

# **Annual Activity Report**

**2016**

**DG SAFE**

## Contents

<b>0.</b>	<b>BUDGETARY IMPLEMENTATION OVERVIEW</b>	<b>3</b>
<b>1.</b>	<b>OBJECTIVES</b>	<b>4</b>
1.1.	Objectives of the directorate-general	4
1.2.	Feasibility and risk assessment	5
<b>2.</b>	<b>ASSESSMENT OF RESULTS IN THE LIGHT OF THE OBJECTIVES - USE OF RESOURCES</b>	<b>6</b>
2.1.	Environment of the directorate-general	6
2.2.	Human resources of the DG	7
2.2.1.	Establishment plan	9
2.2.2.	Staff numbers as at 31.12.2016	9
2.3.	Budget implementation 2016	9
2.3.1.	Initial and final appropriations	10
2.3.2.	Final appropriations and appropriations committed	10
2.3.3.	Appropriations committed and payments made	10
2.3.4.	Use of automatic and non-automatic carryovers from 2015 to 2016	11
2.3.5.	Use of appropriations corresponding to assigned revenue	11
2.4.	Results achieved	11
<b>3.</b>	<b>EVALUATION AND EFFECTIVENESS OF INTERNAL CONTROLS, INCLUDING AN OVERALL ASSESSMENT OF THE CONTROLS' COST-EFFECTIVENESS (ARTICLE 66(9) FR)</b>	<b>17</b>
<b>4.</b>	<b>CONCLUSIONS</b>	<b>18</b>
<b>5.</b>	<b>DECLARATION BY THE AUTHORISING OFFICER BY DELEGATION</b>	<b>21</b>
<b>6.</b>	<b>ANNEXES</b>	<b>22</b>
6.1	2016 Budget implementation statement	
6.2	Report on compliance with payment deadlines	
6.3	List of exceptions- derogation from rules	
6.4	Long-term contractual obligations	
6.5	Exceptional negotiated procedures - articles 53, 134 and 135 RAP	
6.6	Results of ex post evaluation	
6.7	Sensitive posts	
6.8	Assessment of the implementation of the Minimum Internal Control Standards	

## 0. BUDGETARY IMPLEMENTATION OVERVIEW

	Appropriations of 2016	Crédits 2016		
A	Initial appropriations	Crédits initiaux	31.891.250,00	
B	Final appropriations	Crédits finaux	25.656.250,00	
C	Commitments	Engagements	24.280.059,82	
D	Commitments in % of final appropriations	Engagements en % des crédits finaux	95%	D=C/B
E	Payments	Palements	18.070.397,11	
F	Payments in % of commitments	Palements en % des engagements	74%	F=E/C
G	Cancellations of 2016 final appropriations	Annulations de crédits finaux 2016	1.376.190,18	G=B-C-K
H	Cancellations appropriations in % of final appropriations	Annulations en % des crédits finaux	5%	H=G/B
	<b>Appropriations carried forward from 2016 to 2017</b>	<b>Crédits reportés de 2016 à 2017</b>		
I	Automatic carryforwards from 2016 to 2017	Crédits reportés automatiquement de 2016 à 2017	6.209.662,71	I=C-E
J	Automatic carryforwards from 2016 to 2017 in % of commitments	Crédits reportés automatiquement de 2016 à 2017 en % des engagements	26%	J=I/C
K	Non-automatic carryforwards from 2016 to 2017	Crédits reportés non-automatiquement de 2016 à 2017	0,00	
L	Non-automatic carryforwards from 2016 to 2017 in % of final appropriations	Crédits reportés non-automatiquement de 2016 à 2017 en % des crédits finaux	0%	L=K/B
	<b>Appropriations carried over from 2015 to 2016</b>	<b>Crédits reportés de 2015 à 2016</b>		
M	Automatic carryovers from 2015 to 2016	Crédits reportés automatiquement de 2015 à 2016	4.494.320,48	
N	Payments against automatic carryovers from 2015 to 2016	Palements sur crédits reportés automatiquement de 2015 à 2016	4.097.198,87	
O	Payments against automatic carryovers from 2015 to 2016 in % of automatic carryovers from 2015 to 2016	Palements sur crédits reportés automatiquement de 2015 à 2016 en % des crédits reportés automatiquement de 2015 à 2016	91%	O=N/M
P	Cancellations of automatic carryovers from 2015 to 2016	Annulations de crédits reportés automatiquement de 2015 à 2016	397.121,61	P=M-N
Q	Cancellations of automatic carryovers from 2015 to 2016 in % of automatic carryovers from 2015 to 2016	Annulations de crédits reportés automatiquement de 2015 à 2016 en % des crédits reportés automatiquement de 2015 à 2016	9%	Q=P/M
R	Non-automatic carryovers from 2015 to 2016	Crédits reportés non-automatiquement de 2015 à 2016	0,00	
S	Payments of non-automatic carryovers from 2015 to 2016	Palements sur crédits reportés non-automatiquement de 2015 à 2016	0,00	
T	Payments against non-automatic carryovers from 2015 to 2016 in % of non-automatic carryovers from 2015 to 2016	Palements sur crédits reportés non-automatiquement de 2015 à 2016 en % des crédits reportés non-automatiquement de 2015 à 2016	-	T=S/R
U	Cancellations of non-automatic carryovers from 2015 to 2016	Annulations de crédits reportés non-automatiquement de 2015 à 2016		U=R-S
V	Cancellations of non-automatic carryovers from 2015 to 2016 in % of non-automatic carryovers from 2015 to 2016	Annulations de crédits reportés non-automatiquement de 2015 à 2016 en % des crédits reportés non-automatiquement de 2015 à 2016		V=U/R
	<b>Assigned revenue in 2016</b>	<b>Recettes affectées 2016</b>		
W	Appropriations from assigned revenue in 2016 (current)	Crédits de dépenses spécifiques sur recettes affectées courants 2016	200.158,87	
X	Assigned revenue carried over to 2016	Crédits de dépenses spécifiques sur recettes affectées reportés à 2016	117.450,95	
Y	Balance of commitments on assigned revenue carried over to 2016	Solde des engagements reportés à 2016 sur crédits de dépenses spécifiques sur recettes affectées	95.912,47	
Z	Payments in 2016 against appropriations from assigned revenue (current and carried-over)	Palements sur crédits de recettes affectées 2016 (courants et reportés)	281.347,28	
AA	Payments in 2016 against assigned revenue in % of assigned revenue in 2016 (current and carried-over)	Palements sur crédits de recettes affectées 2016 en % des crédits de recettes affectées 2016 (courants et reportés)	68%	AA=Z/(W+X+Y)

## 1. **OBJECTIVES**

### 1.1. **Objectives of the directorate-general**

#### 1. **Consolidating internalisation:**

- Continuing and enhancing the professionalisation of Parliament's security services with a view to providing high-quality, bespoke in-house services which are tailored to the specific circumstances within Parliament and meet the highest standards;
- Adjusting the specific instructions issued to each entity;
- Assessing the level of risk inherent in each activity and event organised within Parliament;
- Optimising back office functions with the aim of providing professional training and making replacements and reinforcements available quickly in an emergency;
- Optimising deployment planning in keeping with the needs generated by parliamentary activity.

2. **Continuing to develop a new participatory security culture** by implementing the decisions taken by the **Security Management Steering Committee** and enhancing the role of the **Network of Security Correspondents**. Developing awareness-raising campaigns, enhancing communication tools and the role of the Need to Know cell.

#### 3. **Revising and adapting provisions in force in the DG's areas of activity:**

- Preparing a comprehensive chronological and thematic compendium of political and administrative decisions concerning security;
- Proposed revision of the current system of levels of alert, in close cooperation with the other institutions, and of the rules in force in the DG's areas of activity, in particular as regards close protection services and internal security investigations;
- Updating of the crisis management operational checklists.

4. **Implementing the Bureau decision of 9 March 2015 on the iPACS project, keeping strictly to the timetable set.**

5. Continuing to implement the Bureau decision of 20 October 2014 concerning the **strengthening and reorganisation of all the entrances to Parliament's building in the three places of work**. Completing the second phase involving the entrances linked to the Altiero Spinelli Building.

6. **Implementing the new safety, first aid, and fire prevention strategy**. Developing the network of volunteers and the programme of professional training for security and prevention staff, and for Parliament officials and other staff, with a view to ensuring that a large number of people with specific training in this area are present in each building.

#### 7. **Enhancing relations with local and national authorities and interinstitutional cooperation:**

- Consolidating relations with national authorities: supporting the political authorities and senior management in the context of preparations for and follow-up to meetings of the High-Level Working Group on security matters;
- Developing interinstitutional cooperation on security

8. Carrying out, in strict compliance with procurement procedures, **budget planning**, in particular in connection with the implementation of the iPACS project.

## **1.2. Feasibility and risk assessment**

Potential risks were pinpointed in respect of the activities relating to achievement of the eight objectives set for 2016. They were:

### Objective 1, LOW risk:

All the measures needed to achieve the various elements of this objective were taken. These measures demonstrated their effectiveness in 2015 and 2016. The level of risk linked to this objective can therefore be regarded as very low. The main task now is to ensure that the IT tools used for planning purposes in particular are developed further and maintained at the requisite level of effectiveness.

### Objective 2, LOW risk:

The consolidation of the bodies set up to foster the emergence of a new security culture in which Members and the other users of Parliament's buildings play an active part and contribute to its further development made it possible to minimise the risks linked to this objective.

Membership of the Security Management Steering Committee (SMSC) was broadened to include the political group secretaries-general, and the committee now meets twice a year. The SMSC in its new configuration and the Network of Security Correspondents are fundamental to liaison and effective communication among the political groups, the DGs and the EP's departments on matters relating to security policy.

The role of the Need to Know service was also consolidated. Since the first declaration of a yellow state of alert in January 2015, this service has centralised all requests for authorisation to hold meetings, events or cultural events submitted in advance to DG SAFE for its opinion and has carried out day-to-day monitoring of their number and of the numbers of people from outside Parliament present on Parliament's premises, in order to enforce a limit and thus enable the DG to respond as readily and effectively as possible in the event of a major incident.

In addition, DG SAFE introduced a range of new security-related information sources and communication tools (emails, SAFEnet, visual messages, brochures, etc.).

### Objective 3, LOW risk:

This objective was achieved by means of interinstitutional cooperation and Bureau decisions on the revision of the alert-level system.

### Objective 4, MEDIUM risk:

All requisite measures were taken to implement the decisions reached and keep to the timetable set by the Bureau. The fact that the achievement of this objective is closely bound up with procurement procedures and the risks inherent in them should not be underestimated, however.

### Objective 5, LOW risk:

All requisite measures were taken in close cooperation with DG INLO in order to ensure that this objective was achieved on time. A number of additional entrances were refitted in 2016.

#### Objective 6, LOW risk:

The new prevention, first aid and fire safety strategy was drawn up and a test phase was launched in 2015 with a view to introducing the arrangements in all Parliament's buildings. The project was continued in 2016. The level of risk is therefore regarded as low.

#### Objective 7, LOW risk:

The turbulent security situation led to closer cooperation in the security field with the national authorities of the host countries, and in particular with the Belgian authorities, and progress was made on many key issues, such as the deployment of the Belgian armed forces in the European district, security checks by the Belgian authorities on all employees of outside firms working at the EU institutions and measures to secure Parliament's external perimeter and the European district as a whole.

#### Objective 8, LOW risk:

The main risk would consist in not meeting the deadlines and not implementing the contracts properly. Detailed monitoring of all contracts (performance and renewal of the contract and budgetary follow-up) irrespective of their size was introduced in order to guarantee optimum management. An iPACS project team was also set up in order to ensure that the project was managed constantly and effectively.

## **2. ASSESSMENT OF RESULTS IN THE LIGHT OF THE OBJECTIVES - USE OF RESOURCES**

### **2.1. Environment of the directorate-general**

In 2016, against the backdrop of a complex and increasingly tense security situation marked in particular by the attacks in Brussels on 22 March, DG SAFE continued its efforts to achieve the objectives set as part of the Global Security Concept strategy and to implement the measures to enhance security adopted by Parliament, which, despite the disruptions, has stood by its determination to remain open, transparent and accessible. DG SAFE also consolidated its structure (see point 2.2., Human resources).

In the light of the security problems and the high levels of national alert in both France and Belgium, Parliament maintained its 'yellow' state of alert in all three of its places of work and in the information offices throughout 2016, with the exception of the period between 22 and 29 March, when the tragic attacks in Brussels led it to declare an 'orange' alert.

DG SAFE therefore maintained tightened security arrangements in order to guarantee an appropriate level of security whilst keeping Parliament open to the public and safeguarding the continuity of parliamentary activities.

Against this background, Parliament took a number of measures to step up security measures which DG SAFE had the task of implementing. The measures can be categorised as:

#### ***a) Political measures agreed with the national authorities of the host countries and the other institutions:***

At political level, the turbulent security situation led to closer cooperation in the security field with the national authorities of the host countries, in particular with the Belgian authorities, and progress was made on many key issues, such as the deployment of the Belgian armed forces in the European district, security checks by the Belgian authorities on all employees of outside firms working at the institutions of the Union and measures to secure Parliament's external perimeter and the European district as a whole.

## **b) *Measures to strengthen the security level of Parliament's buildings:***

In April 2016 the Bureau approved a general update of all the security work and investments previously approved for Brussels and Strasbourg and the relevant schedules for 2016 and 2017.

At the same time, the Bureau also adopted a series of measures to step up security and the level of protection of Parliament's central buildings in Brussels and Strasbourg against risks of intrusion or terrorist attack, by creating an external perimeter around them.

DG SAFE therefore worked closely with DG INLO throughout 2016 to carry out this work of upgrading infrastructure and took a variety of measures designed to make the immediate area around Parliament's central buildings in Brussels and Strasbourg more secure.

**Details of the key results achieved in these areas and of the measures and projects implemented as part of the Global Security Concept strategy in 2016 are set out under point 2.4., Results achieved.**

### **2.2. Human resources of the DG**

Two significant decisions taken as part of this broader process of stepping up security had a major bearing on the work of DG SAFE and on its structure. Firstly, the developments in the security situation and a risk assessment drawn up by the relevant departments in DG SAFE pointed to the need to provide the President of Parliament with close protection similar to that afforded to his counterparts at the Commission and the Council. The Bureau also asked for armed security guards to be deployed on Parliament's premises in order to guarantee the security of strategic locations.

In 2016, therefore, a series of procedures linked to the introduction of these new security tasks were prepared and launched in close cooperation with the relevant departments in DGs PERS, FINS and INLO.

In that connection, at the request of the President, Parliament secured the agreement of the Belgian authorities that it should be added to the list of international organisations and European institutions to which ministerial circular OOP21.10 of 24 October 2014 applies, so that it can instruct its armed security staff to carry out certain tasks on the same basis as the Council and the Commission, in accordance with the conditions stipulated by the circular. All the procedures and steps necessary in order to obtain similar authorisation in Strasbourg and Luxembourg are in the process of being carried out.

Given the nature of bodyguard duties, and in the light of other factors (operational management, vital importance of in-service training, need to maintain an appropriate level of fitness), it was considered appropriate to recruit the staff members responsible for providing the President with close protection as temporary AST3 agents.

Twelve temporary AST3 posts were thus made available to DG SAFE to set up the President's close protection team; the recruitment procedures are currently under way.

Pending completion of all the recruitment-related procedures, the provision of specialist training and the performance of psychotechnical and firearm handling tests, contract staff members in DG SAFE who have proven experience in this area were designated to act as the President's unarmed bodyguards.

Under the 2016 supplementary and amending budget, DG SAFE was also allocated 34 SC posts and 1 AD post to cover the recruitment of armed guards to provide security at strategic locations on Parliament's premises.

This increase in DG SAFE's staff complement and the specific nature of the new tasks to be performed led to a revision of the structure of the DG involving the creation of a new unit for the staff members in question. In June 2016, therefore, the Bureau approved the creation of a new 'Protection' Unit in Directorate A (PASS). The procedures for filling the post of head of that unit were initiated in late 2016 and are currently being completed.

The sensitive nature of these new tasks allocated to DG SAFE also highlighted the need for Parliament to draw up rules which would provide the DG with a clear framework in which to carry out its delicate and complex remit. DG SAFE thus worked closely with the Legal Service to draft a proposal for a decision on security at Parliament which sets out the rules on the basis of which the DG can take action to protect persons, assess risks, use service weapons, conduct investigations, submit requests for clearance and screening, etc. That proposal is now being finalised and should be submitted to the Bureau in the first half of 2017.

In addition, in 2016 three head of unit posts in DG SAFE were filled:

- two posts in Directorate B, viz.: the posts of head of the Luxembourg and Strasbourg Fire Prevention Units, now held by Mr Pascal de Backer and Ms Catherine Schaal respectively.
- The post of Head of the Risk Assessment Unit fell vacant following the departure of the holder of the post on 1 September 2016. All the requisite procedures were completed in 2016 and the new Head of Unit, Mr Sole Andres, took up his post on 15 January 2017.

The only post which remains to be filled, therefore, is that of Head of the Security and Safety Unit in Brussels; the relevant duties are currently being performed by Mr Van Bastelaere (as acting head of unit since 1 November 2016, and as interim head of unit before that).

DG SAFE, which had been granted no new posts since it was set up, was also allocated 15 AST posts and 5 AD posts under the 2016 budget. All these posts were filled, primarily in order to staff the President's close protection service and strengthen Directorate B - Prevention, First Aid and Fire Safety - and the sector responsible for information security in Directorate C - Strategy and Resources.

A total of 107 monitoring and prevention officers (FGI contract staff) were also recruited to provide security in the new buildings occupied by Parliament: the Wilfried Martens Building, the House of European History and the Visitors' Centre. All the necessary measures were taken to prepare for the opening of the Parliamentarium in Strasbourg and the move into the new HAV Building, both in the first half of 2017.

A total of 260 contract staff members recruited before 2015 were awarded open-ended contracts in 2016. This was done because, when the internalisation process was drawn up, and in keeping with the relevant provisions of the Staff Regulations, a decision had been taken to offer the contract staff carrying out security and safety tasks a stable employment status as quickly as possible. It had thus been agreed that the latter would be offered open-ended contracts after the second renewal of their initial annual contracts.



Due note should also be taken of the retirement of Ms Ratti, Deputy Secretary-General and acting Director-General of DG SAFE, and the appointment of Mr Elio Carozza as Director-General with effect from 1 November 2016. The post of Director of Strategy and Resources (Directorate C), which Mr Carozza occupied, is therefore vacant (Mr Carozza has remained as acting Director until it is filled).

### 2.2.1. Establishment plan

	As at 01/01/2015				As at 01/01/2016			
	AD	AST	AST/SC	Total	AD	AST	AST/SC	Total
Permanent posts *	31	130		<b>161</b>	36	141	3 **	<b>180</b>
Temporary posts		5		<b>5</b>		4		<b>4</b>
<b>Total</b>	<b>31</b>	<b>135</b>		<b>166</b>	<b>36</b>	<b>145</b>	<b>3</b>	<b>184</b>

\* In 2016 DG SAFE was allocated the following: 5 AD posts, 15 AST posts and 4 AST posts by means of redeployment within Parliament. Twelve of the AST posts were converted into temporary posts for the President's close protection service.

In addition, following the adoption of the SAB DG SAFE received 34 SC posts and 1 AD post.

DG SAFE lost 1 AST post in the context of the 5% staffing cut.

\*\* DG SAFE converted 3 AST posts into AST-SC posts.

### 2.2.2. Staff numbers as at 31.12.2016

	AD	AST	AST/SC	Total	ETP
Fonctionnaires	<b>30</b>	<b>118</b>	<b>7</b>	<b>155</b>	<b>155</b>
Agents temporaires	<b>1</b>	<b>5</b>		<b>6</b>	<b>6</b>
- sur postes temporaires		<b>4</b>		<b>4</b>	<b>4</b>
- sur postes permanents					
- en compensation de temps partiel	<b>1</b>	<b>1</b>		<b>2</b>	*
Agents contractuels				<b>573</b>	<b>573</b>
END					
Intérimaires					
<b>Total</b>				<b>734</b>	<b>732*</b>

\* All part-time work is compensated by two part-time temporary positions"

## 2.3. Budget implementation 2016

As at 31 December 2016, initial appropriations totalling €31 891 250 had been cut to €25 656 250 (see point 2.3.1).

### 2.3.1. *Initial and final appropriations*

Final appropriations were €6 235 000 less than initial appropriations (-19.5%) following a series of transfers of appropriations to other budget items.

This is because, following a detailed appraisal of its maintenance and investment requirements, DG SAFE requested a budget of €8 204 500 in December 2014. When the estimates were drawn up, the budgetary authority decided to earmark a sum of €15 million for exceptional and urgent security and cybersecurity investments. From that amount, an additional €5.45 million was allocated to DG SAFE under Sub-Item 2140-08.

The multiannual plan for the modernisation and integration of Parliament's access control facilities that was adopted by the Bureau on 9 March 2015 included a phased investment schedule under which operations got under way in 2016 following extensive preparatory work and 2017 will be the first full year. The above figure of €6 235 000 is made up mainly of the additional appropriations allocated to the DG in the 2016 budget.

### 2.3.2. *Final appropriations and appropriations committed*

Final appropriations: €25 656 250  
Appropriations committed: €24 280 059.82  
Implementation rate: 95 %

The implementation rate is very good and on a par with previous years.

The level of non-committed appropriations stems partly from:

- the cancellation of appropriations as part of the carryover to 2017, following the non-performance of some work ordered (€540 000);
- the decommitment of some appropriations following under-use by comparison with the estimates (€290 000). This procedure, introduced in 2016, makes it possible to decommit appropriations and thus reduce the volume carried over to the following year;
- the margin left to cover the conclusion of contracts right at the end of the year (€125 000);
- the deferral of the conclusion of certain contracts to 2017.

### 2.3.3. *Appropriations committed and payments made*

The payment rate was 74%. This was due to the fact that:

- the invoices corresponding to security and fire services in December 2016 were paid only in the January of the following year (sub-items 2026-01/02/03);
- payments for the information offices relating to 2016 arising from the addendum to the administrative arrangement signed with the Commission's DG COM will be made only in November 2017;
- the dates of expiry/renewal of contracts did not coincide with the calendar year;
- the completion of a number of tender procedures and the commitment of the relevant appropriations right at the end of the year.

#### 2.3.4. *Use of automatic and non-automatic carryovers from 2015 to 2016*

The payment rate for carryovers was 91.16%, which was slightly higher than in 2015 and on a par with the rates for the years before that.

The volume of unused appropriations can mainly be explained by an over-estimation by the Commission of needs in connection with the running of the Europe Houses under the administrative arrangement (€170 000) and the late receipt of security equipment or invoices which forced the authorising officer to recommit appropriations against the current financial year (€86 000).

#### 2.3.5. *Use of appropriations corresponding to assigned revenue*

##### **2.3.5.1 Situation with regard to specific expenditure appropriations/assigned revenue**

##### **2.3.5.2 Situation with regard to specific expenditure appropriations/assigned revenue carried over**

In 2016, all of the revenue entered in relation to the 'situation with regard to specific expenditure appropriations/assigned revenue carried over' was committed (€117 450.95).

In 2016, €200 158.87 was received in assigned revenue, including €67 170.21 in the last month. Of this total, 66.44% was committed in 2016. Thus €68 420.71 was carried over to 2017.

## **2.4. Results achieved**

In 2016, DG SAFE focused on developing and consolidating each of the five strands of the strategy laid down under the Global Security Concept and on implementing the range of security enhancement measures introduced by Parliament, which, despite the disruptions caused by the security situation, has stood by its determination to remain an open, transparent and accessible institution.

### **I. Development and consolidation of each of the five strands of the strategy laid down under the Global Security Concept**

#### **1) Internalisation:**

The action plan approved by the Bureau in 2012 was strictly complied with in all respects (recruitment, budget, etc.). The internalisation process was completed in Brussels and Strasbourg on 1 July 2015. Since then, all security tasks at Parliament's buildings in Brussels and Strasbourg have been performed by Parliament's own staff.

In Brussels and Strasbourg, 2016 was a year of consolidation, during which work focused on tying resources scheduling as closely as possible to Parliament's calendar of business and on consolidating operational interaction between the Need to Know service and the risk assessment, security opinion drafting and planning functions in order to tailor security measures as closely as possible to needs and to provide a bespoke security service for each event.

The planning department worked on drafting an annual schedule that could then be adjusted to take account of new events and visits and of new security developments and risk assessments. A number of advances were made in this area: individual work schedules are now drawn up on a two-monthly basis and forwarded to staff members one month before each

new period is set to start. The running of back-office operations was also improved so that unexpected occurrences can be dealt with without disrupting the schedules already drawn up, thus allowing all staff members to enjoy a proper work-life balance.

In Luxembourg, the internalisation process is closely tied in with the buildings policy at the site, in particular the building of the new KAD. Therefore, the Bureau acknowledged that it would not be possible to assess staffing needs for general security services in Luxembourg and bring those services in-house until work had been completed on the new KAD Building and all of Parliament's staff at the site had moved into the building.

In the present situation, in which Parliament occupies a number of different buildings located at some distance from each other, internalisation would require the recruitment of around 150 security and safety staff. However, once work on the KAD Building is completed and all of Parliament's staff are housed in the same complex, that number should be no higher than 100.

The staged move into the new KAD is scheduled to begin in late 2017 and is expected to be completed in 2020. No hard and fast dates can as yet be placed on the moves out of the buildings currently used.

Accordingly, given that the current contract with the general security and fire safety service provider is due to expire on 31 March 2017, a tender procedure was initiated in 2016 with a view to ensuring that those services will continue to be provided after 1 April 2017.

## **2) Professionalisation:**

The recruitment and professional training policy pursued provides DG SAFE with qualified, specialised multilingual staff with proven experience (either in national police forces or in the security services of other institutions).

In addition, Parliament gives all these staff training which takes into account the special nature and demands of Parliament's activities and is intended to familiarise them with the procedures, practices and working methods specific to the institution. Each staff member received, on average, a little more than 70 hours training during the year, making for a total of 32 000 hours of training (double the number for the previous year).

In addition to this, DG SAFE organised its first Away Day on 16 October 2016. The aim of this training day, which was open to all Brussels staff, was to discuss the DG's mission and future challenges and to foster strong motivation among staff by sharing information and setting out a shared vision. Owing to the special nature of DG SAFE's remit and the fact the DG needs to provide a round-the-clock service, the Away Day was held on a Sunday.

A Sunday was seen as the only day of the week on which a large number of staff would be able to attend, as it is a day on which only a skeleton security staff is required at Parliament's buildings. Allowance was made for the DG's special nature by the other departments in the Administration, in particular DG PERS's professional training service, which proved a great help in organising the event. The DG's special nature was also acknowledged by the high-level guests who agreed to take part in the training day, namely the MEPs Mr Deprez and Mr Tarabella, Parliament's spokesperson, Mr Duch, and the Head of the President's Cabinet, Mr Knudsen.

The professionalisation programme also covers prevention, first aid and fire safety, despite the fact that services in this area are still provided by outside staff. The senior and mid-management in the directorate responsible (Directorate B) underwent advanced training in this area. Furthermore, all security and safety staff underwent training in evacuation and first aid techniques, with a view to building on synergies between the various security sectors and

providing a more effective service to Members and other Parliament users. DG SAFE also continued to take forward its project for an evacuation system based on the involvement of volunteers provided with relevant training. A far-reaching programme of fire safety and first aid training was set up to this end.

Various types of training in this area were given in 2016, as follows:

1. training in evacuation procedures for volunteers from Parliament's staff (in all, 619 staff members trained at the various places of work);
2. training in evacuation procedures for security staff and security control centre staff (in all, 483 staff members trained in Brussels and Strasbourg);
3. training of security correspondents in using the evacuation volunteer management database (15 staff members trained in Brussels).

### **3) Change of culture:**

The Global Security Concept is based, in particular, on the need to develop a new communication strategy geared to the emergence of a new security culture in which Members and other Parliament users are stakeholders in security and play an active part in enhancing it.

This new security policy calls for constant dialogue between DG SAFE, other parts of the Administration and the political groups. To this end, the role of existing tools and bodies was enhanced during 2015 and 2016.

The Security Management Steering Committee (SMSC), made up of all the directors-general, the heads of the offices of the President and the Secretary-General and the political group secretaries-general, and the Network of Security Correspondents, made up of all the directors of resources and of political group representatives, once again played a vital role in keeping effective lines of communication open between the political groups and Parliament's DGs and departments on matters relating to security policy and tightening up security at Parliament. A meeting was held between the two bodies in 2016.

The SMSC decided to set up a text message-based alert system for urgent communications on security issues for the political group secretaries-general, the offices of the President and the Secretary-General and directors-general and heads of unit in the Administration.

The Need to Know service, whose role was considerably augmented in 2015, continued to play a key role in 2016, when it was incorporated into the Risk Assessment Unit. Since a yellow state of alert was first declared in January 2015, this service has dealt with all requests for meetings, events and cultural initiatives submitted to DG SAFE for a prior opinion, and has carried out day-to-day monitoring of their number and of the numbers of people from outside Parliament present on Parliament's premises, so that they may be kept within a limit allowing the DG to respond swiftly and effectively in the event of any major incidents.

In 2016, the service dealt with **4780** requests for events attended by **190 733** outside visitors (i.e. people requiring accreditation).

### **4) Risk assessment:**

The information gathered by the Need to Know service provides DG SAFE with an overview of all future activities (short, medium and long term), thus enabling it to perform appropriate risk assessments and to plan and deploy the resources needed to provide an effective, tailor-made security service.

In addition, since a yellow state of alert was first declared, DG SAFE has systematically drawn up opinions on all events attended by more than 100 outside visitors that are held within Parliament. With a view to drawing up these opinions, DG SAFE now systematically performs *ad hoc* risk analyses.

The incorporation of the Need to Know service into the Risk Assessment Unit will further build on the synergies between the various departments responsible for assessing whether individual events can be held in Parliament without compromising the level of vigilance required by the current security situation.

During the year, in response to the attacks carried out in Brussels in March and the raising of the national state of alert in Belgium, risk assessments were carried out in respect of a number of buildings, entrances and areas around Parliament (including the Esplanade Solidarność). Risk assessments were also carried out on Parliament's new buildings. These assessments were used as the basis for decisions on the deployment of resources, on planning and on security measures specific to each entity.

### **5) Use of new technologies:**

On 9 March 2015, the Bureau approved the iPACS (integrated Physical Access Control System) project for the acquisition of new security techniques to tighten up security in Parliament by introducing modern, integrated, non-invasive technological tools that can be adapted to take account of new technological developments.

In accordance with the Bureau decision, a schedule for the phasing in of the system at the three places of work over an estimated time span of five years was drawn up.

A start was made on the project in 2015 with the completion of tender procedures for the buying in of IT tools and expertise.

Tender procedures for technical equipment were completed in 2016.

Furthermore, the Bureau asked for the entrances to all Parliament buildings at the three places of work to be improved and reorganised on the basis of a new security concept (see section II.2). All the entrances to the Parliament buildings in Brussels that were modernised in 2015 (rue Wiertz and Altiero Spinelli entrances to the ASP Building) and 2016 (JAN, WIB, ATR and House of European History) were fitted out with new access control systems and will be incorporated into the new central system provided for under the iPACS project. All the other entrances are currently being fitted out, as is part of the ASP Building.

New, more secure passes will be phased in over the course of 2017, i.e. slightly later than was originally planned. The delay is due to the decision, taken in close cooperation with DG ITEC, to fit the passes with a latest generation chip and the need to wait for the chips to become available on the market.

## **II. Implementation of security-enhancement measures introduced by Parliament**

DG SAFE worked throughout the year on implementing the range of security-enhancement measures introduced by Parliament, which may be divided into two categories, namely:

- 1) political measures taken in consultation with the national authorities of the host countries and the other institutions;

2) measures to upgrade Parliament's buildings.

## **II. 1) - Political measures**

In response to increased security threats, cooperation in this area was stepped up between Parliament and the national authorities of the host countries, in particular the Belgian authorities.

A high-level working group on security issues, with a very small number of members – namely Vice-President Tajani, Commission Vice-President Kristalina Georgieva, Council Secretary-General Jeppe Tranholm-Mikkelsen and Deputy Prime Minister of Belgium Jan Jambon – was set up.

At the group's most recent meeting, a number of points were discussed on the basis of a document drawn up jointly by the Secretaries-General of Parliament, the Council and the Commission, including the two vital issues of the need for a clear and formally established definition of the European district and the designation of a single body within the Belgian authorities to consider, track and take action on all security issues that arise in the district.

Other more general issues were also discussed, such as CCTV coverage, specific security measures for events held in public places, the conclusion of a formal agreement on a police and military presence, even when the state of alert is at its lowest, and security screening of external service providers employed by the European institutions.

### **Outcomes:**

- A memorandum of understanding was signed on 18 October 2016 between the EU institutions and the Belgian Ministry of Foreign Affairs with the aim of introducing arrangements for systematic screening of all external service providers employed by the EU institutions;
- As part of an in-depth analysis of CCTV cover in the European district, the Belgian authorities asked the institutions to inform them of the specific needs in the areas immediately around their buildings;
- The Belgian authorities launched a security study with the aim of establishing an urban planning framework for security requirements in the European district. The needs and wishes of the institutions were fully incorporated into the specifications for this study;
- The Belgian authorities will now maintain a permanent military presence around Parliament's buildings, including when the state of alert is at its lowest. The Crisis Centre informed the European institutions of its intention to introduce, on 8 November 2016, a new security concept drawn up by the Belgian National Security Council that lays down operational instructions for the military personnel stationed in the European district. This new concept, which is better tailored to the current terrorist threat, is based on mobile patrols by military personnel in the areas around Parliament's buildings;
- A rest room with a separate entrance from the outside and no connection to the rest of the building was set up in the ASP Building for the Belgian military personnel permanently stationed in the vicinity of Parliament's buildings.

In addition, on 11 April 2016 the Bureau adopted a series of measures to tighten up the security arrangements for Parliament's central buildings in Brussels and Strasbourg and protect them more effectively against the risk of intrusion or terrorist attack by creating a security perimeter around them. As these measures will have an impact on vehicle access and movement in the buildings' outer perimeter, authorisation needs to be sought from the relevant Belgian and French national authorities before they can be introduced.

Contacts were established with the Belgian and French authorities in 2016, in order to make the case for these plans.

With regard to Brussels, the President has written to the Prime Minister, and Vice-Presidents Tajani, Sassoli and Wieland have also written to the President of the Brussels-Capital Region. In addition, the Secretary-General and DG SAFE have had several meetings with the Brussels Government Commissioner with responsibility for relations between the Brussels Region and the European institutions to discuss these issues.

The first positive outcome in Brussels has been the approval by the Belgian authorities of a plan to turn the section of rue Wiertz between the rue Vautier roundabout and the rue Montoyer crossroads into a pedestrian zone. The zone will be closed to all traffic except emergency and security service vehicles, fire engines, police and military vehicles and vehicles used for official visits. However, before the plan can be implemented, a feasibility study needs to be carried out, a formal application must be made to the authorities and planning permission must be sought. It has been agreed that provisional arrangements will be made to prevent vehicles from entering the zone until such time as the plan is fully implemented.

With regard to Strasbourg, contacts have been established with the City and Eurométropole authorities with a view to protecting the entrances to the Louise Weiss and Winston Churchill Buildings and to the construction of secure reception and control lodges outside each building. Pending the finalisation of agreements on use of part of the public area in front of the Louise Weiss and Winston Churchill forecourts and alterations to the neighbouring roads, a temporary reception and control lodge has been installed opposite the Louise Weiss Building.

## **II.2) - Measures to strengthen the security level of Parliament's buildings**

In connection with measures to upgrade the buildings, in April 2016 the Bureau approved a general update on all the security work and investments previously approved for Brussels and Strasbourg and the scheduling thereof for 2016 and 2017.

Since 2014 the Bureau has taken a series of decisions to tailor security and protection arrangements at Parliament's buildings, which were designed and acquired before terrorism became widespread, to the new types of risk now faced.

In this connection, the Bureau asked for the entrances to all Parliament buildings at the three places of work to be improved and reorganised on the basis of a new security concept that can deliver a calm and safe working environment while retaining the openness that is the hallmark of our institution. The Bureau also asked for the glazed façades of Parliament's main buildings to be strengthened by means of anti-shatter film and, in the most sensitive areas, bullet-proof glass.

In this context, DG SAFE commissioned a security engineering expert to make detailed studies of each of the buildings occupied by Parliament and to recommend ways of making the entrances and exits, immediate surroundings and glazed façades more secure.



DG INLO conducted feasibility studies into the issues raised by the expert and produced estimates of the cost of the necessary works, which were then analysed jointly by the two DGs.

On the basis of this working method and close cooperation between DGs INLO and SAFE, the Simone Veil and rue Wiertz entrances to the Altiero Spinelli Building (ASP) were completely reorganised between October 2015 and April 2016 and the general plan for security work on the buildings in Brussels and Strasbourg for 2016 and 2017 that was submitted to and approved by the Bureau in April 2016 was drawn up.

The entrances to the József Antall (JAN), Willy Brandt (WIB) and Atrium (ATR) buildings and the House of European History were reorganised in 2016 on the basis of the same security concept.

Work to improve the security facilities at the entrances to the Strasbourg buildings and the outlying buildings in Brussels will be performed subsequently. In Luxembourg, the security concept that was approved has been integrated into the new KAD Building construction process.

Work to strengthen the glazed façades of Parliament's main buildings has already been completed in the following buildings: Trèves (TRI), Wiertz (WIE), József Antall (JAN), Willy Brandt (WIB) and Remard (RMD) in Brussels and Salvador de Madariaga (SDM) and Pierre Pflimlin (PFL) in Strasbourg. All the other work will be carried out in stages and completed before the end of 2017, adhering strictly to the timetable approved by the Bureau.

### **3. EVALUATION AND EFFECTIVENESS OF INTERNAL CONTROLS, INCLUDING AN OVERALL ASSESSMENT OF THE CONTROLS' COST-EFFECTIVENESS (ARTICLE 66(9) FR)**

An overview of the application of the minimum control standards is given in Annex 6.8.

All the standards are being applied. In particular, the following should be emphasised:

- An assessment is made of directorate-general risks (ref. MICS 6) and directorate risks each year, and the findings are included in the Risk Register. For each risk, an action plan and an implementation timetable are drawn up.

- Significant results were achieved in respect of the following performance indicators (refs MICS 5, 13 and 15), despite a heavy workload:

- all invoices were paid within an average period of 13.49 days, which is three days earlier than the average for Parliament as a whole (16.85 days);
- no interest on arrears was paid in respect of any invoices;
- unannounced spot checks are carried out every month to verify the quality of the services provided by security firms (security and fire safety);
- all expenditure invoiced by the Commission under the addendum to the administrative agreement on the management of Europe Houses is the subject of quarterly ex post checks;
- all equipment purchased is paid for in full following delivery or a 90% payment is made on provisional acceptance.

- Implementing the iPACS project is a major task for the directorate-general. The preparations for the award of contracts for this extremely complex project, which is based on wholly new technology, took up a very large number of staff hours. In addition, for the award of the contracts, a competitive tendering procedure was reopened for the shortlisted firms. Four contracts worth close to EUR 1.7 million were finally awarded in 2016.

- The following should be noted in connection with the evaluation of activities (MICS 14):
  - the changes made to building opening times in 2016 in order to bring them into line with Parliament's business hours. The buildings are now closed outside working hours and at weekends, although access may be gained to them if necessary. An assessment was made of the effectiveness of this new arrangement between January and June 2016;
  - a system of monthly checks on items included in the inventory was introduced and a network of correspondents was set up in order to keep a better track of property. In 2016, 681 items were entered in the inventory and 11 removed from it.

- As regards communication (MICS 8 and 12), a workshop was held for all financial actors in the directorate-general. The aim was both to provide information on the changes introduced under the new Financial Regulation, in particular to the public procurement rules, and to go over the DG's own internal procedures, drawing attention to the importance of following up document circulation slips and checklists, 'certified correct' forms, signature delegations, etc.

- The new sections included in standards 10 and 11 still need to be finalised. Given that the Bureau decided on 3 May 2016 to transfer responsibility for business continuity management to the Secretary-General's central services, DG SAFE is now awaiting new management instructions.

As regards standard 11 on document management, the management plan is currently in the process of being finalised, and should be ready in 2017.

- Assessment of the costs and benefits of controls (MICS 15) is dependent on day-to-day vigilance on the part of all financial actors, particularly the ex-ante verifying officer. During 2016, the ex-ante service verified the award of 22 contracts, 161 expenditure commitments, 15 recovery orders and 374 payment orders. No transaction was found to call for remarks or was ruled non-compliant (see Annex 6.3).

These assessments provide an assurance as to the efficient and effective functioning of the internal control systems.

#### **4. CONCLUSIONS**

This report provides an overview of the work carried out in 2016 by DG SAFE in the various areas coming under its responsibility and demonstrates that it succeeded in meeting the expectations of the authorities while dealing with the complex and sensitive issues arising in a year in which the security context was once again difficult and tension was high as a result of the terrorist attacks carried out in Europe, in particular in Brussels.

Parliament accordingly maintained a high state of alert and DG SAFE deployed additional resources throughout the year, thus ensuring that a proper level of security and vigilance was maintained while Parliament was able to go about its business and to remain open to the public. During the course of the year, despite the tense security situation, close to 260 000 people came to the Parliamentarium and 2600 sponsored groups, 2200 unsponsored groups and 91 000 individuals visited Parliament, making for a total of close to 500 000 visitors during the year when the 5000 events organised by individual Members are taken into account. DG SAFE staff also provided security services for 812 official visits. When Members and Parliament staff are added to the external visitor numbers, an average of 11 000 people per day came into Parliament in 2016.

As a result of closer cooperation at political level on security matters between Parliament and the other EU institutions and the national authorities of the host countries, in particular the Belgian authorities, major progress was made on key issues such as securing the areas immediately around Parliament's buildings and the European district as a whole. The EU institutions and the Belgian Ministry of Foreign Affairs concluded an agreement on security screening of all employees of outside firms working in the EU institutions in October 2016 and Parliament was added to the list of organisations to which ministerial circular OOP21.10 applies, meaning that it can now instruct armed in-house security staff to carry out certain tasks, as the Council and Commission are also able to do.

In close cooperation with DG INLO, an extensive programme of works to enhance security at all of Parliament's buildings was begun, and a large number of entrances were completely reorganised. Without undermining the image of openness and transparency it is important to preserve, the new entrances now project a far more professional and serious image, worthy of an institution of Parliament's standing.

DG SAFE also consolidated its organisational structure with the filling of three head of unit posts and a number of other posts created for it in the 2016 budget and amending budget and the recruitment of security and safety staff for the new buildings. The Bureau also approved the setting up of a new Protection Unit in Directorate A (PASS), made up of staff responsible for providing close protection services for the President and armed staff whose task it will be to maintain security at strategic points on Parliament's premises.

During the year, permanent contracts were granted to 260 contract staff members (more than half the current staff complement) whose initial one-year contracts had already been renewed twice. This reflects a desire to lose no time in placing the contracts of staff members responsible for security and safety tasks on a stable footing, in accordance with the Staff Regulations.

In spite of what was a difficult environment, DG SAFE adhered to the strategy set out under the Global Security Concept, which proved its worth once again. In this context, further progress was made with the professionalisation policy, under which 32 000 hours of professional training were given during the year (double the number of hours in 2015).

Work also continued on drafting an annual schedule that could then be adjusted to take account of new events and visits and of new security developments and risk assessments without disrupting the schedules already drawn up, thus allowing all staff members to enjoy a proper work-life balance.

Furthermore, in the knowledge that Parliament's security arrangements must be in keeping with the principles of lawfulness, transparency, proportionality and accountability, DG SAFE worked closely with the Legal Service on drawing up a draft decision on security in Parliament that lays down a clear set of rules governing the performance of the DG's complex and sensitive duties in all the areas coming within its remit. That draft is in the process of being finalised and should be submitted to the Bureau in the first half of 2017.

Lastly, the same high standards of budget management were maintained as in the previous financial year. The implementation rate was higher than 95%, no opinions or remarks were put forward by ex ante verifiers and no interest on arrears was charged. Initial appropriations were cut by approximately €6 000 000. This is because, following an appraisal of its maintenance and investment requirements, DG SAFE requested a budget of €8 204 500 in December 2014. When the estimates were drawn up, the budgetary authority decided to earmark an exceptional sum of €15 million for special and urgent security and cybersecurity investments.

From that amount, an additional €5.45 million was allocated to DG SAFE under Sub-Item 2140-08.

The multiannual plan for the modernisation and integration of Parliament's access control facilities that was adopted by the Bureau on 9 March 2015 included a phased investment schedule under which operations got under way in 2016 following extensive preparatory work and 2017 will be the first full year.

The above figure of close to €6 million is made up mainly of the additional appropriations allocated to the DG in the 2016 budget.

## 5. DECLARATION BY THE AUTHORISING OFFICER BY DELEGATION

I, the undersigned, Elio Carozza

Director-General of DG SAFE

hereby declare, in my capacity as authorising officer by delegation, that I have reasonable assurance that:

- a) the information contained in the report presents a true and fair view;
- b) 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;
- c) the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

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 Audit Service, as well as the lessons learned from the reports of the Court of Auditors for financial years prior to that for which this declaration is being made.

I also confirm that I am not aware of any fact not set down herein that could be prejudicial to the interests of the institution.

However, the following qualifications/remarks should be noted: *[if applicable]*.

*[By way of qualifications, the authorising officer by delegation could, for example, draw attention to specific risks which arose in connection with the implementation of appropriations or to failings that were detected. In such cases, details must be provided of the remedial action taken or to be taken by the authorising officer by delegation.]*

Done at  
on  
Signature

**6. ANNEXES**

**6.1 2016 Budget implementation statement**

Poste	Intitulé	Crédits Initiaux	Virements + Budg. Suppl.	Crédits Actuels	Engagements Contractés	% Util.	Paiements Effectués	Soldes des Engag. E.C.	Crédits Disponibles
02...	IMMEUBLES, MOBILIER, EQUIPEMENT ET DEPENSES DIVERSES DE FONCTIONNEMENT								
020..	IMMEUBLES ET FRAIS ACCESSOIRES								
0202.	FRAIS AFFERENTS AUX IMMEUBLES								
02026	SECURITE ET SURVEILLANCE DES IMMEUBLES								
	<b>Total Poste 02026</b>	16.760.000,00	0,00	16.760.000,00	16.231.922,34	96,85	14.706.293,88	1.525.628,46	528.077,66
021..	INFORMATIQUE, EQUIPEMENT ET MOBILIER								
0210.	INFORMATIQUE ET TÉLÉCOMMUNICATIONS								
02102									
	<b>Total Poste 02102</b>	290.000,00	0,00	290.000,00	286.309,70	98,73	116.825,19	169.484,51	3.690,30
02105									
	<b>Total Poste 02105</b>	100.000,00	100.000,00-	0,00	0,00	100,00	0,00	0,00	0,00
	<b>Total Article 0210.</b>	390.000,00	100.000,00-	290.000,00	286.309,70	98,73	116.825,19	169.484,51	3.690,30
0214.	MATERIEL ET INSTALLATIONS TECHNIQUES								
02140	MATERIEL ET INSTALLATIONS TECHNIQUES								
	<b>Total Poste 02140</b>	13.654.500,00	6.150.000,00-	7.504.500,00	6.845.131,53	91,21	2.626.678,85	4.218.452,68	659.368,47
	<b>Total Chapitre 021..</b>	14.044.500,00	6.250.000,00-	7.794.500,00	7.131.441,23	91,49	2.743.504,04	4.387.937,19	663.058,77
023..	DÉPENSES DE FONCTIONNEMENT ADMINISTRATIF COURANT								
0238.	AUTRES DÉPENSES DE FONCTIONNEMENT ADMINISTRATIF								
02380	AUTRES DÉPENSES DE FONCTIONNEMENT ADMINISTRATIF								
	<b>Total Poste 02380</b>	536.750,00	15.000,00	551.750,00	540.900,00	98,03	397.878,74	143.021,26	10.850,00
	<b>Total Titre 02...</b>	31.341.250,00	6.235.000,00-	25.106.250,00	23.904.263,57	95,21	17.847.676,66	6.056.586,91	1.201.986,43

Poste	Intitulé	Crédits Initiaux	Virements + Budg. Suppl.	Crédits Actuels	Engagements Contractés	% Util.	Paiements Effectués	Soldes des Engag. E.C.	Crédits Disponibles
03...	DEPENSES RESULTANT DE L'EXERCICE PAR L'INSTITUTION DE MISSIONS GENERALES								
032..	EXPERTISE ET INFORMATION : ACQUISITION, ARCHIVAGE, PRODUCTION ET DIFFUSION								
0320.	ACQUISITION D'EXPERTISE								
03200	ACQUISITION D'EXPERTISE								
	<b>Total Poste 03200</b>	550.000,00	0,00	550.000,00	375.796,25	68,33	222.720,45	153.075,80	174.203,75
	<b>Total Titre 03...</b>	550.000,00	0,00	550.000,00	375.796,25	68,33	222.720,45	153.075,80	174.203,75
	<b>Total Général</b>	31.891.250,00	6.235.000,00-	25.656.250,00	24.280.059,82	94,64	18.070.397,11	6.209.662,71	1.376.190,18



Poste	Intitulé	Crédits Reportés	Crédits Actuels	Engagements Contractés	Paiements Effectués	% Util.	Reste à payer	Reliquat de Conversion
<b>02...</b>	IMMEUBLES, MOBILIER, EQUIPEMENT ET DEPENSES DIVERSES DE FONCTIONNEMENT							
<b>020..</b>	IMMEUBLES ET FRAIS ACCESSOIRES							
0202.	FRAIS AFFERENTS AUX IMMEUBLES							
02026	SECURITE ET SURVEILLANCE DES IMMEUBLES							
	<b>Total Poste 02026</b>	1.624.763,50	1.624.763,50	1.624.763,50	1.419.986,50	87,40	204.777,00	0,00
<b>021..</b>	INFORMATIQUE, EQUIPEMENT ET MOBILIER							
0210.	INFORMATIQUE ET TÉLÉCOMMUNICATIONS							
02102								
	<b>Total Poste 02102</b>	60.367,29	60.367,29	60.367,29	59.988,65	99,37	378,64	0,00
0214.	MATERIEL ET INSTALLATIONS TECHNIQUES							
02140	MATERIEL ET INSTALLATIONS TECHNIQUES							
	<b>Total Poste 02140</b>	2.677.959,74	2.677.959,74	2.677.959,74	2.489.787,64	92,97	188.172,10	0,00
	<b>Total Chapitre 021..</b>	2.738.327,03	2.738.327,03	2.738.327,03	2.549.776,29	93,11	188.550,74	0,00
<b>023..</b>	DÉPENSES DE FONCTIONNEMENT ADMINISTRATIF COURANT							
0238.	AUTRES DÉPENSES DE FONCTIONNEMENT ADMINISTRATIF							
02380	AUTRES DÉPENSES DE FONCTIONNEMENT ADMINISTRATIF							
	<b>Total Poste 02380</b>	56.193,95	56.193,95	56.193,95	55.726,32	99,17	467,63	0,00
	<b>Total Titre 02...</b>	4.419.284,48	4.419.284,48	4.419.284,48	4.025.489,11	91,09	393.795,37	0,00

Poste	Intitulé	Crédits Reportés	Crédits Actuels	Engagements Contractés	Paiements Effectués	% Util.	Reste à payer	Reliquat de Conversion
03...	DEPENSES RESULTANT DE L'EXERCICE PAR L'INSTITUTION DE MISSIONS GENERALES							
032..	EXPERTISE ET INFORMATION : ACQUISITION, ARCHIVAGE, PRODUCTION ET DIFFUSION							
0320.	ACQUISITION D'EXPERTISE							
03200	ACQUISITION D'EXPERTISE							
	<b>Total Poste 03200</b>	75.036,00	75.036,00	75.036,00	71.709,76	95,57	3.326,24	0,00
	<b>Total Titre 03...</b>	75.036,00	75.036,00	75.036,00	71.709,76	95,57	3.326,24	0,00
	<b>Total Général</b>	4.494.320,48	4.494.320,48	4.494.320,48	4.097.198,87	91,16	397.121,61	0,00



Poste	Intitulé	Virements	Crédits an. cumulés.	Crédits Actuels	Engagements Contractés	% Util.	Paiements Effectués	Soldes des Engag. E.C.	Crédits Disponibles
02...	IMMEUBLES, MOBILIER, EQUIPEMENT ET DEPENSES DIVERSES DE FONCTIONNEMENT								
020..	IMMEUBLES ET FRAIS ACCESSOIRES								
0202.	FRAIS AFFERENTS AUX IMMEUBLES								
02026	SECURITE ET SURVEILLANCE DES IMMEUBLES								
	<b>Total Poste 02026</b>	0,00	186.227,71	186.227,71	117.807,00	63,26	117.807,00	0,00	68.420,71
021..	INFORMATIQUE, EQUIPEMENT ET MOBILIER								
0214.	MATERIEL ET INSTALLATIONS TECHNIQUES								
02140	MATERIEL ET INSTALLATIONS TECHNIQUES								
	<b>Total Poste 02140</b>	0,00	13.931,16	13.931,16	13.931,16	100,00	0,00	13.931,16	0,00
	<b>Total Titre 02...</b>	0,00	200.158,87	200.158,87	131.738,16	65,82	117.807,00	13.931,16	68.420,71
	<b>Total Général</b>	0,00	200.158,87	200.158,87	131.738,16	65,82	117.807,00	13.931,16	68.420,71

Poste	Intitulé	Crédits Initiaux	Crédits Actuels	Engagements Contractés	Paiements Effectués	% Util.	Soldes des Engagements	Crédits disponibles
<b>02...</b>	IMMEUBLES, MOBILIER, EQUIPEMENT ET DEPENSES DIVERSES DE FONCTIONNEMENT							
<b>020..</b>	IMMEUBLES ET FRAIS ACCESSOIRES							
0202.	FRAIS AFFECTES AUX IMMEUBLES							
02026	SECURITE ET SURVEILLANCE DES IMMEUBLES							
	<b>Total Poste 02026</b>	94.762,40	94.762,40	94.762,40	94.762,40	*****	0,00	0,00
<b>021..</b>	INFORMATIQUE, EQUIPEMENT ET MOBILIER							
0214.	MATERIEL ET INSTALLATIONS TECHNIQUES							
02140	MATERIEL ET INSTALLATIONS TECHNIQUES							
	<b>Total Poste 02140</b>	22.688,55	22.688,55	22.688,55	22.688,55	*****	0,00	0,00
	<b>Total Titre 02...</b>	117.450,95	117.450,95	117.450,95	117.450,95	*****	0,00	0,00
	<b>Total Général</b>	117.450,95	117.450,95	117.450,95	117.450,95	*****	0,00	0,00

Poste	Intitulé		Crédits Reportés	Crédits Actuels	Engagements Contractés	Paiements Effectués	% Util.	Reste à payer
02...								
020..								
0202.								
02026								
	<b>Total Poste</b>	<b>02026</b>	<b>95.912,47</b>	<b>95.912,47</b>	<b>95.912,47</b>	<b>46.089,33</b>	<b>48,05</b>	<b>49.823,14</b>
	<b>Total Article</b>	<b>0202.</b>	<b>95.912,47</b>	<b>95.912,47</b>	<b>95.912,47</b>	<b>46.089,33</b>	<b>48,05</b>	<b>49.823,14</b>
	<b>Total Chapitre</b>	<b>020..</b>	<b>95.912,47</b>	<b>95.912,47</b>	<b>95.912,47</b>	<b>46.089,33</b>	<b>48,05</b>	<b>49.823,14</b>
	<b>Total Titre</b>	<b>02...</b>	<b>95.912,47</b>	<b>95.912,47</b>	<b>95.912,47</b>	<b>46.089,33</b>	<b>48,05</b>	<b>49.823,14</b>
	<b>Total Général</b>		<b>95.912,47</b>	<b>95.912,47</b>	<b>95.912,47</b>	<b>46.089,33</b>	<b>48,05</b>	<b>49.823,14</b>







## 6.2. Rapport sur les délais de paiement

<b>Factures payées en 2016</b>		<b>Intérêts de retard à payer d'office (&gt;200€)</b>	<b>Intérêts de retard à payer à la demande (&lt;=200€)</b>	<b>Pas d'intérêts de retard à payer</b>	<b>Total</b>
<b>Endéans le délai</b>	<b>Nombre de factures</b>			483	483
	<b>Montant total des factures (EUR)</b>			22.747.739,85	22.747.739,85
<b>Hors délai</b>	<b>Nombre de factures</b>				
	<b>Montant total des factures (EUR)</b>				
	<b>Montant des intérêts de retard (EUR)</b>				
Nombre total de factures				483	483
Montant total des factures (EUR)				22.747.739,85	22.747.739,85

### 6.3. Liste des exceptions - dérogations à la réglementation

#### Dérogations aux procédures

Les décisions dérogeant aux procédures établies et aux réglementations applicables							
Réf. document (réf. Finord, contrat, etc.)	Ordonnateur compétent	Objet	Montant	Avis vérificateurs		Décision	
				conforme avec observation / non conforme	Justification	Ordonnateur compétent	Justification
EP/DGPRES/SEC/FOUR/2012/053/LOT1/EXT	Elio Carozza	Achats de tenues de service pour les agents de sécurité	380.000,-€	conforme	134.1.f (i)  Avis d'attribution de marché OJEU 2016/S 079-139481	Elio Carozza	Il s'agit ici de livraisons complémentaires article 134.1.f (i) du RAP pour lesquelles le changement de fournisseur obligerait le pouvoir adjudicateur à acquérir des fournitures ayant des caractéristiques différentes entraînant une incompatibilité. Ce besoin complémentaire est rendu nécessaire du fait d'une augmentation du nombre d'agents recrutés (+150) et d'un turnover plus élevé qu'estimé. Le montant supplémentaire afin de couvrir les besoins jusqu'à la fin de l'année 2016 est de 380.000 €; l'appel d'offres ouvert (2016-006) pour les fournitures étant en préparation à l'époque de la conclusion de cette PN.
EP/DGSAF E/DIRA/FOUR/2016-002 CAT 1	Elio Carozza	Achat d'armes et munitions	27.000 €	Conforme		Elio Carozza	Demande d'offre faite directement à l'importateur.

## Renonciations/annulations de créance

Les procédures de renonciations/annulations de créance				
Réf. document (réf. Finord)	Ordonnateur compétent	Objet	Montant	Justification de l'ordonnateur quant à la renonciation/annulation
2015/5018/106	Francesca RATTI	Abandon de créance (Comite Économique et social)	4.068,00 €	Suite à la décision du Secrétaire général du 26/01/2016 d'autoriser le CESE à bénéficier (à compter du 01/01/2015) des services de sécurité à titre gracieux lors de la tenue de ses réunions dans les locaux du PE, les ordres de recouvrement postérieurement émis ont été annulés.
2015/5019/106			24.330,50 €	
2013/5056/106	Francesca RATTI	Abandon de créance (Comite des Régions)	32.720,00 €	Suite à la décision du Secrétaire général du 26/01/2016 d'autoriser le CdR à bénéficier (à compter du 01/01/2015) des services de sécurité à titre gracieux lors de la tenue de ses réunions dans les locaux du PE, une négociation entre le PE et le CdR a eu lieu pour permettre le règlement des ordres de recouvrement (OR) « ouverts ». En raison de l'impossibilité pour le CdR d'acquitter les OR antérieurs à 2015, il a été décidé : - l'annulation des OR émis par le PE avant 2015, - et le paiement par le CdR des OR de 2015 dont le montant équivalait à la somme de ceux des années précédentes.
2014/7614/585			10.848,00 €	
2014/7615/106			14.240,00 €	
2014/7631/106			14.779,50 €	

**RAA ANNUEL 2016**  
**ANNEXE 6.4 OBLIGATIONS CONTRACTUELLES DE LONGUE DUREE**

Contractant	Objet	Durée		Valeur totale marché	Dépense contractuelle pour 2016	Type de renouvellement	Description des mesures de contrôle
		Contrat	Marché				
G4S Security Solutions (10117)	<p style="text-align: center;"><u>Contrat-cadre</u>            EP/DGPRES/G/SER/2011-64            Prestations de sécurité générale(domaine 1), incendie (domaine 2) + maintenance systèmes radiocommunication et contrôle de rondes (domaine 3) au Luxembourg.</p> <p style="text-align: center;">(Indiqué sur reporting-2015)            (Fin contrat 31/03/2017)</p>	5 ans	5 ans	48.122.030,00 €	7.191.539,64 €	5 x 12 Renouvellement automatique	<p>Tous les domaines sont soumis à l'approbation des services par les unités opérationnelles responsables.</p> <p>De plus, en fonction des domaines, les mesures suivantes sont également utilisées afin d'assurer un contrôle :</p> <p>Domaines 1 et 2</p> <ol style="list-style-type: none"> <li>1) Logiciel de contrôle de rondes</li> <li>2) Système de pointage de type biométrique</li> <li>3) Contrôles inopinés par le Parlement Européen</li> </ol> <p>Domaine 3</p> <ol style="list-style-type: none"> <li>1) Bon de travail</li> <li>2) Fiche d'incidents</li> <li>3) Note technique</li> <li>4) Rapport de réunion/trimestriels de synthèse/annuel</li> </ol>
Sipro Sigurenza Professionale S.r.L. Unipersonale (97887) Jusqu'au 30/04/2016 Securpol Group (103536) A partir du 01/05/2016	<p><u>Contrat direct</u>  <u>PO/2013-11-SEC/ROM/LOT3</u>            Prestations de gardiennage et accueil pour le Bureau d'Information du PE à Milan            (Indiqué sur reporting 2015)            (Fin contrat 31/10/2018)</p>	5 ans	5 ans	400.000 €	Sipro 28.621.08 € Securpol 21.468.25 €	Renouvellement automatique	- Approbation des "time sheets" par le service responsable.

**RAA ANNUEL 2016**  
**ANNEXE 6.4 OBLIGATIONS CONTRACTUELLES DE LONGUE DUREE**

Contractant	Objet	Durée		Valeur totale marché	Dépense contractuelle pour 2016	Type de renouvellement	Description des mesures de contrôle
		Protocole	Protocole				
CE/COMM	<p><u>Protocole d'accord PE-CE/COMM</u></p> <p>Arrangement administratif pour la sécurité (Volet gardiennage) dans les "Maisons de l'Union européenne"</p> <p>(Addendum Protocole d'accord-2007 entrée en vigueur le 1 mars 2014) (Indiqué sur reporting 2015)</p>	Indéterminé		Sera connue en nov. 2017 après le processus de régularisation	1.531.086,10 €	Renouvellement automatique	L'addendum à l'arrangement administratif prévoit en son article 6 que le PE se réserve le droit de procéder à des contrôles par échantillonnage (selon une méthode à convenir entre les Institutions). Les ordonnateurs chefs de file et gestionnaires des contrats prennent les dispositions appropriées afin de mettre à tout moment à disposition les pièces justificatives à l'appui des ordres de paiement à tout agent représentant l'ordonnateur responsable du PE en leur donnant accès aux pièces originales sur place dans les Maisons de UE ou bien aux copies par voie électronique. A cela s'ajoutent des réunions et échanges d'informations sur base régulière, entre les services responsables de la DG COMM (CE) et l'Unité Budget de la DG SAFE

**Annexe 6.5 : Rapport sur les Procédures négociées exceptionnelles (visées par les articles 134 et 135 des RAP).**

**Direction générale de la sécurité et de la protection**

Nom/s de/s l'attributaire/s	Montant	Base juridique	Motif	Candidats		Critères d'acceptabilité	Référence du Marché	Date Avis FMP
				Invités	Pour négociation			
TORFAL	€380.000,00	PN article 134 1.f)	Additional deliveries intended as extension of existing supplies where a change of supplier would oblige to acquire supplies with different technical characteristics.	1	1	Identical offer and price under conditions of FWC 2012-053	EP/DGPRES/SEC/FOUR/2012-053/Lot1	Avis négatif le 28/04/2016
TORFAL	€20.000,00	PN article 134 1.c)	Besoins urgents à couvrir en l'attente de la décision d'attribution de l'AO en cours	1	1	Identical offer and price under conditions of FWC 2012-053	EP/DGSAFE/DIRC/FOUR/2012-053/1 lot 3	n.a. (<= 135.000 €)
W.I.S. SICHERHEIT+SER VICE CO	€1.498,44	PN article 134.1 i)	Informations ne pouvant être divulguées	1	1	offre conforme et prix acceptable	EP/DGSAFE/UTSI/FOUR/2016-005	n.a. (<= 135.000 €)

ELEKTRO ROSEMEYER	Reparation système de sécurité	€4.113,13	PN article 134.1.i)	Informations ne pouvant être divulguées	1	1	offre conforme et prix acceptable	EP/DGSAFE/UTSI/ FOUR/2016-008	n.a. (<= 135.000 €)
ELEKTRO ROSEMEYER	Renforcement de mesures de sécurité	€4.878,10	PN article 134 1.i)	Informations ne pouvant être divulguées	1	1	offre conforme et prix acceptable	EP/DGSAFE/UTSI/ FOUR/2016-050	n.a. (<= 135.000 €)
MAGNEY	Renforcement de mesures de sécurité	€4.015,05	PN article 134 1.i)	Informations ne pouvant être divulguées	1	1	offre conforme et prix acceptable	EP/DGSAFE/UTSI/ FOUR/2016-051	n.a. (<= 135.000 €)
MEINOLF DACHTECHNIK	Renforcement de mesures de sécurité	€710,00	PN article 134 1.i)	Informations ne pouvant être divulguées	1	1	offre conforme et prix acceptable	EP/DGSAFE/UTSI/ FOUR/2016-052	n.a. (<= 135.000 €)

BRAMMERTZ	Renforcement de mesures de sécurité	€3.835,00	PN article 134 1.i)	Informations ne pouvant être divulguées	1	1	offre conforme et prix acceptable	EP/DGSAFE/UTSI/FOUR/2016-053	n.a. (<= 135.000 €)
ELEKTRO ROSEMEYER	Renforcement de mesures de sécurité	€707,91	PN article 134 1.i)	Informations ne pouvant être divulguées	1	1	offre conforme et prix acceptable	EP/DGSAFE/UTSI/FOUR/2016-054	n.a. (<= 135.000 €)
ABIOVA	Maintenance des lecteurs de pointage Abiova pour le site de Bruxelles et Strasbourg.	€59.440,00	PN article 134 1.b.iii)	Abiova est le propriétaire du programme	1	1	offre conforme et prix acceptable	EP/DGSAFE/UTSI/SER/2016-018	n.a. (<= 135.000 €, marchés antérieurs compris depuis 2013 compris)



## 6.6 Résultat des évaluations ex-post

**NON APPLICABLE**

## **Annexe 6.7. – FONCTIONS SENSIBLES**

La DG SAFE a conduit son exercice d'évaluation des fonctions sensibles en 2016. Les questionnaires ont fait l'objet d'une réévaluation complète de la part des Directeurs et Chefs d'Unités.

Comme déjà mentionné dans les rapports de 2014 et de 2015, une lecture plus large du questionnaire a été nécessaire en raison de son angle très financier qui s'applique difficilement aux activités de la DG SAFE.

Il a en effet souvent été considéré comme difficile voire impossible de répondre à un grand nombre de questions en raison de leur angle très financier ne s'appliquant pas au caractère spécifique des activités de la DG SAFE, en outre, de nature souvent hautement confidentielle. Dans ce contexte, les postes de Directeurs n'ont pas fait l'objet d'une évaluation.

L'évaluation de la sensibilité des postes amène aux conclusions suivantes :

– Chefs d'Unité et autres acteurs financiers :

Après l'évaluation, aucun poste ne laisse apparaître un risque résiduel non acceptable. Les outils et les instructions spécifiques mis en place à la DG SAFE concernant le degré de compétences (plafond des subdélégations pour les actes budgétaires et les actes légaux prévus par le Règlement Financier) ainsi que les guidelines pour le traitement des dossiers financiers (check-lists, fiche de circulation, tableau des acteurs financiers etc.) sont en vigueur et respectés par tous. En outre les Chefs d'Unité et Responsables d'Unités assurent, inter alia, la gestion opérationnelle de leurs activités. Toutes les décisions stratégiques sont supervisées par leur Directeur respectif voire par le Directeur Général.

– Postes opérationnels et administratifs :

Après l'évaluation, aucun poste ne laisse apparaître un risque résiduel. Chaque poste est sujet à un contrôle du supérieur hiérarchique.

## Annexe 6.8. Évaluation de la mise en œuvre des normes minimales de contrôle interne

Tableau synoptique d'évaluation

N° norme 2014	N° norme 2002	achevée	presque	en partie	démarrée	à démarrer / NA
<b>Section 1: Mission et valeurs</b>						
1. Mission	2	X				
2. Valeurs éthiques et organisationnelles	1	X				
<b>Section 2: Ressources humaines</b>						
3. Affectation du personnel et mobilité	3	X				
4. Évaluation et développement du personnel	3, 4	X				
<b>Section 3: Processus de planification et gestion des risques</b>						
5. Objectifs et indicateurs de performance	7, 9, 10	X				
6. Processus de gestion des risques	11	X				
<b>Section 4: Opérations et activités de contrôle</b>						
7. Structure opérationnelle	5, 6	X				
8. Processus et procédures	15, 18	X				
9. Supervision par le management	17	X				
10. Continuité des opérations	19			X		
11. Gestion des documents	13			X		
<b>Section 5: Information et reporting financier</b>						
12. Information et communication *	13, 14	X				
13. Information comptable et financière	12	X				
<b>Section 6: Évaluation et audit</b>						
14. Évaluation des activités	n/a	X				
15. Évaluation des systèmes de du contrôle interne	20, 22	X				
16. Rapports d'audit	21	X				

\* achevée pour les systèmes d'information gérés par la DG SAFE

**Commentaires sur le résultat de l'exercice annuel de l'autoévaluation des NMCI adoptées par le Bureau le 16 juin 2014 et applicables depuis le 1<sup>er</sup> janvier 2015.**

Toutes les normes sont mises en œuvre. Toutefois pour les normes 10 et 11, les nouveaux volets applicables depuis le 01<sup>er</sup> janvier 2015, restent à finaliser (voir §3 du RAA).

N°	UNITES	OBJET	TYPE DE PROCEDURE	TYPE CONTRAT	DUREE CONTRAT	STATUT au 31.12.2016
1	DIR B + UTSI	Système de comptage des personnes à BXL (new) et STR (replacement)	PO	Direct	1 an	Reporté à 2017
2	USL/UPIL	Sécurité générale, incendie et rondes externes à LUX	PO	Cadre	4 ans	En cours d'évaluation
3	UTSI	Maintenance des équipements de sécurité à STR	PO	Cadre	4 ans	Publié
4	RH&P	Tenue de service des agents de sécurité (costumes LOT 1 + chaussures LOT 2 + outerwear LOT 3)	PO	Cadre	4 ans	Lots 1 et 2 attribués
5	USB	Matériels et équipements divers pour les agents de sécurité (oreillettes, radios, etc.)	PO	Cadre	4 ans	Reporté à 2017
6	USB	Gilets Pare-balles	PN 136bis	Cadre	4 ans	Attribué
7	UTSI	Intégrateur informatique	PO	Cadre	4 ans	Suspendu
8	UTSI	Uniformisation des réseaux radio sur les 3 sites	PO	Direct	1-2 ans	Reporté à 2017
9	UTSI	iPACS/PhySec4EP : procédures de remise en concurrence du contrat-cadre	-	Spécifique	-	4 procédures attribuées
10	UTSI	Sécurisation de deux entrées	PN 136bis	BdC	Ponctuel	Attribué
11	DIR B	Chasubles pour exercices d'évacuation	PN 137.1	Cadre	4 ans	Attribué
12	DIR A + UTSI	Radios et accessoires Bxl Str	PN 137.2	BdC	Ponctuel	Attribué
13	DIR B	Malettes pour stockage chasubles	PN	Cadre	4 ans	En cours d'évaluation
14	UTSI	Maintenance des lecteurs de pointage	PN 134.1.b)	Direct	4 ans	Attribué
15	USS	Barrières métalliques (dites Vauban ou Nadar)	PN 137.2	BdC	Ponctuel	Attribué
UTSI Unité "Technologies et sécurité de l'information" USB Unité "Sécurité Bxl" UPIL Unité "Prévention incendie Luxembourg" USL Unité "Sécurité Lux" RH&P Personnel & planning			PO : ouverte PR : restreinte en 2 phases PR : restreinte dans le cadre d'un AMI PN 136bis : négociée avec 5 candidats PN 137.2 : négociée avec 1 candidat PN 137.1 : négociée avec 3 candidats PN 134.1.b) : négociée justifiée par exclusivité, propriété intellectuelle En bleu : new ou modifié par rapport au tableau précédent			