



Annual Management Plan Year 2018

**Strasbourg
20 December 2017**

EN



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1. Introduction

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

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

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

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

The Annual Management Plan for 2018 (AMP 2018) is the fourth to be based on the [strategy Towards 2019](#), adopted by the Ombudsman in November 2014 and reviewed in September 2017.

The AMP 2018 is based on an overall budget of EUR 10 837 545 and 65 posts.

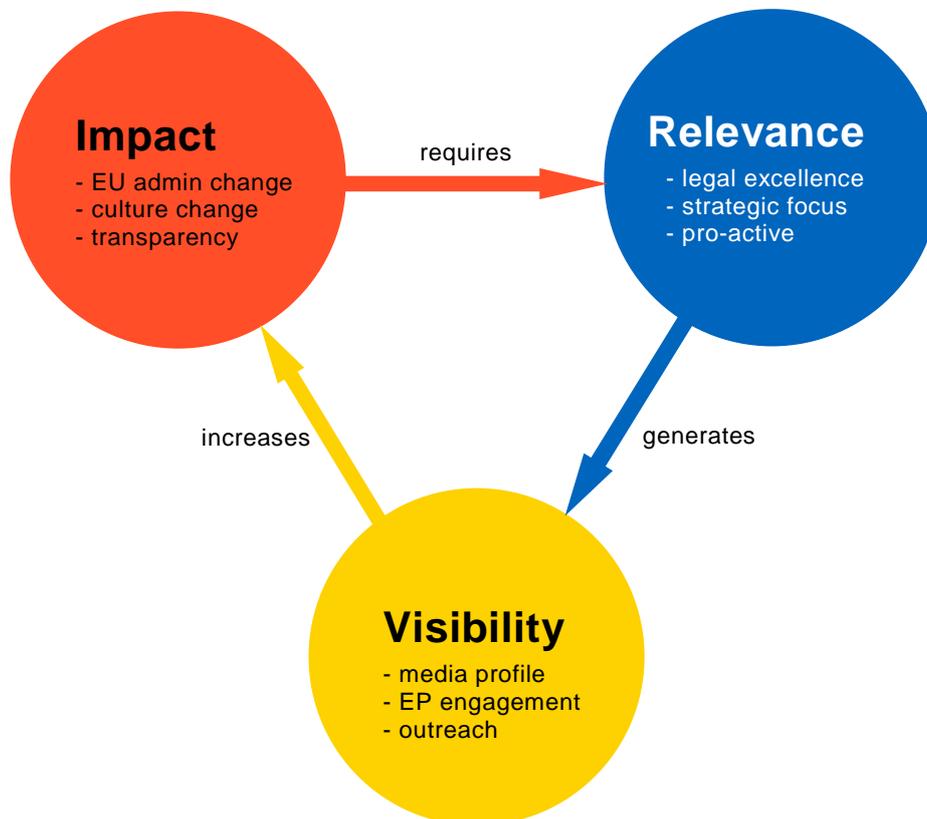


2. Multi-Annual perspective

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

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

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



For each of the four objectives, Impact, Relevance, Visibility and Efficiency, the strategy document identifies a number of priorities. The AMP 2018 sets out concrete actions with a view to achieving the objectives and priorities of the strategy.



3. The organisation of the office

The Ombudsman's organisational structure consists of the Ombudsman's private office (Cabinet), the Secretariat-General and eight Units.

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

The **Secretary-General** is responsible for the overall management of the office and for ensuring co-ordination and implementation of the Ombudsman's strategy. 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 inquiries in the public interest**. It ensures that such 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 on key issues like transparency and public access to documents. This includes ensuring effective implementation of the new Fast-Track procedure for dealing with public access cases.

Inquiries Unit 5 (PMIU5) is also the **Process Management Unit**. In addition to dealing with inquiries, it deals with complaints that are outside the Ombudsman's mandate. It is in charge of the functional management of the office's case management system and its general records management system and the related implementation of the office's records management and archiving rules. It is the lead service for dealing with applications for public access to documents



and requests for information. It coordinates the office's Knowledge Management Network for case handlers.

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. Its HR sector deals with the drafting of HR policies, recruitment, management of individual rights, internal communication and training, buildings, office space and equipment and co-ordinates translation requests. Its Budget sector coordinates the preparation of the budget estimates and ensures that available resources are used economically and efficiently and in compliance with the applicable financial rules. The Unit also establishes and implements the appropriate internal control mechanisms and prepares information for the various budgetary control authorities.



4. Actions for 2018

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

The tables below list the actions to be taken in 2018 under the relevant strategy objective. They identify (i) the strategy priorities¹ addressed, (ii) where appropriate, the key performance indicators(s) (KPI(s)) that will measure the results against targets, as outlined in section 5 below, and (iii) the owner and others involved in carrying out the relevant actions.

The Communication Unit, where necessary with input from IU1, will produce a separate detailed activity plan that will cover all communication and outreach activities requiring significant financial or human resources.

This section also includes information on planned actions to improve or develop the internal control standards that will be prioritised in 2018.

Actions under objective 1 - ensure relevance

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

Priorities:

1. Strengthen our role as an acknowledged, trusted and independent authority on issues relevant to the Ombudsman's mandate, providing leadership on transparency, accountability and integrity.
2. Engage with, and learn from, our stakeholders, including relevant influencers such as academics.
3. Increase our awareness of the changing dynamics of the European Union and the political, social, economic and legal context in which we operate, where appropriate, to publicly engage in, and contribute to, relevant debates and policy developments.
4. Cooperate with the European Network of Ombudsmen, other Member States' bodies and international networks and organisations to identify and promote the highest standards and best practices, for example in relation to human/fundamental rights and governance issues.
5. Contribute to developing, promoting and defending the concept of EU citizenship and the rights attached to it.

Action	Priorities addressed	KPI	Project Owner	Others directly involved	Support
1. Finalise the OECD survey on open governance in ombudsman offices and present findings at an EO event.	1.4	5,6	COMM	PAB	
2. Gather information on the competences of national ombudsmen to facilitate the planning and organisation of targeted events and joint actions.	1.1 1.2 1.4	3	IU1		

¹ Some of the priorities were reformulated in the framework of the Strategy review that took place in September 2017.



3. Develop practical suggestions on priority areas such as declarations of interest and harassment prevention.	1.1			
	1.2	1,4		
	2.1	5,6a	SIU	COMM
	2.5			
4. Develop evaluation tools and/or methods to measure the impact of our work.	1.2	1,3		
	2.4	4,5	SIU	PMIU5
5. Continue the audit and evaluation of case handling to ensure relevance and efficiency.	1.1			
	4.3	1,3		
	4.5	4,5	SG	PMIU5 IUs

Actions under objective 2 - achieve greater impact

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

Priorities:

2.1 In line with our integrated approach, continue proactively to identify areas of key strategic importance and to target appropriate resources on the investigation of systemic problems.

2.2 Optimise inquiry processes to deal with complaints of key strategic importance promptly and effectively. This is particularly important where the successful outcome of an inquiry is time-sensitive.

2.3 Use the full scope of the Ombudsman's powers to achieve positive outcomes from complaint handling and inquiry processes.

2.4 Continue to develop a more systematic and thorough follow-up of the outcomes of the Ombudsman's recommendations and suggestions to maximise compliance.

2.5 Strengthen and leverage broader co-operation and dialogue with the EU institutions and other stakeholders to ensure the continuous improvement of administrative practice.

Action	Priorities addressed	KPI	Project Owner	Others directly involved	Support
6. Launch the 2019 Award for Good Administration.	2.4	1,4			
	2.5	5,6	COMM		IU1
7. Launch and consolidate the Fast-Track procedure for access to documents cases.	2.2	1,4 5,7	IU2/SG	IUs	
8. Agree on, and start, actions related to EU open data and public register measures.	2.5		PMIU5		IU1
9. Maintain and expand contacts with bodies at EU and national level concerning ethics, transparency and public integrity.	2.1				
	2.5	1,4	SIU	COMM SG/PAB	
	1.5				



Actions under objective 3 - maintain high visibility

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

Priorities

3.1 Ensure our communications are delivered with maximum clarity.

3.2 Continue to develop and use our online tools and channels and ensure maximum adaptability in a dynamic online environment.

3.3 Strategically engage with the European Parliament and its committees on the broad range of issues of mutual concern, while being conscious always of our independence.

3.4 Co-operate with the European Network of Ombudsmen and other relevant umbrella organisations in informing citizens of their rights and of the Ombudsman's work.

3.5 Ensure that the Ombudsman is represented appropriately at key events and conferences, and encourage office representatives to identify and pursue networking and outreach opportunities

Action	Priorities addressed	KPI	Project Owner	Others directly involved	Support
10. Finalise the development of, and launch, the new EO website.	3.2	6	IU1 COMM		
11. Finalise the video on the EO's work.	3.1 3.2	6	COMM		IU1
12. Organise an event for ENO communicators in Brussels to exchange best practices and discuss new ways of raising awareness of ombudsmen and their work.	3.1 3.2 3.4	6	COMM		IU1
13. Overhaul the ENO Extranet to meet users' needs and to make it a modern interactive tool for ENO cooperation.	3.4	6	COMM	IU1	IU1
14. Organise workshops with heads of legal departments or equivalent of national ombudsmen on the application of EU law in the context of ENO initiatives.	3.4 3.5	3	IU1		
15. Develop social media guidelines, in cooperation with other EU institutions, and exchange best practices to deal with the challenges EU institutions are facing in terms of the increasing use of, and exposure to, social media.	3.5	6	COMM		IU1
16. Modernise the format and layout of press releases, newsletters and invitations: (i) Create easy to use templates that are visually clear and attractive on different platforms; (ii) Move to electronic newsletters (e.g. for ENO); and (iii) Set-up an online mailing system.	3.1 3.2 3.4	1,6	COMM IU1		



Actions under objective 4 - improve our efficiency

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

Priorities

4.1 Ensure the Ombudsman's budgetary resources are aligned with the strategy.

4.2 Maximise the effectiveness and efficiency of our processes and units, including IT systems. Where appropriate, consider adopting 'corporate' solutions of larger scale EU administrations.

4.3 Prioritise and resolve complaints as rapidly and efficiently as possible by using smart, flexible, tailored and robust working practices.

4.4 Encourage an internal culture of transparency, ethics, innovation and service to citizens.

4.5 Further develop the Office as an attractive, dynamic and important place to work for motivated, talented and ambitious people, by ensuring that our human resources framework and policies are fully implemented and updated as necessary.

Action	Priorities addressed	KPI	Project Owner	Others directly involved	Support
17. Implement actions agreed by the internal knowledge management network: (i) Create a dedicated knowledge management site for case handling in CMSEO; (ii) Publish interview reports on key inquiries once closed; and (iii) Transfer critical content from SISTEO-LOIS to the new knowledge management site.	4.2		PMIU5	IUs	
18. Introduce Outlook and website integration into the complaint management system CMSEO.	4.2		PMIU5/IU1		
19. Put in place relevant planning and effective monitoring tools to improve budgetary implementation and to ensure that budgetary requirements are anticipated.	4.1 4.2	8	PAB		
20. Assess the benefits of delegating the management of individual entitlements to PMO.	4.1 4.2		PAB		IU1
21. Implement a new information architecture for the Ombudsman's Intranet (SISTEO).	4.2 4.3 4.5		IU1/PAB		
22. Implement a corporate tool for the administration of missions (MIPS).	4.2		PAB		IU1
23. Develop a database and workflow for the management of training activities.	4.5		IU1	PAB	



24. Continue implementing the 2017 Human Resources Policy Framework by adopting:			
(i) new rules on the recruitment of temporary agents; (ii) a decision on part-time work and credit hours; (iii) a diversity policy (anti-discrimination & equal treatment policy); and (iv) a building policy.	4.5	PAB	SG/Staff Committee
25. Identify opportunities for staff to take part in the job placement, study visit and staff exchange programme.	4.4 4.5	PAB	All Units
26. Further improve our recruitment procedures:			
(i) Reflect and agree on types of profiles sought; (ii) Identify ways and channels to attract talent; (iii) Participate in the European Commission's Career Day; and (iv) Streamline the selection process.	4.2	PAB	All Units
27. Implement the migration of all end users to Windows 10.	4.2 4.5	IU1	All Units
28. Prepare an action plan on measures to be taken to implement the new data protection regulation applicable to the EU institutions and ensure follow-up as necessary.	4.2 4.4	DPO/SG	All Units
29. Assign responsibility for Legal Advice for matters outside the inquiries-handling processes to an Inquiry Unit.	4.2 4.4 1.1 1.3	SG/IU3	



Actions to reinforce our internal control standards

Internal control standard (ICS)	Effectiveness requirement/criteria	Planned actions to improve or develop controls	Owner(s)	Support
ICS 2 - Ethical and organisational values	The EO decision on the prevention of harassment requires follow-up actions and awareness raising.	Take actions to implement the harassment prevention decision including designation of ethics officers and awareness raising.	PAB/SG	
ICS 4 - Staff appraisal and development	Based on the conclusions of the working group on the appraisal process, the EO has adopted revised rules on the appraisal process and decided to adopt the appraisal tool available in SYSPER.	Ensure timely and effective implementation of the EO decision and a smooth transition to the new appraisal process.	PAB/SG	IU1
ICS 7 - Operational structure	There are currently only two authorising officers by delegation. This can occasionally lead to inconveniences and delays.	Designate and train another administrator to whom the EO can delegate the role of authorising officer.	PAB/SG	
ICS 8 - Processes and procedures	A new Fast-Track procedure for dealing with access to documents cases will be launched in 2018 following a trial period in the last quarter of 2017.	Monitor and evaluate the effectiveness of the Fast-Track procedure for dealing with public access cases.	SG/IU2	PMIU5/IUs
ICS 9 - Management supervision	In the course of 2018, the Head of the PAB Unit will have occupied a sensitive post for 5 years. It seems useful therefore to put in place additional control measures in financial matters.	Assign additional control tasks to the Head of the Finance Sector, in particular in procurement procedures.	SG/PAB	



5. Measuring and reporting on our performance

Progress in achieving our objectives is measured using Key Performance Indicators (KPIs). They are set out below, together with targets for 2018.

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

Key Performance Indicators, measurement and targets for 2018

	Strategy objective	Measurement	Targets for 2018
KPI 1	Relevance	Perception of our external stakeholders (rate of positive evaluation)	70%
KPI 2	Relevance	Percentage of complaints within the mandate	33%
KPI 3	Impact	Number of inquiries opened in public interest cases (complaints & strategic inquiries & strategic initiatives)	50
KPI 4	Impact	Compliance (composite indicator) 4a - Overall compliance 4b- Compliance in public interest cases	90% 90%
KPI 5	Visibility	Media and social media activities (composite indicator) 5a- Number of media articles 5b - Engagement on Twitter	3 000 20 000
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	400 000 8 000
KPI 7	Efficiency	Handling of complaints and inquiries (composite indicator) 7a- Proportion of cases in which the admissibility decision is taken in one month 7b- Proportion of inquiries closed within 6 months 7c- Proportion of inquiries closed within 18 months	90% 50% 80%
KPI 8	Efficiency	Budget implementation (composite indicator) 8a- Rate of budget implementation 8b- Number of payments beyond 30 days	93% 0

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



6. Resources for the implementation of the 2018 priorities

6.1. Human resources

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

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



6.2. Budgetary resources by operational line

Budget Lines	Resources (EUR)
A-1 6 1 2 Further training	130 000
A-1 6 3 2 Social contacts between members of staff	7 000
A-1 6 5 0 European Schools	210 000
A-2 0 0 0 Rent	1 042 984
A-2 1 0 0 Purchase, servicing and maintenance of IT	240 000
A-2 1 2 Furniture	15 000
A-2 1 6 Vehicles	20 000
A-2 3 0 0 Stationery, office supplies and miscellaneous	11 000
A-2 3 0 1 Postage on correspondence and delivery charges	5 000
A-2 3 0 2 Telecommunications	11 000
A-2 3 0 3 Financial charges	700
A-2 3 0 4 Other expenditures	4 000
A-2 3 0 5 Legal costs and damages	15 000
A-2 3 1 Translation and interpretation	215 000
A-2 3 2 Support for activities	147 500
A-3 0 0 Staff mission expenses	165 000
A-3 0 2 Entertainment and representation expenses	3 000
A-3 0 3 Meetings in general	50 000
A-3 0 4 Internal meetings	27 000
A-3 2 0 0 Documentation and library	8 000
A-3 2 0 1 Archive resources	15 000
A-3 2 1 0 Communication & publications	179 000
A-3 3 0 0 Studies	17 800
A-3 4 0 0 Miscellaneous expenses	1 500

Emily O'Reilly

Annexes: 2

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



Annexes

Annex 1 - Explanation and visual representation of the key management documents of the Ombudsman's office

Key management documents and how they relate to one another

We produce a number of documents that serve an important internal function: they help us to guide and manage our activities in line with the mission statement, which explains the value that we add for the EU and its citizens.

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

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

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

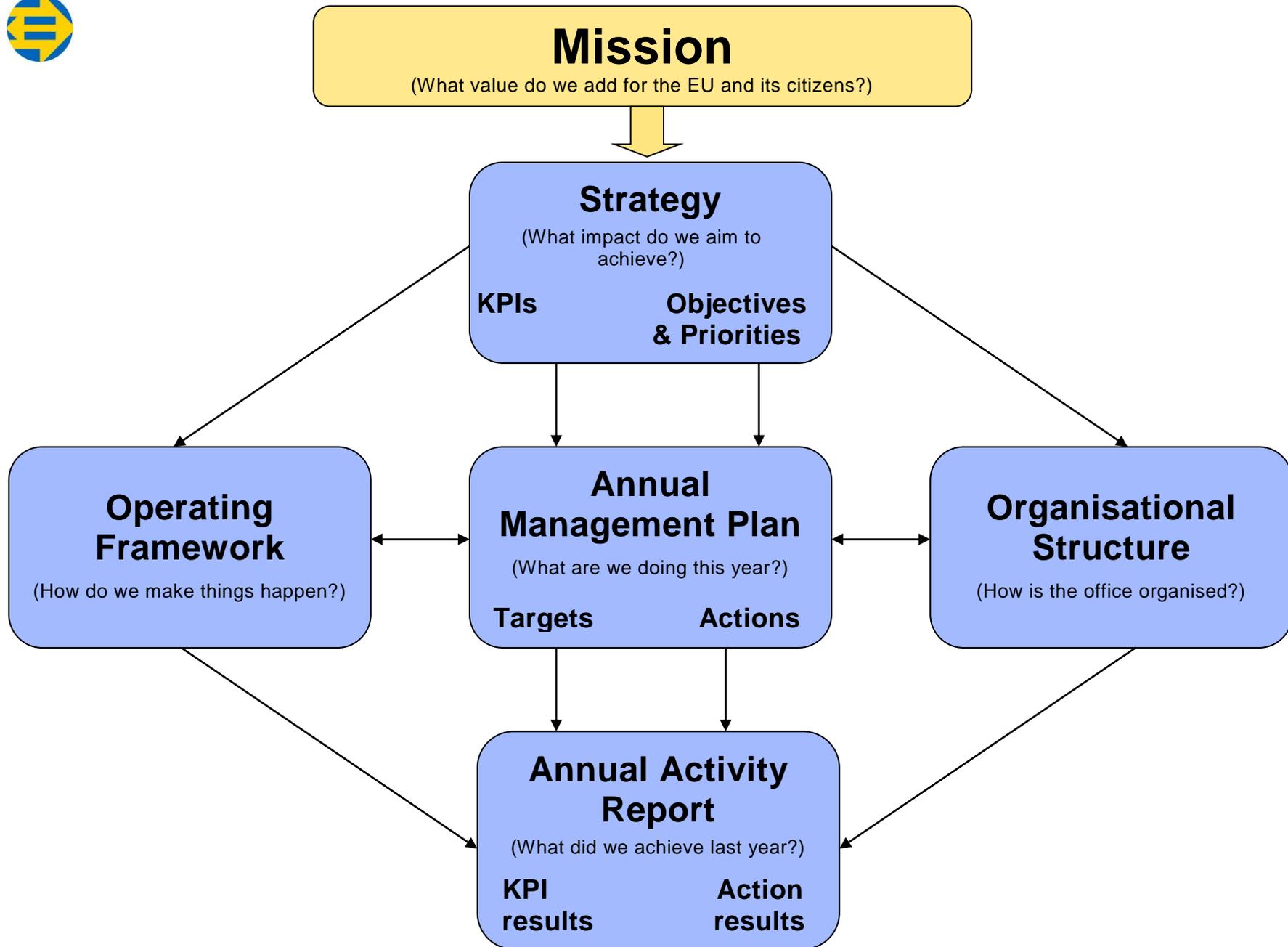
2 The **Operating Framework**. What are our key activities and processes for delivering the strategy? (*How do we make things happen?*)

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

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

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

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





Annex 2 - The Ombudsman's Operating Framework

(PowerPoint presentation)



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