



European Ombudsman

Annual Management Plan Year 2015

Strasbourg
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EN



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1. Introduction

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

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

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

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

The Annual Management Plan for 2015 (AMP 2015) is the first to be based on the [strategy Towards 2019](#), adopted by the Ombudsman in November 2014.

The AMP 2015 is based on an overall budget of 10 346 105 Euros and 66 posts.

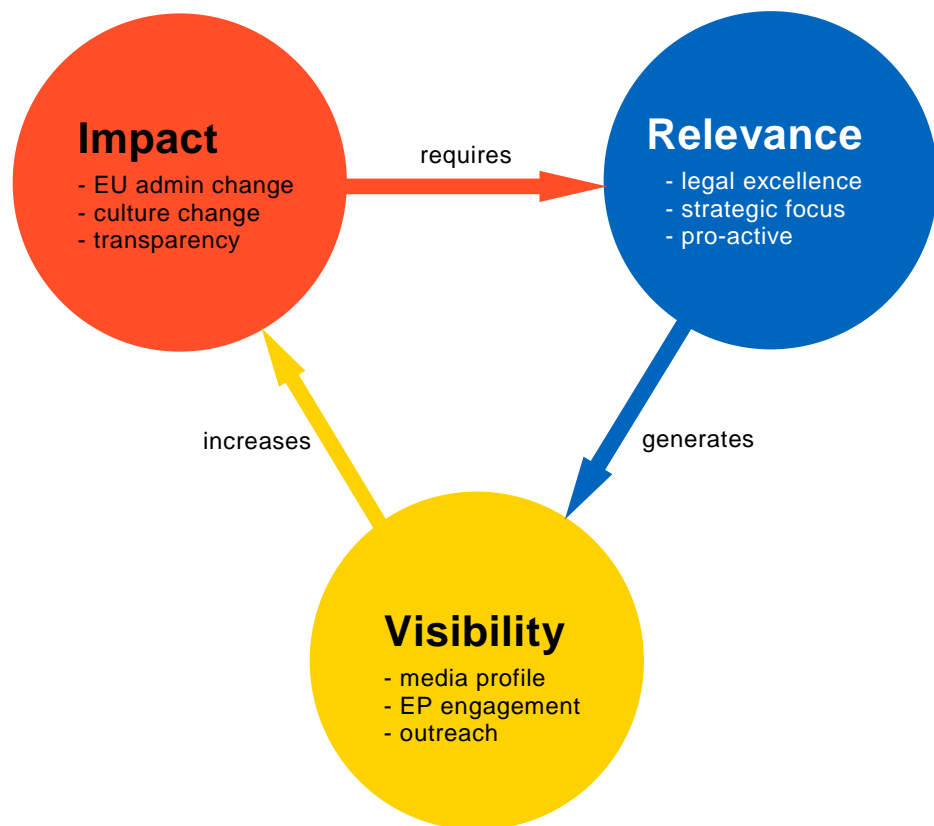


2. Multi-Annual perspective

The Ombudsman's multi-year strategy *Towards 2019* combines three **mutually re-enforcing** 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 2015 and the subsequent Annual Management Plans for 2016, 2017, 2018 and 2019 will identify concrete actions with a view to achieving the priorities and objectives of the strategy.



3. The organisation of the office

At the beginning of 2015, the senior management structure of the Ombudsman's office is under review. The current Secretary-General is due to retire mid 2015.

Pending completion of the review, the Communication Unit, the Media and External Relations Unit and the Registry all report directly to the Secretary-General. The Secretary-General is also responsible for strategic management, policy development and co-ordination of the activities of the office including systemic own-initiative inquiries and public interest cases.

Late in 2014, the four units dealing with complaints and inquiries were brought under the management of a single Director, rather than being divided between two Directors as was previously the case. The PAB unit also reports to the same Director.

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 Complaints and Inquiries Units (C&I) deal with the complaints sent to the Ombudsman, under the management of the **Director**. They conduct the inquiries needed to clarify possible cases of maladministration, look for solutions, and prepare proposals for friendly solutions, draft recommendations, decisions closing inquiries and special reports to the European Parliament. The C&I Units also propose and carry out inquiries that are based on the Ombudsman's own-initiative power and deal with any queries sent by other members of the European Network of Ombudsmen.

The **Media and External Relations Unit (MER)** was created in January 2015 to support the Ombudsman's objective of increasing the visibility of the office. The Head of the MER Unit is the spokesperson of 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 for reaching out to potential complainants and multipliers and for identifying messages to get across to the media and key events in which the Ombudsman should take part.

The **Registry (REG)** deals with the complaints that fall outside the Ombudsman's mandate and with the registration, distribution and transmission of all complaint/inquiry-related documents received or sent by the office. The Registry is also in charge of the Ombudsman's archives and library and the public register of documents. As the Ombudsman's Information Officer, the Head of the Registry plays an important role in the handling of requests for information and access to documents. Finally, the Registry also runs the office's complaint management system.



The **Communication Unit (COM)** is responsible for co-ordinating the Ombudsman's relations with the European Network of Ombudsmen and the Ombudsman's academic activities. It is in charge of designing and producing the Ombudsman's publications and promotional material, for maintaining and developing the Ombudsman's websites and implementing the institution's visual identity.

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 provision of IT support for the office is co-ordinated by the **IT Management Group (ITMG)**, consisting of the heads of PAB, COM and REG. The remit and tasks of the ITMG include (i) drafting and subsequently making proposals for updating an overall multi-year IT plan for the office; (ii) co-ordinating the provision of information for preparation of the annual budget, the Annual Management Plan and the Annual Activity Report, in relation to IT matters; and (iii) ensuring operational cooperation in relation to IT matters.



4. Actions for 2015

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

The Communication Unit and the new Media and External Relations Unit will produce separate detailed activity plans that will cover all communication and outreach activities requiring significant financial or human resources.

The tables below list the actions to be taken in 2015 under the relevant strategy objective. They identify (i) the strategy priorities addressed, (ii) the KPI(s) that will measure the results, where appropriate, and (iii) the owner and others directly involved in carrying out the relevant actions. In addition, ad hoc internal working groups may be set up to assist in completing certain actions.

Actions under objective 1 - **ensure relevance**

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

Priorities:

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

Action	Priority(ies) addressed	KPI	Owner	Others directly involved
Review the data, keywords and statistics needed to support, monitor and report on the implementation of the strategy	1.1	1,5,6	C&I Unit	Director REG
Organise a colloquium for the European Ombudsman's 20th Anniversary	1.2, 1.3, 1.5	1,5,6	COM	SG Director
Organise one or more stakeholder events focused on our strategic work	1.2, 1.5	1,5	MER	



Reach out to the European Court of Human Rights and the Council of Europe with a view to developing the Ombudsman's role in relation to fundamental rights	1.4	1	C&I Unit	SG Director C&I CAB
Revise the arrangements for public access to documents held by the Ombudsman	1.1	1	CAB	
Revise the office's rules on records management	1.1	1	REG	
Explore options under Article 5(5) of the Implementing Provisions ('expert reports')	1.1, 1.2	1	SG	CAB Director

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

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

Priorities:

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

Action	Priority(ies) addressed	KPI	Owner	Others directly involved
Encourage the creation of, and join, the Article 15(2) committee referred to in Regulation 1049/2001	2.5		REG	CAB
Strengthen arrangements for managing strategic inquiries, their follow-up and compliance	2.2, 2.3	1,3,4	SG	Director C&I CAB
Develop a process for producing thematic studies of the Ombudsman's activity and making them available on the website	2.1	2	SG	Director C&I COM



Review the presentation of systemic OIIs and Public interest inquiries on the website	2.3	6	COM	SG
Develop and document a process for negotiating with services of other institutions with a view to achieving better results from inquiries	2.4, 2.5	4	C&I Units	Director
Produce an internal manual on strategically important inquiries	2.2	3,4,7	SG	Director C&I REG
Evaluate and update processes to implement Article 3(2) of the Statute ('testify powers')	2.5	4	SG	Director CAB
Strengthen support for the Open Government Partnership in the EU	2.4	1	SG	CAB

Actions under objective 3 - maintain high visibility

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

Priorities

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

Action	Priority(ies) addressed	KPI	Owner	Others directly involved
Develop, and plan the implementation of, more user-friendly and informative ways of explaining the outcomes of inquiries	3.1	1,5,6	Director	C&I SG
Develop and implement options for increasing the presence and visibility of the Ombudsman in academia	3.2	1,5,6	COM	SG Director C&I



Review the structure and content of the website to better meet the needs of users, including users with a disability	3.1	1,2, 3,6	COM	CAB
Organise internal social media training	3.2	5	MER	
Improve the user experience of the ENO Extranet for ombudsmen and their staff throughout Europe	3.4	1	COM	CAB
Encourage and train staff to be ambassadors of the EO in their home countries and in relevant events	3.5	1,2	C&I Units	Director
Develop and begin MEP Assistant Workshops	3.3	2	CAB	
Review the MEP Newsletter design	3.3	1	CAB	COM

Actions under objective 4 - improve our efficiency

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

Priorities

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

Action	Priority(ies) addressed	KPI	Owner	Others directly involved
Negotiate a service-level agreement with the Publications' Office	4.1	8	COM	Director PAB
Implement the introduction of Sysper 2	4.1, 4.2		PAB	
Update the management of traineeship applications through creation of an online form and a database	4.2		PAB	COM



Further development of the CMS and Rodeo systems, while evaluating budget implications	4.2, 4.3		REG	ITMG
Develop and begin implementation of revised HR policy covering staff and management development, internal and external training, training budget, recruitment and induction processes, and equal opportunities, in particular gender equality	4.4, 4.5		PAB	All
Develop speaking engagements policy for the Ombudsman and staff	4.4	2,5	CAB	SG PAB
Evaluate options to provide legal assistance to support C&I Units	4.2, 4.3, 4.4	7	SG	Director C&I
Develop IAA meetings further whereby cases are assigned a priority (e.g. Urgent, High, Normal), and integrated into CMS.	4.3	4,5,7	Director	C&I CAB
Survey all activities to identify and assess in light of new Strategy, while evaluating resources available	4.1	1	SG	All
Extend staff mission details on Intranet	4.4		PAB	All



5. Measuring and reporting on our performance

Progress in achieving our objectives is measured using Key Performance Indicators (KPIs). They are set out below, together with targets and reference figures for 2015.

The first strategy (2010-2014) established a number of key performance indicators (KPIs) linked to its objectives. The KPIs were revised in order to take account of the objectives and priorities of the current strategy. They are set out below.

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

Key Performance Indicators, measurement and targets for 2015

	Strategy objective	Measurement	Targets for 2015
KPI 1	Relevance	Perception of our external stakeholders	70% (rate of positive evaluation)
KPI 2	Relevance	Percentage of complaints within the mandate	33%
KPI 3	Impact	Number of inquiries opened in public interest cases (complaints & OIIs)	10
KPI 4	Impact	Compliance (composite indicator) 4a - Overall compliance 4b- Compliance in public interest cases	80% 85%
KPI 5	Visibility	Media and social media activities (composite indicator) 5a- Number of media articles 5b - Engagement on Twitter	1 600 12 000
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	450 000 12 500
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	92.5% 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 2015 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		X	
Secretariat-General	AD: 3 AST: 1 SNO: 1 Trainee: 1	X	X	
Directors	AD: 2 AST: 1	X	X	
Complaints and inquiries	AD: 22 Trainees: 3		X	
Communication	AD: 2 AST: 4 Contract agent: 0.5 Trainee: 1		X	
Media and External Relations	AD: 1 AST: 2 Contract agent: 1		X	
Registry	AD: 1 AST: 11 Contract agents: 2.5		X	X
Personnel, Administration and Budget	AD: 3 AST: 9 Contract agents: 4			X



6.2. Budgetary resources by operational line

Budget Lines	Resources (EUR)
A-1 6 1 2 Further training	55 000
A-1 6 3 2 Social contacts between members of staff	6 000
A-1 6 5 0 European Schools	255 000
A-2 0 0 0 Rent	749 000
A-2 1 0 0 Purchase, servicing and maintenance of IT	133 000
A-2 1 2 Furniture	15 000
A-2 1 6 Vehicles	19 000
A-2 3 0 0 Stationery, office supplies and miscellaneous	18 000
A-2 3 0 1 Postage on correspondence and delivery charges	12 000
A-2 3 0 2 Telecommunications	7 000
A-2 3 0 3 Financial charges	500
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	445 000
A-2 3 2 Support for activities	95 000
A-3 0 0 Staff mission expenses ¹	157 000
A-3 0 2 Entertainment and representation expenses	10 000
A-3 0 3 Meetings in general	36 000
A-3 0 4 Internal meetings	35 000
A-3 2 0 0 Documentation and library	10 000
A-3 2 0 1 Archive resources	15 000
A-3 2 1 0 Communication & publications	310 000
A-3 3 0 0 Studies	2 800
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

¹ In order to implement the work programmes set out in the Annual Management Plan, indicative mission ceilings per unit are established at the beginning of each year. These ceilings are monitored by the Secretary-General, the Director and the HoUs with the support of the PAB Unit.



Annexes

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

Key management documents and how they relate to one another

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

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

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

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

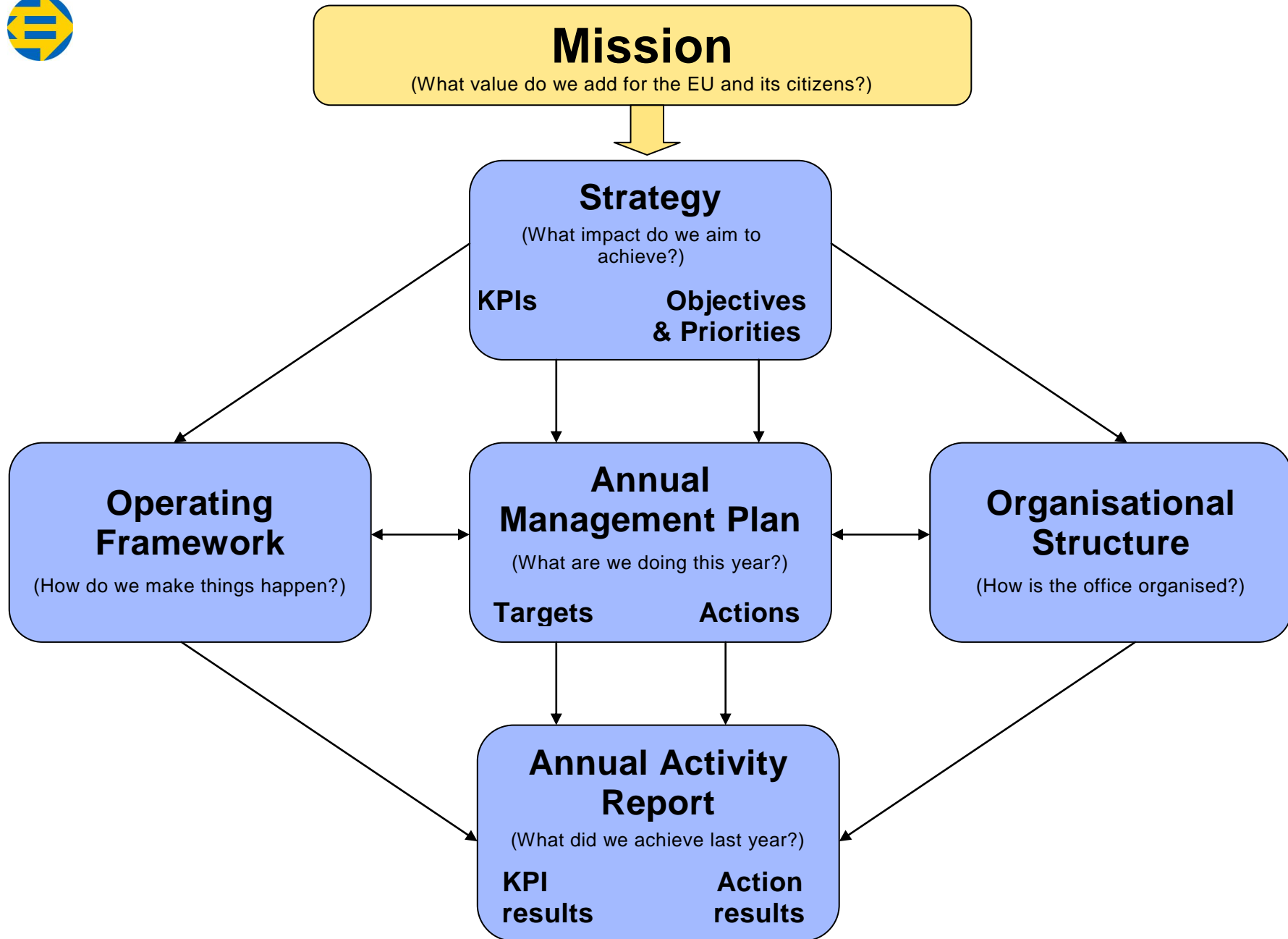
2 The **Operating Framework**. What are our key activities and processes for delivering the strategy? (*How do we make things happen?*)

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

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

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

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





Annex 2 - The Ombudsman's Operating Framework

(PowerPoint presentation)



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