudsman's office from shortly after the vote. By the end of 2016, the Ombudsman had received five complaints involving administrative issues related to Brexit, three of which concerned access to information.



European Ombudsman event: "Disrupting Europe: Truth, Facts and Social Media".

[Twitter 8](#) We value the European Ombudsman's positive feedback on our ongoing TTIP transparency effort!

The European Ombudsman welcomes the EU TTIP's publication of more EU proposals on the ongoing TTIP negotiations with the US.

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[Twitter 9](#) Important contribution on Brexit from the European Ombudsman, Emily O'Reilly, in *Broadsheet* via Today (RTÉ Radio One).

But I had felt, personally, over the last while, since coming here, **when you have the migration crisis and the financial crisis, you had Greece, you had this, you thought at some point, something had to give in order to rebuild**, recast perhaps in a different way.

I made the point recently that, **when people don't understand, they feel stupid and when people feel stupid, they feel hostile towards those people who, inadvertently or otherwise, have made them feel stupid** and so they resile and so they become much more isolated and **I think the EU has an awful lot of work to do in relation to its transparency, its accountability, how it communicates with the 500 million citizens...**

The year ended on a high note with the Ombudsman playing a significant role in the [Open Government Partnership](#) (OGP) Global Summit in Paris in December. The Ombudsman called on the EU to play a stronger role in the OGP. The OGP is a multilateral initiative that aims to secure concrete commitments from governments to promote transparency, empower citizens and fight corruption, among other objectives. In this context, the Ombudsman and the OECD are jointly conducting a survey on open governance, to identify ways of ensuring that ombudsmen play a greater role in the OGP. The Ombudsman's involvement is to promote and distribute the survey within the European Network of Ombudsmen and other international ombudsman networks. The Network will discuss the survey's preliminary results at its June 2017 conference, and publish the results at the end of the year.

[Twitter 10](#) The European Ombudsman speaking at the Open Governance Partnership 2016 summit to close the plenary session.

[Twitter 11](#) The European Ombudsman says: The EU could become a leading voice within the Open Governance Partnership and encourage other institutions to take inspiration from its work.

3 Award for Good Administration



In pursuit of her office's overall remit of improving EU public administration and helping to make its actions as citizen-friendly as possible, the Ombudsman, in October 2016, launched a call for nominations for an [Award for Good Administration](#). The award aims to recognise members of staff of EU institutions, agencies and bodies who, while performing their duties, promote good administration. This is a pilot initiative that seeks to identify best practices in the EU administration, and bring them to greater public attention.

The Ombudsman intends to showcase these practices throughout the EU administration. Categories for the award include excellence in transparency and ethics, excellence in communications, and excellence in citizen-focused service delivery. With the support of an advisory committee, the Ombudsman will select the winners and a ceremony will be held in Brussels in 2017.

[Google+ 3](#) European Ombudsman

[Press Release] The European Ombudsman, Emily O'Reilly, is launching an “**Award for Good Administration**” within the EU institutions, agencies and bodies. The award, which is a pilot project, seeks to recognise those ordinary staff who bring high standards of public service to their work either as individuals or as members of a team. This includes high standards of ethics, transparency and accountability.

[Twitter 12](#) Nice initiative by the European Ombudsman. I have a long list of potential nominees in mind!

Today we are launching the European Ombudsman Award to recognise EU staff members making a positive difference in their work.

4 Communications

The Ombudsman's strategy ("[Towards 2019](#)") is to increase the impact, relevance and visibility of the office. Greater visibility helps to ensure citizens know who to turn to should they encounter problems with the EU institutions.

Aside from specific outreach to stakeholders such as businesses, associations and NGOs, the office tries to raise the media profile of the Ombudsman and uses social media to communicate on specific cases; spread the word about new projects; and regularly inform about the Ombudsman's activities.

Mentions of the Ombudsman's work by the media have increased each year since 2012 and particularly in 2015 and 2016. More people are following the Ombudsman's work on **Twitter**, where the office's account saw a **21 percent rise in followers** between 2015 and 2016. The top tweet contained an infographic with do and don't guidelines for public officials interacting with interest representatives. Other popular tweets included one with an infographic on expert groups, one with a video announcing the Ombudsman's new Award for Good Administration and one announcing the launch of a public consultation on the transparency of informal negotiations on EU laws (trilogues).

The office has also begun an overhaul of its website to make it more user-friendly – this project is expected to be completed in 2017 – and regularly asks for feedback from stakeholders on how the office's work is perceived and how it could be improved.

[Twitter 13](#) We have prepared a list of dos and don'ts for officials interacting with lobbyists. Have your say here.

[Twitter 14](#) A strategic inquiry into the European Commission's expert groups: the European Ombudsman calls for more transparency.

5 Relations with EU institutions

5.1 European Parliament



The European Ombudsman presents her *Annual Report 2015* to then President of the European Parliament, Martin Schulz.

The European Ombudsman strongly values the relationship she has with the European Parliament. The Ombudsman met President Martin Schulz again in 2016, as well as numerous Members of the European Parliament (MEPs) across the political spectrum and from across Europe. The Ombudsman shared her work and experience when she spoke before the Parliament in plenary session, the Committee on Petitions and the Committee on Legal Affairs. The Ombudsman's staff frequently represent the institution in Committee meetings, hearings, and parliamentary inter-groups.

5.2 Committee on Petitions

The Ombudsman greatly values the close cooperation with the Committee on Petitions. The continuous dialogue is necessary for serving individual citizens who raise their concerns with the Ombudsman's office or with the Committee on Petitions. The Ombudsman deals with complaints against the EU institutions, bodies and agencies while the Committee on Petitions deals with petitions about the EU's areas of activity across Europe. The continuous support which the Committee's Chair, Cecilia Wikström, and MEPs from all political groups give to the Ombudsman is greatly appreciated. This support is vital for the Ombudsman's ability to further help the EU institutions to set the "gold standard" for good administration.

[Twitter 15](#) Chair of the European Parliament's Committee on Petitions, Cecilia Wikström says: Presenting the European Parliament's report on the European Ombudsman's *Annual Report 2015* to the ALDE Group in the European Parliament. Tomorrow we shall vote in plenary!

5.3 European Commission



The European Ombudsman meeting the President of the European Commission, Jean-Claude Juncker.

As the EU's executive, the European Commission has a direct impact on the lives of millions of Europeans. While it is political, it is also the largest administrative body of the EU and therefore it is natural that a large proportion of complaints to the Ombudsman concern the Commission's work. The Ombudsman commended President Jean-Claude Juncker on the constructive working relationship with her office and on the strong positive steps towards a more open administration, although of course challenges remain. The Ombudsman met President Juncker again in 2016 as well as several Vice-Presidents, and a number of Commissioners. She also met the Directors-General in a meeting hosted by the Secretary-General. The close cooperation at service level ensures that citizens' concerns can be addressed more effectively.

[Twitter 16](#) The European Commissioner for Trade, Cecilia Malmström, receiving the European Ombudsman, Emily O'Reilly.

5.4 Other institutions, agencies and organisations

The Ombudsman continues to maintain close relations with several other institutions, agencies and organisations. In 2016, the Ombudsman had close contact with, the European Central Bank, the European Investment Bank, the European Data Protection Supervisor, the European Asylum Support Office, and the European Union Agency for Fundamental Rights. The office also maintains relations with the Council of Europe in Strasbourg. All these relations are an integral part of the Ombudsman's strategy "Towards 2019", which aims at increasing the relevance, visibility and impact of the Ombudsman in order to create a more open and service-oriented EU administration for the benefit of citizens.

5.5 UN Disability Rights Convention

As a member of the [EU Framework](#), the Ombudsman protects, promotes, and monitors the implementation of the [United Nations Convention on the Rights of Persons with Disabilities](#) (UNCRPD) at the level of the EU institutions. In 2015, the UNCRPD Expert Committee reviewed the EU's implementation of the Convention and issued concluding observations. These have been particularly important as regards the Ombudsman's strategic work in 2016 on the UNCRPD because they indicate possible shortcomings in the EU administration.

[Twitter 17](#) We have to make sure that the United Nations Convention on the Rights of Persons with Disabilities does not remain a wish list but that it generates a genuine impact on the lives of all persons with disabilities in Europe.

[Twitter 18](#) We are all on the same page in avoiding problems with the use of European Structural and Investment Funds and institutionalisation, says Rosita Hickey from the office of the European Ombudsman, at European Day of Persons with Disabilities 2016.

In 2016, the Ombudsman inquired into a complaint by a hearing-impaired candidate who did not get additional time to sit selection tests in a European Personnel Selection Office (EPSO) competition. The Ombudsman carried out a stakeholder consultation which revealed that a number of Member States give additional time to students with hearing impairments when they sit written tests. She suggested that EPSO carefully reconsider whether, in future cases, it should allow extra time for candidates with a hearing impairment who request it for computer-based and written tests.

In May 2016, the Ombudsman launched an inquiry into whether the EU [Joint Sickness Insurance Scheme \(JSIS\)](#) complies with the UNCRPD. Full reimbursement of medical costs under the JSIS is provided upon recognition of a serious illness. For that recognition, the criterion of shortened life expectancy must be satisfied. The Ombudsman considered that this medical approach to disability may not be compliant with the UNCRPD and asked the Commission whether it intends to introduce separate criteria for the reimbursement by the JSIS of medical costs for persons with disabilities. This inquiry was still underway in 2017.

Furthermore, following two of the UNCRPD Committee's concluding observations, the Ombudsman pursued two strategic initiatives. She wrote to the President of the Commission on the [accessibility of websites and online tools that the Commission manages](#) and to then Vice-President Kristalina Georgieva to ask how [European Schools](#) are addressing issues raised by the UNCRPD Committee as regards implementation of the Convention. The Commission replied to both letters. It noted that it was creating a single web presence for all its services and that one of the underlying principles is to make the services as accessible to as many users as possible. With regard to European Schools, the Commission said it would support all systemic attempts to fulfil the UNCRPD recommendations and noted that the Special Education Needs policy of the European Schools is regularly assessed.

During 2016, the Ombudsman's office sought to make its own website more accessible and user-friendly. An [easy-to-read explanation of the Ombudsman's work and of how to lodge a complaint](#) is available online in the 24 EU official languages. Moreover, an external service provider is assessing the Ombudsman's website to determine ways of enhancing its accessibility for persons with disabilities.

6 European Network of Ombudsmen

Infographic 1

Complaints transferred to other institutions and bodies; complainants advised to contact other institutions and bodies by the European Ombudsman in 2016

A member of the European Network of Ombudsmen	470	57.5%
of which:		
A national or regional ombudsman or similar body	429	52.5%
The European Parliament's Committee on Petitions	41	5.0%
The European Commission	116	14.2%
Other institutions and bodies	407	49.8%

In 2016, the European Ombudsman, together with members of the European Network of Ombudsmen (ENO), undertook a reform of the Network. The ENO currently consists of 96 offices in 36 European countries. The European Parliament's Committee on Petitions is also a member of the Network.

One of the strategic changes within ENO is to increase focus on parallel inquiries and initiatives among interested ombudsman offices in areas of mutual interest, such as migration. In 2016, the Ombudsman and the Network conducted one parallel inquiry and launched one strategic initiative in which the Network took part. In April 2016, the Ombudsman launched an inquiry into a complaint concerning the Commission's role in evaluating Member State compliance with EU Regulation 1233/2011 on human rights and environmental protection, when funding **Export Credit Agencies** (ECAs). ECAs are public or private financial institutions that offer financing to domestic companies seeking to do business, mainly in uncertain and politically and commercially risky developing countries and emerging markets. Two of the six national ombudsmen (Poland and Spain) whose mandate covers ECAs responded to the Ombudsman's invitation to launch parallel inquiries.

The strategic initiative concerned the EU's [Asylum, Migration and Integration Fund](#) (AMIF). With a budget of EUR 3 billion, the Fund covers the period 2014-2020. The Ombudsman asked the Commission and the Network if all AMIF-related information was online. She also asked the Network if use of the money in the Member States was in line with fundamental rights. Thirteen members responded. The inquiry resulted in the European Commission following up with the Member States to ensure that all details of national AMIF programmes are published online.

Moreover, in 2016 the Ombudsman's earlier own-initiative inquiry concerning **Frontex** brought concrete results in that the Agency set up the complaints mechanism that the Ombudsman had recommended. In December, the Frontex Fundamental Rights Officer, representatives of the European Ombudsman, national ombudsmen and administrations and of the Fundamental Rights Agency met in Brussels to discuss Frontex' complaints mechanism.

6 European Network of Ombudsmen

In another example of thematic cooperation, the Ombudsman consulted the Network to find out more about how Member States regulate lobbying transparency and to determine the need for practical guidance for public officials in this area. The [responses](#) revealed a lack of specific provisions regulating lobbying, coupled with an absence of practical guidance for public officials, in most Member States. The Ombudsman then produced a draft of practical guidelines and sought feedback from Network members and the public. She aims to present a final version of the guidelines in 2017 in all the 24 EU official languages.



The European Network of Ombudsmen's annual conference in Brussels.

The main Network event in 2016 was the first annual conference, held in Brussels in June, and organised by the European Ombudsman. This conference brought the entire Network together and was open to non-members, such as Brussels-based umbrella groups and journalists. In total, 250 persons participated in this highly interactive event. It tackled the topical themes of responding to Europe's migration crisis, promoting lobbying transparency as a requirement of good administration, and challenges to the rule of law. On the heels of the conference was the production of [Network in Focus](#), an annual ENO publication on the key topics discussed at the event.

The conference tackled the topical themes of responding to Europe's migration crisis, promoting lobbying transparency as a requirement of good administration, and challenges to the rule of law.

[Google+4](#) European Ombudsman

[Publication] *Network in Focus*

We have published the first issue of *Network in Focus*, the annual newsletter of the **European Network of Ombudsmen (ENO)**. Main themes include:

- Europe's response to the refugee crisis

6 European Network of Ombudsmen

- Lobbying transparency as means to promote good administration
- The rule of law in the EU

You can download the full publication here in ES, DE, EN, FR or IT:
<https://www.ombudsman.europa.eu/en/activities/network-publications.faces>

At the end of November 2016, the Ombudsman travelled to Madrid to meet with the Spanish Ombudsman, Soledad Becerril Bustamante, and her team and with the Spanish Transparency Council, civil society organisations, business representatives, diplomats, journalists and others. While complaint numbers from Spain are traditionally high, the aim of the visit was to further raise awareness in Spain about what the European Ombudsman can concretely do for Spanish citizens and businesses.

[Twitter 19](#) Erosion of the EU's founding values in several Member States is a great cause for concern.

Since reorganisation of the Network, the Ombudsman has recorded more queries from ENO members seeking assistance in the interpretation of complex EU law-related issues. With the query procedure being swifter, the Ombudsman dealt with eight queries in 2016. The issues raised included the reimbursement of certain cross-border medical expenses and payments under European agricultural development funds.

6 European Network of Ombudsmen



The European Ombudsman in an interview with the Spanish TV channel TVE in Madrid.

In 2016, the Network was given the status of ex officio member of the Consultative Forum of the European Asylum Support Office (EASO), and the Greek Ombudsman represented the Network in the Forum's deliberations in November in Athens. The most prominent initiatives that ENO is likely to be working on in the years ahead are: participation in EASO's Consultative Forum; providing expertise on asylum procedures to the European Parliament in its adoption of a new Common European Asylum System; and setting up a common platform on how to deal with 'Brexit complaints' from EU citizens living in the UK and vice versa. The Network is also to be involved in setting up EASO's forthcoming complaints mechanism.

[Twitter 20](#) The European Ombudsman, Emily O'Reilly, in Madrid.

The European Ombudsman, Emily O'Reilly, discusses cooperation in the European Network of Ombudsmen with her Spanish colleague, Soledad Becerril Bustamante.

7 Day-to-day case-handling



The European Ombudsman exchanging views with the European Parliament's Legal Affairs Committee.

The European Ombudsman is there to assist citizens, companies, associations, NGOs, and other organisations, and it should be as straightforward as possible for them to access the Ombudsman and seek this assistance. The Ombudsman updated her **case-handling procedures** in 2016, following extensive internal and external consultations. This is part of the strategy to make inquiries more effective and have a greater impact on a greater number of citizens.

The Ombudsman also puts emphasis on conducting inquiries that are in the public interest. She conducts wider strategic inquiries when she considers that there are grounds to do so, although the main part of her work remains complaint-based cases.

The new Ombudsman's [implementing provisions](#) make the procedure for those seeking help more efficient and effective. By introducing a more flexible approach to handling complaints, the new procedure aims to ensure a more common sense and results-oriented approach to inquiries.

8 Type and source of complaints

The European Ombudsman has been improving her working methods to make them more efficient and have a greater impact on a greater number of citizens. To this end, in 2016, she introduced a new streamlined procedure for handling cases, with greater flexibility and a more pragmatic approach to inquiries. In addition, as in the past, complaint-based cases with similar content may be dealt with collectively as strategic inquiries. An example of this approach is the inquiry into the role of the special advisers that the European Commission uses. This proactive strategic approach almost certainly pre-empted other individual complaints.

8.1 Overview of complaints and strategic inquiries

Infographic 2

15 797	Citizens helped by the European Ombudsman in 2016
12 646	Advice given through the Interactive Guide on the Ombudsman's website
1 880	Complaints handled in 2016
1 271	Requests for information replied to by the Ombudsman
245	Inquiries opened by the European Ombudsman in 2016
235	Inquiries opened on the basis of complaints
10	Own-initiative inquiries opened
291	Inquiries closed by the European Ombudsman in 2016
278	Complaint-based inquiries closed
13	Own-initiative inquiries closed

Infographic 3

	Strategic work in 2016
4	Strategic inquiries opened in 2016 e.g. Commission practices to prevent possible conflicts of interest of special advisers; delays in chemical testing; Commission's handling of infringement complaints under the EU pilot scheme
5	Strategic inquiries closed in 2016 e.g. Trilogues transparency; access to clinical study reports related to the medicinal product Humira (EMA); EPSO's procedures for dealing with requests for review; timeliness of payments by the Commission
10	Strategic initiatives opened in 2016 (requests for clarification, not formal inquiries) e.g. Revolving door move by former Commission President; Eurogroup transparency; EIB transparency and conflict of interest prevention; transparency of the ECB's Supervisory Review and Evaluation Process; accessibility of Commission websites for persons with disabilities

Infographic 4

National origin of complaints registered and inquiries opened by the European Ombudsman in 2016

Country	Number of complaints	Number of inquiries opened
Luxembourg	27	8
Malta	14	1
Cyprus	12	1
Slovenia	23	2

8 Type and source of complaints

Ireland	52	8
Belgium	150	50
Bulgaria	62	9
Greece	52	8
Portugal	52	3
Croatia	18	1
Spain	308	28
Finland	26	3
Latvia	9	1
Poland	163	5
Austria	22	3
Lithuania	10	2
Hungary	43	3
Czech Republic	33	9
Romania	48	9
Denmark	17	4
Slovakia	23	3
Germany	141	25
Netherlands	47	5
Sweden	20	1
Italy	101	29
United Kingdom	145	17
Estonia	12	3
France	93	17
Other countries	109	4
Not known	7	0

Infographic 5

Number of complaints inside the mandate of the European Ombudsman 2003-2016

2003	603
2004	930
2005	811

8 Type and source of complaints

2006	849
2007	870
2008	802
2009	727
2010	744
2011	698
2012	740
2013	750
2014	736
2015	707
2016	711

8.2 Complaints outside the Ombudsman's mandate

The European Ombudsman receives many complaints on issues that do not fall within her mandate, mostly because they do not concern the work of an EU institution or body. Complaints that involve EU institutions but concern purely political issues, such as legislation, or the judicial activity of the Court, also do not fall within the Ombudsman's mandate.

Since these complaints are not the core work of the Ombudsman, the office records only limited information about them. They are primarily against national public bodies, national or international courts, and a range of private entities. Sometimes complaints are based on the misconception that the Ombudsman is an appeals body over national ombudsmen. The complaints cover a broad range of areas. Recurrent themes are consumer protection, taxation, social security and healthcare, and, in recent years, issues related to banks.

The office handles the complaints with great care, giving advice when possible, or transferring them to other bodies that may be able to help. For complaints expressing discontent with EU legislation, the Ombudsman usually advises the complainant to turn to the European Parliament. For complex implementation issues, complainants are advised to turn to the European Commission or EU networks such as SOLVIT or Your Europe Advice. The complainant can also be referred to a national ombudsman. Examples in 2016 included referrals to the Portuguese Ombudsman in relation to the application of EU legislation on noise pollution, to the Belgian Federal Ombudsman on pension issues, and to the Polish and Romanian Ombudsmen on issues related to prison conditions.

The office handles out-of-mandate complaints with great care, giving advice when possible, or transferring them to other bodies that may be able to help.

The office tries to reduce the number of cases that are outside the Ombudsman's remit. This is to avoid citizens being disappointed because they cannot be directly helped by the Ombudsman. In 2016, the number dropped to a record low of 1 169 (1 239 in the previous year),

8 Type and source of complaints

a result that was largely achieved through effective communication about the office's work and the Interactive Guide on its website.

Infographic 6

Number of complaints outside the mandate of the European Ombudsman 2003-2016

2003	1 768
2004	2 729
2005	2 673
2006	2 768
2007	2 401
2008	2 544
2009	2 392
2010	1 983
2011	1 846
2012	1 720
2013	1 665
2014	1 427
2015	1 239
2016	1 169

9 Against whom?

Infographic 7

Inquiries conducted by the European Ombudsman in 2016 concerned the following institutions

144	European Commission	58.8%
32	EU agencies	12.3%
16	European Parliament	6.5%
14	European Personnel Selection Office	5.7%
11	European External Action Service	4.5%
2	European Anti-Fraud Office	0.8%
26	Other	11.4%

10 About what?

Infographic 8

Subject matter of inquiries closed by the European Ombudsman in 2016

Transparency (e.g., access to information and documents)	86	29.6%
Good management of EU personnel issues (including conflicts of interest and recruitment)	82	28.2%
Culture of service (e.g., citizen-friendliness, languages and timeliness)	73	25.1%
Proper use of discretion (including in infringement procedures)	54	18.6%
Sound financial management (e.g., concerning EU tenders, grants and contracts)	42	14.5%
Respect for procedural rights (e.g., the right to be heard)	14	4.8%
Respect for fundamental rights	13	4.5%

Note: In some cases, the Ombudsman closed inquiries with two or more subject matters. The above percentages therefore total more than 100%.

11 Results achieved

Infographic 9

Action taken by the European Ombudsman on complaints received in 2016

816	Advice given or case transferred to another complaints body	43.4%
788	Reply sent to inform the complainant that no further advice could be given	41.9%
235	Inquiry opened	12.5%
41	Decision on Admissibility	2.2%

Infographic 10

Results of inquiries closed by the European Ombudsman in 2016

Settled by the institution or solution agreed	148	50.9%
No maladministration found	89	30.6%
No further inquiries justified	52	17.9%
Maladministration found	20	6.9%
Other	8	2.7%

Note: In some cases, the Ombudsman closed inquiries on two or more grounds. The above percentages therefore total more than 100%.

Infographic 11

Inquiries where maladministration was found by the European Ombudsman in 2016

Critical remarks addressed to the institution	9	45%
Recommendations fully or partly accepted by the institution	11	55%

Infographic 12

Evolution in the number of inquiries by the European Ombudsman

Year	Inquiries opened	Inquiries closed
2003	253	180
2004	351	251
2005	343	312
2006	267	250
2007	309	351
2008	296	355
2009	339	318
2010	335	326
2011	396	318
2012	465	390
2013	350	461

11 Results achieved

2014	342	400
2015	261	277
2016	245	291

Infographic 13

Length of inquiry of cases closed by the European Ombudsman in 2016 (10 months on average)

24%	Cases closed within 3 months
46%	Cases closed within 3 to 12 months
10%	Cases closed within 12 to 18 months
20%	Cases closed after more than 18 months ¹

¹ Some complex cases require several rounds of consultations with the complainant and the institution concerned: the new implementing provisions are expected to reduce the length of inquiries.

12 Compliance with the Ombudsman's proposals

Infographic 14

Compliance with the European Ombudsman's proposals in 2015

83%	Compliance
17%	non-compliance

For the last five years, the Ombudsman has been publishing a yearly comprehensive account of how EU institutions respond to the Ombudsman's proposals to improve EU administration. These proposals take the form of solutions, recommendations, and critical and further remarks. The compliance rate is key to measuring the impact and relevance of the Ombudsman's work.

The report [putting it Right? – How the EU institutions responded to the Ombudsman in 2015](#) reveals that the EU institutions complied with the Ombudsman's proposals **at a rate of 83%, the second highest to date**. Of the 18 institutions examined, 12 scored 100% while the Commission – which accounts for the largest portion of inquiries that the Ombudsman conducts – scored 82%. As the report shows, the rate of compliance can vary significantly from one institution to another – from 100% in some cases, to 33% in the worst case. The European Parliament, Frontex and the European Chemicals Agency (ECHA), for instance, complied at the rate of 100%.

The report for 2016 will be available at the end of 2017.

13 Resources

13.1 Budget

The Ombudsman's budget is an independent section of the EU budget. It is divided into three titles. Title 1 covers salaries, allowances, and other expenditure related to staff. Title 2 covers buildings, furniture, equipment, and miscellaneous operating expenditure. Title 3 contains the expenditure resulting from general functions that the institution carries out. In 2016, budgeted appropriations amounted to EUR 10 658 951.

With a view to ensuring effective management of resources, the Ombudsman's internal auditor regularly checks the institution's internal control systems and the financial operations that the office carries out. As is the case with other EU institutions, the European Court of Auditors also audits the Ombudsman institution.

13.2 Use of resources

Every year, the Ombudsman adopts an [Annual Management Plan](#) (AMP), which identifies concrete actions that the office needs to take in order to implement the institution's objectives and priorities. The AMP for 2016 is the second to be based on the Strategy of the European Ombudsman – "[Towards 2019](#)".

The institution has a highly qualified, multilingual staff. This ensures that it can deal with complaints about maladministration in the 24 official EU languages and raise awareness about the Ombudsman's work. In 2016, the Ombudsman had a staff of 75.

A full and regularly updated staff list, including detailed information on the structure of the Ombudsman's office and the tasks of each section, is available on the [Ombudsman's website](#).



The European Ombudsman's staff.



Putting it Right?

Report

How the EU institutions responded
to the Ombudsman in 2015

December 2016

EN



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Foreword

As European Ombudsman, I am often asked "To what extent do the EU institutions listen to you?" This report seeks to give a statistical answer to that question by looking at the compliance of the institutions with the Ombudsman's decisions. There was an 83% compliance rate in 2015, the second highest to date. So, while down from the excellent 90% result we achieved in 2014, I am still pleased to note that in over four out of every five cases, the EU institutions act on what the Ombudsman asks of them.

Specifically, in the 130 instances in which the Ombudsman made proposals in cases closed in 2015, the institutions gave 108 positive replies. A further 135 cases were settled by the institutions. 12 out of the 18 institutions examined scored 100% while the Commission – which accounts for most cases before the Ombudsman – scored 82%.

I am particularly pleased with the institutions' responses in the strategic inquiries we conducted. 43 out of the 45 suggestions addressed to the institutions in the context of these strategic inquiries were accepted in areas ranging from the Transatlantic Trade and Investment Partnership ("TTIP") negotiations to the European Citizens' Initiative procedure, and from Frontex joint return operations to the EU's cohesion policy. More generally, the annex to this report contains many examples of cases where the Ombudsman has persuaded the EU administration to better its performance and provides an overview of the range of public service improvements that have resulted. These include the decision of the Executive Agency for Small and Medium-Sized Enterprises to establish admissibility and evaluation review procedures in the award of grants, the Commission's development of new communication tools to increase public participation in its decision-making and improved whistleblowing procedures within the European External Action Service's civilian missions.

The decrease in compliance from 2014 to 2015 is, however, clearly regrettable. At a time of multiple crises within the EU, every refusal to comply with a finding by the Ombudsman can be seen as a missed opportunity to address a genuine citizen grievance or administrative shortcoming. I will continue to work with the EU institutions to deliver the highest possible standard of service that the public is entitled to expect of us.

Emily O'Reilly
16 December 2016



Report

1. Introduction

This report describes the extent to which the EU institutions¹ responded constructively to proposals made by the European Ombudsman in 2015. These proposals come in the form of solutions, recommendations, critical remarks and further remarks.

Sections 3, 4 and 5 below explain what Ombudsman solutions, recommendations, critical and further remarks entail. The Ombudsman's new 'Implementing Provisions', which entered into force on 1 September 2016, affect to a certain extent the use we make of these terms. Even though the inquiries covered in this report were conducted under the previous IPs, we explain the changes, where relevant, below.

2. The Ombudsman's powers and procedures

The Ombudsman helps individuals, companies and associations who have a problem with an EU institution². At the same time, she serves the public interest by helping the institutions to improve the quality of the service they provide. As well as investigating complaints, the Ombudsman can also open inquiries on her own initiative.

The Ombudsman can require the institution concerned to provide information, inspect its files and take testimony from officials. These powers are contained in the Statute of the Ombudsman³ ('the Statute'). When she thinks it appropriate to do so in a specific case, the Ombudsman calls on the institution to revise its position, provide redress or make general changes for the future. If the institution refuses to cooperate, she can draw political attention to a case by making a special report to the European Parliament.

3. Solutions

If the Ombudsman considers that a complaint can be resolved, she seeks a solution with the institution concerned, based on Article 3(5) of the Statute⁴. One of the purposes of the changes introduced in 2016 to the Ombudsman's Implementing Provisions was to make it easier and quicker to find solutions that eliminate maladministration.

¹ For brevity, this report uses the term "*institution*" to refer to all the EU Institutions, bodies, offices, and agencies.

² Article 228 of the Treaty on the Functioning of the European Union empowers the Ombudsman to inquire into maladministration in the activities of the Union institutions, with the exception of the Court of Justice of the European Union acting in its judicial role.

³ European Parliament Decision 2008/587 of 18 June 2008, amending Decision 94/262 on the regulations and general conditions governing the performance of the Ombudsman's duties, OJ 2008 L 189, p. 25.

⁴ Article 3(5) of the Statute provides that "*As far as possible, the Ombudsman shall seek a solution with the institution or body concerned to eliminate the instance of maladministration and satisfy the complaint.*"



4. Recommendations

If the Ombudsman makes a finding of maladministration, she issues what Article 3(6) of the Statute terms a '**draft recommendation**'. Recommendations addressed to the institutions are, simultaneously, published on the Ombudsman's website. The Ombudsman's new IPs require recommendations to be used to deal with all findings of maladministration before an inquiry is closed.

5. Critical remarks and further remarks

In the past, an institution's rejection of a solution proposal or recommendation led to a number of possible outcomes, including closing the case with a 'critical remark'. A critical remark informed the institution of what it had done wrong in the specific case. The remark identified the rule or principle that was breached and (unless it was obvious) explained how the institution should have acted in the context of the case. The institution reported back within six months, if so requested by the Ombudsman. In 63% of cases where maladministration was found in 2015, the case was closed with a critical remark.

A 'further remark' aimed to serve the public interest by helping the institution concerned to raise the quality of its administration in the future. Unlike a recommendation or a critical remark, a further remark was not premised on a finding of maladministration and did not imply censure of the institution to which it was addressed.

The new Implementing Provisions replace the concept of critical remarks with the concept of "findings of maladministration" and replace the concept of further remarks with the concept of "suggestions for improvement".

6. Solution proposals and recommendations accepted in 2015

In 2015, the EU institutions accepted a total of 15 solution proposals, while 14 recommendations were accepted. Three recommendations were rejected by the Commission, although it provided a positive follow-up to the subsequent critical remarks in all three cases.

Table 1 - Solutions and recommendations accepted by institution in 2015

Institution	Solutions Accepted	Recommendations accepted
European Parliament		3
European Commission	5	7
European External Action Service (EEAS)	1	
European Economic and Social Committee (EESC)	1	
Committee of the Regions	1	



European Personnel Selection Office (EPSO)	1	
European Aviation Safety Agency (EASA)	2	1
European Chemicals Agency (ECHA)	2	1
European Food Safety Authority (EFSA)	1	
Education, Audiovisual, and Culture Executive Agency (EACEA)	1	
Executive Agency for Small and Medium-sized Enterprises (EASME)		2
Total	15	14

The annex to this report summarises the cases in which a solution proposal or a recommendation was accepted. One of these cases warrants special mention as a "*star case*", which should serve as a model for other institutions of how best to react to the Ombudsman's proposals.

7. Follow-up to critical remarks and further remarks made in 2015

In 2015, 22 critical remarks were made in 19 decisions, while 76 further remarks were made in 30 decisions.⁵ A single decision may contain more than one remark, and both kinds of remark may be included in the same decision.

Table 2 - Critical and further remarks made in 2015 by institution

Institution	Critical remarks	Further remarks
European Commission	17	52
European Court of Auditors (ECA)	0	1
European External Action Service (EEAS)	0	1
European Economic and Social Committee (EESC)	1	0
European Investment Bank (EIB)	2	0
European Personnel Selection Office (EPSO)	0	2
European Anti-Fraud Office (OLAF)	0	2
European Aviation Safety Agency (EASA)	1	2
European Banking Authority (EBA)	0	1
European Food Safety Authority (EFSA)	1	1
European Institute for Gender Equality (EIGE)	0	3
Europol	0	1
Frontex	0	8
Executive Agency for Small and Medium-sized Enterprises (EASME)	0	2
Total	22	76

⁵ For the purposes of this report, the guidelines for improvement, proposals and suggestions addressed to the institutions in the Ombudsman's decisions closing her own-initiative inquiries OI/9/2013/TN, OI/7/2014/NF, OI/8/2014/AN, OI/9/2014/MHZ and OI/10/2014/RA are dealt with as further remarks.



The institutions were invited to respond to the remarks within a period of six months. With one exception⁶, responses were received to all the remarks made in 2015, although with a delay in some cases.

Taking critical and further remarks together, the rate of satisfactory follow-up was 81%, down from 2014's record high of 94%. The follow-up to further remarks was satisfactory in 92% of cases, whilst the rate of satisfactory follow-up of critical remarks was 41%, a record low. The highest figures recorded to date have been 100% in 2008, as regards positive follow-up to further remarks, and 88% in 2014 as regards positive follow-up to critical remarks.

A review of the institutions' responses to critical remarks suggests that, even after an inquiry has ended, some continue to contest the Ombudsman's findings and to reiterate the arguments they have put forward during the inquiry. While it is in some way possible to understand that, having faced public criticism by the Ombudsman, an institution finds it hard to follow-up constructively, it is important that institutions are willing to learn lessons from Ombudsman inquiries and seek to reduce the risk of similar problems arising in future.

Table 3 - Satisfactory replies to remarks made in 2015 by institution

Institution	Critical and further remarks	Satisfactory replies	% of satisfactory replies
European Commission	69	57	83%
European Court of Auditors (ECA)	1	1	100%
European External Action Service (EEAS)	1	1	100%
European Economic and Social Committee (EESC)	1	0	0%
European Investment Bank (EIB)	2	1	50%
European Personnel Selection Office (EPSO)	2	2	100%
European Anti-Fraud Office (OLAF)	2	1	50%
European Aviation Safety Agency (EASA)	3	1	33%
European Banking Authority (EBA)	1	1	100%
European Food Safety Authority (EFSA)	2	0	0%
European Institute for Gender Equality (EIGE)	3	3	100%
Europol	1	1	100%
Frontex	8	8	100%
Executive Agency for Small and Medium-sized Enterprises (EASME)	2	2	100%
Total	98	79	81%

The annex to this report includes a detailed analysis of each of the cases in which one or more critical remarks and/or further remarks were made. Four of the follow-ups warrant special mention as "*star cases*".

⁶ When this report was drafted, the Commission had not yet sent its additional follow-up reply to the Ombudsman's further remark in case 1832/2014/TN. The case is therefore not included in this report.



8. Rate of overall compliance by institution

The overall figure in terms of compliance with the Ombudsman's proposals in 2015 is 83%. The rate of compliance is based on the number of positive replies to the solution proposals, recommendations, critical and further remarks made in cases closed in 2015. Out of the 130 instances, the institutions provided 108 positive replies⁷. The institutions settled a further 135 inquiries opened by the Ombudsman.

As is clear from Table 4 below, the compliance rate varies significantly from one institution to another – from 100% in many cases to 33% in the worst instance. While these statistics are often based on very few cases, any result lower than 100% means the institution failed to comply with a proposal made by the Ombudsman.

Table 4 - Rate of overall compliance by institution in 2015

Institution	Remarks and recommendations	Satisfactory replies	% of satisfactory replies
European Parliament	3	3	100%
European Commission	84	69	82%
European Court of Auditors (ECA)	1	1	100%
European External Action Service (EEAS)	2	2	100%
European Economic and Social Committee (EESC)	2	1	50%
Committee of the Regions	1	1	100%
European Investment Bank (EIB)	2	1	50%
European Personnel Selection Office (EPSO)	3	3	100%
European Anti-Fraud Office (OLAF)	2	1	50%
European Aviation Safety Agency (EASA)	6	4	67%
European Banking Authority (EBA)	1	1	100%
European Chemicals Agency (ECHA)	3	3	100%
European Food Safety Authority (EFSA)	3	1	33%
European Institute for Gender Equality (EIGE)	3	3	100%
Europol	1	1	100%
Frontex	8	8	100%
Education, Audiovisual, and Culture Executive Agency (EACEA)	1	1	100%
Executive Agency for Small and Medium-sized Enterprises (EASME)	4	4	100%
Total	130	108	83%

⁷ In three cases, the institutions rejected a solution proposal but accepted a subsequent recommendation or critical remark. In order to avoid double counting, the figure of 130 includes only the recommendations/remarks in those cases and not the solution proposals. In seven further cases, the institution rejected either a solution proposal or a recommendation and subsequently failed to follow up satisfactorily to the critical remark. Again, to avoid double counting, only the negative follow-up to the critical remark is included in the above statistics.



9. Conclusion

In the conclusion to last year's report, we announced a number of changes to the use of the term "solutions" and "further remarks". These changes were largely superseded by the Ombudsman's more thorough review of the Implementing Provisions that entered into force on 1 September 2016. The introduction of the new Implementing Provisions means that next year's report will include cases under both the old and the new procedures.

We hope next year to be able to report an even better response to the question "To what extent do the EU institutions listen to the Ombudsman?" We trust that the EU administration will continue to engage constructively to ensure that the figure is as high as possible.



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