

Annual Activity Report

2017

DG PRES

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0. BUDGETARY IMPLEMENTATION OVERVIEW

Code	Appropriation type	Type de crédits	EUR ou %	Formule
DG PRES	Appropriations of 2017	Crédits 2017		
A	Initial appropriations	Crédits initiaux	1573.000,00	
B	Final appropriations	Crédits finaux	1230.000,00	
C	Commitments	Engagements	1117.450,01	
D	Commitments in % of final appropriations	Engagements en % des crédits finaux	90,85%	D=C/B
E	Payments	Paiements	808.523,72	
F	Payments in % of commitments	Paiements en % des engagements	72,35%	F=E/C
G	Cancellations of 2017 final appropriations	Annulations de crédits finaux 2017	112.549,99	G=B-C-K
H	Cancellations appropriations in % of final appropriations	Annulations en % des crédits finaux	9,15%	H=G/B
	Appropriations carried forward from 2017 to 2018	Crédits reportés de 2017 à 2018		
I	Automatic carryforwards from 2017 to 2018	Crédits reportés automatiquement de 2017 à 2018	308.926,29	I=C-E
J	Automatic carryforwards from 2017 to 2018 in % of commitments	Crédits reportés automatiquement de 2017 à 2018 en % des engagements	27,65%	J=I/C
K	Non-automatic carryforwards from 2017 to 2018	Crédits reportés non-automatiquement de 2017 à 2018		
L	Non-automatic carryforwards from 2017 to 2018 in % of final appropriations	Crédits reportés non-automatiquement de 2017 à 2018 en % des crédits finaux		L=K/B
	Appropriations carried over from 2016 to 2017	Crédits reportés de 2016 à 2017		
M	Automatic carryovers from 2016 to 2017	Crédits reportés automatiquement de 2016 à 2017	555.310,91	
N	Payments against automatic carryovers from 2016 to 2017	Paiements sur crédits reportés automatiquement de 2016 à 2017	485.776,13	
O	Payments against automatic carryovers from 2016 to 2017 in % of automatic carryovers from 2016 to 2017	Paiements sur crédits reportés automatiquement de 2016 à 2017 en % des crédits reportés automatiquement de 2016 à 2017	87,48%	O=N/M
P	Cancellations of automatic carryovers from 2016 to 2017	Annulations de crédits reportés automatiquement de 2016 à 2017	69.534,78	P=M-N
Q	Cancellations of automatic carryovers from 2016 to 2017 in % of automatic carryovers from 2016 to 2017	Annulations de crédits reportés automatiquement de 2016 à 2017 en % des crédits reportés automatiquement de 2016 à 2017	12,52%	Q=P/M
R	Non-automatic carryovers from 2016 to 2017	Crédits reportés non-automatiquement de 2016 à 2017		
S	Payments of non-automatic carryovers from 2016 to 2017	Paiements sur crédits reportés non-automatiquement de 2016 à 2017		
T	Payments against non-automatic carryovers from 2016 to 2017 in % of non-automatic carryovers from 2016 to 2017	Paiements sur crédits reportés non-automatiquement de 2016 à 2017 en % des crédits reportés non-automatiquement de 2016 à 2017	-	T=S/R
U	Cancellations of non-automatic carryovers from 2016 to 2017	Annulations de crédits reportés non-automatiquement de 2016 à 2017		U=R-S
V	Cancellations of non-automatic carryovers from 2016 to 2017 in % of non-automatic carryovers from 2016 to 2017	Annulations de crédits reportés non-automatiquement de 2016 à 2017 en % des crédits reportés non-automatiquement de 2016 à 2017		V=U/R
	Assigned revenue in 2017	Recettes affectées 2017		
W	Appropriations from assigned revenue in 2017 (current)	Crédits de dépenses spécifiques sur recettes affectées courants 2017	9.711,28	
X	Assigned revenue carried over to 2017	Crédits de dépenses spécifiques sur recettes affectées reportés à 2017	16.406,37	
Y	Balance of commitments on assigned revenue carried over to 2017	Solde des engagements reportés à 2017 sur crédits de dépenses spécifiques sur recettes affectées	3.601,12	
Z	Payments in 2017 against appropriations from assigned revenue (current and carried-over)	Paiements sur crédits de recettes affectées 2017 (courants et reportés)	27.786,38	
AA	Payments in 2017 against assigned revenue in % of assigned revenue in 2017 (current and carried-over)	Paiements sur crédits de recettes affectées 2017 en % des crédits de recettes affectées 2017 (courants et reportés)	93,50%	AA=Z/(W+X+Y)

1. OBJECTIVES

1.1. Objectives of the Directorate General

(i) Consolidate the role and tasks of the Deputy Secretary-General and his Cabinet in accordance with the Bureau decision of 6 June 2016

- Continue to develop legislative coordination ensuring the requisite cooperation and coordination amongst relevant services, and the other institutions, to ensure short, mid and long term legislative and plenary planning.
- Continue to enhance inter-institutional relations in close cooperation with other relevant DGs.
- Provide technical and administrative support and assistance to Parliament's Chief negotiator and relevant political bodies as regards the "Brexit" negotiation process.

(ii) DG PRES as a provider of high-quality services and advice to the President, the plenary, Parliament's governing bodies and its Members

- Ensure a smooth implementation of Parliament's Rules of Procedure in all areas of activities concerning DG PRES *inter alia* by means of the Working Group on the implementation of the new Rules.
- Participate actively in all initiatives taken to enhance a European Parliamentary Democracy, in particular promoting the Plenary as a focal point for European debate and a respected forum for high-level visits.
- Continue to enhance performance in relation to plenary-related services in order to provide high-quality procedural and content-based advice to the President, the Vice-Presidents and Members.
- Offer comprehensive advice to the President and Members in the application of the Code of Conduct for Members and provide support and expertise to the President in case of disorder or disruption of Parliament's business.
- Focus on the provision of optimum and coordinated support throughout the different stages of the agenda-planning activities of the political bodies and groups, in particular by the provision of timely, structured information on legislative files and the smooth preparation of the relevant political meetings and preparatory plenary agendas.
- Follow up the exercise of Members' individual rights and, where required, suggest ways to make full use of their relevance in the institutional set-up.

- Ensure a close follow-up to debates in Member States and Parliaments on the role of national Parliaments in the EU decision-making process and to promote the EP's role in inter-parliamentary cooperation.
- Offer sound and consistent advice to Members and colleagues with regards to all protocol-related questions in line with existing rules.
- Increase in-house awareness of the Transparency register.

(iii) DG PRES as an active player in the support to the political level throughout the legislative cycle

- Expand service orientation towards Members by enhancing on-demand and helpdesk services, in particular in key moments of the parliamentary term and legislative life-cycle.
- Improve legislative services to Political Groups, by provision of more targeted legislative planning, procedural and drafting assistance throughout the parliamentary cycle.
- Continue developing the DG's expertise in the legislative process so that DG PRES services can further consolidate their roles as members of legislative support and project teams.
- Reinforce cooperation with national Parliaments concerning the scrutiny and implementation of EU law, also through maintaining inter-parliamentary networks at administrative level, while continue monitoring the reception and treatment of submissions by national Parliaments.
- As regards the handling of classified information, prepare for the future entry into operation of the new Secure Area in the PHS building.

(iv) DG PRES as an active promoter of intra-DG, inter-DG and inter-institutional cooperation

- Coordinate, monitor and assist, notably by means of the internal task-force and the Inter-institutional Coordination Group, the implementation of the Inter-institutional Agreement on Better Law Making and in particular the Joint Declaration on annual programming, including the assistance with negotiations of other inter-institutional agreements arising therefrom.
- Provide assistance and technical support in the negotiations for a new inter-institutional Agreement on the Transparency register, while continue cooperating with the Council and the Commission.
- Coordinate, monitor and assist the implementation of classified information electronic transmission to Parliament.
- Continue to develop legislative planning tools in relation to Commission Annual Work Programmes and annual and multiannual inter-institutional legislative priorities, by inter alia ensuring smooth cooperation within DG PRES relevant services as well as other DGs and the other Institutions.

- Profiting from DG PRES's horizontal role in the legislative and parliamentary process from start to conclusion, further promote cooperation within the DG in order to ensure coherent high-quality advice on all aspects of legislative and parliamentary procedures, including the pre-legislative phase and agenda setting.
- Exploit synergies between DG services with regard to parliamentary activities (including inter-parliamentary ones) in order to ensure the most efficient handling within the DG of cross-cutting parliamentary procedures.
- Continue to play a leading role in the implementation of the document management policy (GIDOC) and new eParliament technologies for the whole Parliament.
- Continue to provide timely and legally-sound responses to applications for public access to documents.
- Strengthen cooperation and regularly review joint procedures with DGs INLO and SAFE with a view to ensuring the smooth functioning of the plenary, official visits and reception and delivery of mail.
- Continue to develop further cooperation with other DGs as regards the handling of classified information and in particular, exploring ways to ensure an efficient reception of such documents.

(v) DG PRES as a modern and sustainable administration

- Update and redefine the DSG/DG PRES Parliamentary Project Portfolio, contributing to the advancement of projects of which it is the principal sponsor.
- Define and implement a resources policy based on trust and responsibility, a participatory, inclusive approach, transparency and equality in accordance with the DG PRES SEF.
- Implement the DG PRES Key Result Indicators focusing on measuring improvements to the DG's core business and services.
- Develop a comprehensive Business Continuity Management Plan, a Risk Register and a Risk management plan.
- Further develop an active communication policy at all levels including *inter alia* the further improvement of PRESnet.
- Consolidate actions and tools for a better internal knowledge of the DG and to foster intra-DG cooperation, both for newcomers and current staff. Continue to enhance DG PRES Learning and Development policies.
- Continue to ensure a sustainable use of all resources within the DG, including the best possible rationalisation of processes and use of new technologies based upon EMAS goals; adapt the systems within the DG to new features in different fields (finances and digital signature, new follow-up of missions and its budget, treatment and transmission of official correspondence, etc.).

1.2. Feasibility and risk assessment

Potential risks were pinpointed in respect of the activities relating to achievement of the five objectives set for 2017. They were:

Objective 1:

- Any decision by the competent political authorities resulting in a revision of the structure of Parliament's Secretariat – risk LOW.
- Political and/or administrative decisions could have an impact on the current SEF and on the strategy of the DG – risk LOW.

Objective 2:

- The tabling of questions and declarations is dependent on Members' political willingness and objectives. Unlikely choices in relation to the tabling of such questions could impinge on the DG PRES objective in this regard.
- Unlikely technical problems could temporarily disrupt assistance to Members using the newly created tools – risk LOW.
- The drafting service is dependent on Members' requests, and not receiving such requests could have an impact on the service – risk VERY LOW.

Objective 3:

- Unlikely delays to Members' arrival in Parliament following their appointment by the competent authorities – risk LOW.
- The setting of other political priorities for implementation during the period could delay the achievement of this objective – risk LOW.
- Unlikely technical problems with IT applications could, to some degree, delay the achievement of this objective. However, all requisite measures have been taken to ensure that Members receive efficient and timely assistance in this regard – risk VERY LOW.
- Use of video-conferencing for inter-parliamentary meetings may still be subject to technical constraints – risk LOW.

Objective 4:

- Difficulties with cooperation and delays with anticipated results owing to problems in political agendas – risk LOW.
- Delay in the new document management policy – risk LOW.

Objective 5:

- Difficulties in scheduling planned activities to improve internal knowledge of the DG owing to excessive workload of participating services – risk LOW.
- Delays in availability of new tools to improve internal processes – risk MEDIUM.

2. ASSESSMENT OF RESULTS IN THE LIGHT OF THE OBJECTIVES – USE OF RESOURCES

2.1. Environment of the Directorate-General

2017 was a year of stability and consolidation of the organisational structure of DG PRES (four directorates and 21 units) and of the DSG's Cabinet. A new Head of the Protocol Unit, Ms Carmen Castillo del Carpio, arrived in February (leading to adjustments within the unit, including a new way of dividing the work to prepare high-level official visits), and Ms Christine Verger, Director for Relations with National Parliaments, left in June, but otherwise the management of the Directorate-General remained fairly stable. It should be noted, however, that two heads of unit – Mr José González Holguera in the PV-CRE Unit and Ms Ellen Heinemann in the Directorate for Legislative Acts – were given authorisation to work beyond retirement age, and this will take effect in 2018. As the post of Director of Plenary has not yet been filled, Ms Maria Gandolfo continued as Acting Director throughout 2017. For his part, the Deputy Secretary-General has taken over direct responsibility of the Directorate for Relations with National Parliaments, pending the appointment of a new Director.

2.2. Human resources of the DG

2.2.1. Establishment plan

	at 1.1.2016				at 1.1.2017			
	AD	AST	AST/SC	Total	AD	AST	AST/SC	Total
Permanent posts	140	174	4	318	162	186	8	356
Temporary posts	1	2	0	3	1	1		2
Total	141	176	4	321	163	187	8	358

2.2.2. Staff Numbers as at 31.12.2017

	AD	AST	AST/SC	Total	FTE
Officials	151	168	5	324	314
Temporary staff	7	7	2	16	16
- in permanent posts	1			1	
- in temporary posts	4	4	2	10	
- to offset part-time working	2	3	0	5	
Contractual agents				44	40
Seconded National Expert (SNE)				1	1
Agency staff					
Total				385	371

2.3. Budget implementation 2017

The following were dealt with between 1 January and 31 December 2017:

- *677 budget files (expenditure commitments, cancellations of expenditure commitments, payment orders, recovery orders);
- *702 invoices/credit notes;
- *303 order forms/contracts.

2.3.1. Initial and final appropriations

As at 31 December 2017, initial appropriations totalling EUR 1 573 000 had been cut to EUR 1 230 000.

The surplus of EUR 343 000 can be explained as follows:

Budget lines	Amount	Remarks
2105-11	-102.000€	Investments in decentralised IT projects, transfer S20 from DG ITEC to DG PRES, GEDA D(2017) 38099 - amount set aside to continue the development and implementation of the Plenary Precedent Management System application
2140-07	EUR 2 000	Mopping-up transfer C7, GEDA 2017/44305
2360-01	EUR 29 000	Mopping-up transfer C7, GEDA 2017/40747 and 2017/44305
2360-03	EUR 40 000	Mopping-up transfer C7, GEDA 2017/40747 and 2017/44305
3020-01	EUR 40 000	Mopping-up transfer C7, GEDA 2017/44305
3020-03	EUR 10 000	Mopping-up transfer C7, GEDA 2017/40747
3020-04	EUR 25 000	Mopping-up transfer C7, GEDA 2017/40747
3242-03	EUR 174 000	Mopping-up transfer C7, GEDA 2017/40747 and 2017/44305
3249-01	EUR 120 000	Mopping-up transfer C7, GEDA 2017/40747
3249-02	EUR 5 000	Mopping-up transfer C7, GEDA 2017/40747
Total DG PRES	EUR 343 000	

2.3.2. Final appropriations and appropriations committed

As at 31 December 2017, the commitment rate across all operational departments was 90.85% of final appropriations.

2.3.3. Appropriations committed and payments made

The overall rate of payments made was 72.35% of appropriations committed. This utilisation rate reflects the submission of invoices by service providers.

The average time taken by DG PRES to settle invoices was 10 days (EP average: 17 days).

All invoices were settled within the 30-day time limit set by the Financial Regulation.

2.3.4. Use of automatic and non-automatic carryovers from 2016 to 2017

The payment rate against carryovers across all operational departments was 87.48%.

2.3.5. Use of appropriations corresponding to assigned revenue

The overall utilisation rate for specific appropriations was 98.23% for commitments and 93.50% for payments.

These utilisation rates are in line with the principle of sound financial management, under which priority should be given to the utilisation of such appropriations when the budget is implemented.

All carryovers corresponding to assigned revenue were committed.

2.4. Results achieved

Protocol: In 2017, the Protocol Service took part in receiving or facilitating access to EP buildings for over 1 383 guests/visitors (excluding accompanying delegations) and provided a full protocol service to the eight Heads of State who addressed the EP plenary. It helped to organise high-level conferences, in particular with regard to registration, reception and, upon request, accommodation and travel arrangements for speakers invited by the President.

2017	Jan	Fev	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
Official visits (formal sitting)	0	2	0	1	2	2	0	0	0	0	1	0	8
High-Level working visits- Heads of State/Gov	4	6	8	1	1	7	4	0	0	3	3	2	39
High-level working visits- Other	63	52	97	36	61	74	43	0	50	67	79	35	657
Incoming Parliamentary Delegations	1	2	16	3	5	8	6	0	17	7	4	2	71
Daily accreditations (T9F)	n.a	n.a	n.a	91	51	90	25	11	66	37	80	21	472
Fast lane requests	n.a	n.a	n.a	39	26	45	10	2	21	7	53	12	215
President's travel (VIP reservations)	6	6	3	2	4	5	1	0	2	5	9	4	47
Official meals organised	2	4	7	1	5	3	5	0	4	9	12	5	57
Events (annual & ad-hoc)	5	2	6	3	10	9	4	0	3	5	10	5	62
Visa requests	54	43	101	67	74	65	41	24	75	162	90	44	840
Temporary passes - diplomatic corps (T6A)	59	70	80	58	110	31	22	35	131	106	78	36	816
Official gifts	4	22	8	15	30	11	9	2	22	22	12	6	163
Farewell receptions (staff)	12	8	7	3	3	9	5	1	8	1	4	3	64

Comparing 2017 with 2016, overall production remained relatively stable – there were fewer official meals organised (10 fewer than in 2016) but more ad hoc events (62 in total, including four high-level conferences and the commemoration ceremony in honour of Helmut Kohl in July). In 2017, the Protocol Service received 2017 inter-parliamentary delegations (22 more than in 2016), and managed 840 applications for visas (48 fewer than in 2016) and 816 temporary passes (103 more than in 2016).

Protocol Unit - annual activity trends

Protocol Activities	2016	2017
Official visits (formal sitting)	9	8
High-level working visits - Heads of State/Gov	56	39
High-level working visits- Other	698	657
Incoming Parliamentary Delegations	49	71
Daily accreditations	--	472
Fast lane requests	--	215
President's travel (VIP reservations)	--	47
Official meals organised	67	57
Events (annual & ad-hoc)	51	62
Visa requests	888	840
Temporary passes - diplomatic corps	725	816
Official gifts	173	163
Farewell receptions (staff)	54	64

On 1 July 2017, the EP Chamber in Strasbourg was used for a commemoration ceremony for the first time, when the coffin of former German Chancellor Helmut Kohl was presented to invited guests. The ceremony can therefore be considered unique in the history of the European Parliament.

The organisation of the Kohl ceremony made clear the need for an online event registration tool that can be used and shared by the various EP services involved in the management of events, from accreditation and security to the audiovisual and press aspects. With this in mind, the Protocol Service, together with two other units in DG PRES, has asked to become a key player in the DG INTE-led PPP-OSCO project (One Stop Conference Organisation); accordingly, a joint list of DG PRES requirements has been drawn up, which will serve as a basis for negotiations with DG INTE when the functionalities of the tool are being defined. The OSCO tool should be operational before May 2019. It is expected that the 'registration and management of participants' module will be prioritised in 2018.

In addition to the event registration tool, in 2018 the Protocol Service would like to develop, in cooperation with DG ITEC, an application to manage protocol gifts and another for protocol-related activities (precedence, table plans, invitation cards, etc.). To that end, three different external supplier applications are envisaged.

Overall, 2017 was a very challenging year for the Protocol Service, but one which offered a wealth of learning opportunities. We expect 2018 to be a year of consolidation and testing of new IT tools which will facilitate the operational work of the staff of the Protocol Service.

Directorate for the Plenary:

The Directorate continued to enhance Parliament's image through its professionalism in organising and providing assistance with political debates of major importance, with an enormous media impact. The Directorate continued to reflect on the best ways to generate and convey information on part-sessions and their activities, including in particular by means of information sessions, an updated Vademeum, an FAQ portal and the 'Séance en Direct' website, including the site's relationship with Europarl.

In addition, the modernisation of IT applications used in plenary continued in a very satisfactory manner. The PV/CRE voice recognition system has been expanded and currently works in 14 languages. On the other hand, the PV/CRE teams continued to produce records of meetings of the temporary committees.

For the Unit for Reception and Referral of Official Documents, a new contract on the provision of summaries for the Legislative Observatory entered into force in 2017, reducing the costs of these services significantly. In addition, the unit continued its efforts to carry out its work paperlessly.

The Official Mail Unit also continued to modernise its procedures for registering and managing mail and continued to make a key contribution to the GIDOC project. In this respect, the implementation of the document management reform progressed, with the approval of the institution's filing plan, drawn up with contributions from all the DGs. The process of acquisition of a system for the management of EP documents made progress, with the conclusion of the drafting of the documents for the tender specification, the launch of the call for tenders, receipt and opening of tenders and a start being made on their evaluation. New job descriptions for AD and AST grades were adopted in order to be able to recruit staff with profiles which will better meet the future requirements of document management at the EP.

Finally, the excellent cooperation between Parliament and the Commission on the management of parliamentary questions led to an improvement in the quality of both questions and answers. The number of parliamentary questions was reduced by about 18%, in line with the new provisions of the EP Rules of Procedure. As regards Members' Administration and management of the Code of Conduct for Members, the unit's activities proceeded smoothly despite a complex human resources situation and the fact that the Head of Unit also held the position of acting Director of the Plenary.

Directorate for Legislative Acts:

In parallel with its usual everyday work (finalisation of more than 70 legislative acts and some 8 000 pages of texts adopted in 23/24 languages), the Directorate for Legislative Acts drafted and published the new Rules of Procedure in 2017, after the most substantial revision in 20 years. In order to do so, it made use of the first fully operational publication component at Parliament (RegPE), which had been designed and developed the previous year.

The Directorate continued to make a significant contribution to the design and implementation of the e-Parliament programme, with substantial progress both at interinstitutional level (development of the configuration, trilogue tables) and internally during the year. The drafting support tool eParliament (DST) is increasingly used by Members. In 2017, the lawyer-linguists of the DLA dealt with more than 100 requests for assistance from individual Members, in addition to supporting rapporteurs and shadow rapporteurs, either directly or in the context of the EP legislative support teams.

The Directorate also continued to contribute to more coherent planning of legislation during Strasbourg part-sessions and swiftly adopted, finalised and signed a number of key legislative files such as EFSI II, focusing efforts on the legislative priorities contained in the 2017 Joint Declaration.

As regards personnel resources, the Directorate fully implemented its draft 'milestones' - to more rigorously monitor and develop the professional expertise of staff. It also tested a new approach to proofreading of texts in order to make better use of resources at the level of assistants, to anticipate the deployment of Parliament in 2018/2019 and, in the autumn, to conduct a survey of all staff over a period of a month. The preliminary results showed that

the Directorate had succeeded in focusing its legislative drafting activities on providing advice and assistance upstream, with lawyer-linguists providing assistance that was increasingly sought after.

Directorate for Relations with National Parliaments:

In the context of interparliamentary relations at committee level, Parliament hosted 13 meetings of interparliamentary committees, the Interparliamentary Conference on Stability, Economic Coordination and Governance in the EU, and the constitutive meeting of the Joint Parliamentary Scrutiny Group on Europol. The organisation of these meetings was entrusted jointly to the Directorate for Relations with National Parliaments and the Directorate-General for Internal Policies. In addition, the Directorate arranged for national parliaments to attend two high-level conferences organised at the initiative of the President of the European Parliament. The Directorate also organised the interparliamentary conferences taking place at the Parliament of the country holding the Presidency (Conference on CFSP/CDSP and Art. 13).

Concerning the ‘early warning mechanism’ under the subsidiarity check provided for by Protocol 2, the Directorate dealt with nearly 400 submissions from national parliaments (54 reasoned opinions/340 contributions) and around 180 contributions under the heading of the ‘informal political dialogue’. All these documents were made available to the rapporteurs and the committees responsible for the subjects at issue. In addition, the Directorate continued its efforts to make these documents available in the framework of the Common Working Space Committee and CONNECT (database accessible to the public on the Directorate’s website).

The Institutional Cooperation Unit of the Directorate for Relations with National Parliaments provided high-quality services to the EP’s President at the annual Conference of Speakers of the Parliaments of the EU held in Bratislava on 23 and 24 April and the extraordinary informal meeting of Speakers to celebrate the 60th anniversary of the Treaty of Rome.

Four meetings of COSAC took place in 2017 (two involving Speakers and two plenary meetings). The unit provided administrative support and advice to the EP delegation, in particular the Vice-President responsible for relations with national parliaments and the Chair of the AFCO Committee as Head of the EP delegation.

The EP hosted more than 100 bilateral parliamentary visits, including a growing number of visits from the UK Parliament in connection with Brexit in 2017. A large number of visits were organised for the French National Assembly, in particular in connection with its parliamentary reform. In addition to providing logistical support, the Unit prepared briefings for the President, the Vice-President, the Secretary-General and our senior management.

In 2017, the support programme for the Parliament of the country holding the Presidency attracted increasing interest due to the succession of ‘first-time’ presidencies: Malta, Estonia and Bulgaria. Study visits were organised for 10 officials from the Estonian Parliament and 12 from the Bulgarian Parliament. Besides establishing excellent relationships with the incoming Presidencies, these visits also helped to strengthen interdepartmental cooperation within the EP.

2017 was also an anniversary year for the European Centre for Parliamentary Research and Documentation (ECPRD). The 40 years of good and reliable service were celebrated at the Annual Conference of Correspondents in Strasbourg in October. A commemorative brochure was prepared by our Unit. The European Parliament continued to cover the travel expenses of participants in the various ECPRD events.

A meeting of the IPEX Board was organised by the European Parliament in cooperation with the Slovak Presidency of IPEX. In the context of the PPP, our project with DG EXPO to enhance interparliamentary cooperation within the PACE, IPU and other multilateral fora was integrated into normal activities.

Finally, in 2017, ICU, in the context of its horizontal tasks within the Directorate, provided logistical and administrative support to the representatives of national Parliaments. Eleven representativesassistants arrived at our premises and nine departed in 2017.

Directorate for Interinstitutional Affairs and Legislative Coordination:

The principal activities of the Legislative Planning and Coordination Unit during the year consisted in assisting the Deputy Secretary-General in monitoring the implementation of the Joint Declaration on the EU's legislative priorities for 2017 and the negotiations on the 2018/19 Joint Declaration. It continued to work on the preparation of draft agendas for the plenary, particularly one month before their adoption by the Conference of Presidents, and stepped up its cooperation on the planning of plenary with the political groups and the other institutions. It organised seminars and workshops for the forthcoming presidencies of Estonia, Bulgaria and Austria in cooperation with other departments in DG PRES, DG IPOL and DG EXPO and the Council Secretariat, and monitored the needs assessment mission to the Ukrainian Parliament.

The Interinstitutional Relations Unit helped the Deputy Secretary-General to coordinate and supervise the implementation of the Interinstitutional Agreement on Better Law-Making, particularly by supporting and monitoring the negotiation of interinstitutional agreements provided for by the IIA BLM. In addition, the Unit was asked to coordinate the work of the DAG, the main interinstitutional forum for the EU institutions. With regard to Brexit, the Unit provided administrative and organisational support to the Deputy Secretary-General, to the EP's coordinator of the Brexit negotiations and to the Brexit Steering Group. Lastly, the Unit continued to broaden its coverage of the activities of the other institutions.

The Classified Information Unit made progress with indexing, cataloguing and forwarding documents to the intermediate and historical archives. It implemented the electronic transmission of EU-R documents between the Commission's Central Repository and SDI and was ready to start receiving them electronically from the Council and agencies, pending the visit by originators and the approval of the procedures. It provided technical assistance to other services, in particular to LIBE, TERR, TRAN, ITRE and JPSG. It continued to provide services to MEPs and officials designated to access EUCI deposited with the CIU (receipt and registration of documents, information notes, bookings and consultations in the secure reading room).

The Transparency Unit provided administrative support to the chief negotiators and the contact group, appointed by the Conference of Presidents, which prepared the mandate for the negotiations on the Commission's proposal for a new Interinstitutional Agreement on the Transparency Register. In this context, on 10 May 2017 the unit organised a public workshop entitled 'EU Transparency Register — Lobbying, Parliament and Public Trust'. The event was streamed on the internet, with over a hundred participants in the room.

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

Annex 6.8 sets out an evaluation of compliance with the minimum internal control standards and shows that the directorate-general complies with them.

Implementation of the standards is supported by the internal structure established by the authorising officer by delegation, who allocates tasks and duties to each member of the financial staff in accordance with the financial rules in force.

The DG continued to interact and cooperate with the Internal Auditor, including by means of the contribution to the Audit Client Survey on the audit reporting process (Report 16/08) and its comments on the draft report. The DG also updated its risk register and created the new risk tables requested by the risk manager, the fraud risk table and the table of risks associated with one of the PPP projects (5 and 5a, management of documents and ERMS).

DG PRES consolidated its Business Continuity Plan (BCP), which was communicated to the Business Manager as a contribution to the EP's General BCP.

During 2017, no errors were found. No receivables were waived.

The average time taken to pay invoices in 2017 **was 10 days for DG PRES**, as against 17 days for all the DGs. No invoice was paid late.

All DG PRES contracts and order forms were entered and validated in Webcontracts. Our DG concluded no additional contracts further to existing contracts, and no protocols or agreements, in 2017.

Given the limited number of financial staff within our DG and the above-mentioned results, the degree of cost-effectiveness can be considered excellent.

When the IT problems arose at the end of October 2017 (IT outage), DG PRES displayed flexibility and a remarkable capacity to adapt to circumstances, since it was able to run the November part-session despite the very awkward situation.

4. CONCLUSIONS

A key feature of our entity in 2017 was the consolidation of the new management of the DG and the new organisational structure, including the Private Office of the DSG and the DG itself, with all the Directorates and Units.

It is also worth noting that the DG continued to emphasise the aspects of organisational culture referred to in its Strategic Execution Framework (SEF). In this context, the values of trust and responsibility enabled it to develop an approach to the organisation of its entities' work that facilitated fairly substantial use of the opportunities offered by occasional teleworking, with very satisfactory results for both staff and managers.

In addition, the DG also relied to a significant extent on better inside knowledge of the entities and activities in order to reinforce cohesion and facilitate cooperation.

Cooperation within the DG and excellence, which were objectives pursued by the DG by means of this cooperation, bore fruit in a very specific way in 2017 with the successful organisation of the homage to Helmut Kohl in Strasbourg and the prompt response by all units of the DG concerned following the IT outage, which allowed work to proceed, particularly at the November part-session, without any major problems.

Furthermore, throughout the year the DG continued to implement and monitor the projects included in the Parliamentary Project Portfolio. The DG also developed the lead indicator and undertook a first quarterly review covering the period July-September 2017 and a second for October-December 2017 which will be finalised in early 2018.

The DG actively and regularly took part in the work of the various horizontal intergroups, working groups and inter-DG steering groups in areas such as finance, IT, HR, document management, security, training and new policy areas, etc., with a view to passing the information on to all its staff.

The DG continued to monitor risks, had a very busy year working on sensitive posts and finalised its business continuity plan.

The DG's objectives for 2018 were set in accordance with the Strategic Execution Framework, and they were communicated to all staff at a general meeting held on 8 December 2017. They are also available on the DG's Intranet site, PRESnet, which, moreover, was completely reorganised at the end of 2017 in order to align it with the new rules on EP Intranet sites and is becoming an important tool for improving internal communication at the level of DG Presidency and the Private Office of the DSG.

5. DECLARATION BY THE AUTHORISING OFFICER BY DELEGATION

I, the undersigned, Markus Winkler,

Director-General of the Directorate-General for the Presidency,

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 judgement 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.

Done at _____ on _____

Signature

6. ANNEXES

6.1. Relevés d'exécution budgétaire 2017

Budget implementation statements for 2017

6.1.1 Crédits courants

Unité opération.- Lignes budgétaires	Crédits initiaux	Virements	Crédits finaux	Engagements	% E/CF	Paiements	% P/E	Solde Eng.	Crédits disponibles
Ressources- 2105-11	0,00	102.000,00	102.000,00	101.952,24	99,95%	0,00	0,00%	101.952,24	47,76
Courrier- 2140-07	5.000,00	-2.000,00	3.000,00	1.352,30	45,08%	752,30	55,63%	600,00	1.647,70
Courrier- 2360-01/02/03	190.000,00	-69.000,00	121.000,00	95.886,39	79,24%	78.958,93	82,35%	16.927,46	25.113,61
Protocole - 3020-01/03/04/05	728.000,00	-75.000,00	653.000,00	595.340,37	91,17%	424.225,72	71,26%	171.114,65	57.659,63
Œil- 3242-03	400.000,00	-174.000,00	226.000,00	220.687,03	97,65%	205.355,09	93,05%	15.331,94	5.312,97
Relations avec les Parl.nationaux- 3249-01/02	250.000,00	-125.000,00	125.000,00	102.231,68	81,79%	99.231,68	97,07%	3.000,00	22.768,32
TOTAL	1.573.000,00	-343.000,00	1.230.000,00	1.117.450,01	90,85%	808.523,72	72,35%	308.926,29	112.549,99

6.1.2 Crédits reportés automatiquement

Unité opérationnelle- Lignes budgétaires	Crédits reportés	Paiements effectués	%	Crédits disponibles
Ressources- 2105-11	194.497,49	194.497,49	100,00%	0,00
Courrier- 2360-01/02/03	16.664,56	14.862,49	89,19%	1.802,07
Protocole - 3020-01/03/04/05	320.633,26	254.822,25	79,47%	65.811,01
Œil- 3242-03	16.015,60	16.015,60	100,00%	0,00
Relations avec les Parlements nationaux- 3249-01/02	7.500,00	5.578,30	74,38%	1.921,70
TOTAL	555.310,91	485.776,13	87,48%	69.534,78

6.1.3 Crédits reportés non automatiques

N/A

6.1.4 Crédits de dépenses spécifiques/ recettes affectées (nature 7)

Unité opérationnelle- Lignes budgétaires	Crédits courants 2017	Crédits engagés	% Eng/Crédits	Paiements	% Pments/Eng.	Crédits disponibles
Courrier- 2360-02/03	9.711,26	9.186,31	94,59%	9.186,31	100,00%	524,95
TOTAL	9.711,26	9.186,31	94,59%	9.186,31	100,00%	524,95

6.1.5 Crédits reportés de dépenses spécifiques/ recettes affectées (nature 5)

Unité opérationnelle- Lignes budgétaires	Crédits reportés 2017	Crédits engagés	% Eng/Crédits	Paiements	% Pments/Eng.	Crédits disponibles
Courrier- 2360-01/02/03	16.406,37	16.406,37	100,00%	16.406,37	100,00%	0,00
TOTAL	16.406,37	16.406,37	100,00%	16.406,37	100,00%	0,00

6.1.6 Engagements reportés de dépenses spécifiques/ recettes affectées (nature 3)

Unité opérationnelle- Lignes budgétaires	Engagements reportés 2017	Paiements	% Pment/Eng	Crédits disponibles
Courrier- 2360-02/03	3.601,12	2.193,70	60,92%	1.407,42
TOTAL	3.601,12	2.193,70	60,92%	1.407,42

6.1.7 Recettes propres (nature 8)

N/A

6.1.8 Crédits de dépenses spécifiques (nature 9)

N/A

6.2. Rapport sur le respect des délais de paiement

Report on compliance with payment deadlines

1) Tableau récapitulatif

Factures payées en 2017		Intérêts de retard à payer d'office (>200€)	Intérêts de retard à payer à la demande (<=200€)	Pas d'intérêts de retard à payer	Total
Endéans le délai	Nombre de factures			669	669
	Montant total des factures (EUR)			1.206.915,20	1.206.915,20
Après le délai	Nombre de factures	0	0		0
	Montant total des factures (EUR)	0	0		0
	Montant des intérêts de retard (EUR)	0	0		0
Nombre de factures		0	0	669	669
Montant total des factures (EUR)		0	0	1.206.915,20	1.206.915,20

2. Commentaires

Aucun paiement de facture n'a généré des intérêts de retard.

6.3. Liste des exceptions - dérogations à la réglementation

List of exceptions - derogations from rules

Liste des renonciations/annulations de créance (RAP 91, 92)

N/A

6.4. Obligations contractuelles de longue durée

Long-term contractual obligations

N/A

6.5. Procédures négociées exceptionnelles - articles 53, 134 et 135 RAP

Exceptional negotiated procedures - Articles 53, 134 and 135 RAP

N/A

6.6. Résultat des évaluations ex-post

Results of ex-post evaluation

Suite à son analyse du risque (NMCI n° 9), en 2017 la DG PRES n'a pas effectué des évaluations ex-post

6.7. Fonctions sensibles

Sensitive posts

Pour l'exercice 2017, la DG PRES a effectué l'analyse des fonctions sensibles pour deux groupes de fonctionnaires : d'un côté les acteurs financiers de la Direction générale, hors ordonnateurs subdélégués, c'est à dire, initiateurs opérationnels et financiers et vérificateurs ex-ante et de l'autre l'ensemble des chefs d'unité de la DG.

Contrairement aux années 2015 et 2016, pour l'exercice 2017, la DG PRES a maintenu une plus grande stabilité au niveau de son organigramme d'encadrement.

En ce qui concerne les tâches des fonctionnaires et autres agents il n'y a pas eu de changements majeurs que ce soit pour les unités qui gèrent du budget ou pour celles qui n'en ont pas.

CONCLUSIONS

Agents financiers

Les questionnaires ont été complétés par l'ensemble des acteurs financiers, hors ordonnateurs subdélégués, et montrent qu'il n'y a pas eu de changements majeurs autant sur les responsabilités ou décisions à prendre que sur les mesures pour réduire les risques et la sensibilité des fonctions.

Les agents nouvellement nommés ont été formés et informés par leurs collègues plus anciens et par le secteur finances de l'unité Ressources sur les différentes instructions et règlements internes applicables au sein de la DG afin de faciliter leur adaptation à notre culture de travail.

1. Les dispositions légales (Traités, Règlement du PE, Code de conduite des Membres, Code de conduite des fonctionnaires des institutions européennes, RF, RAP, Règles Internes et ses annexes, Statut des fonctionnaires, etc.,), dès lors qu'elles sont strictement respectées, encadrent le travail des agents de manière à minimiser les risques résiduels;
2. Les instructions du Secrétaire général, les instructions, recommandations et modèles standard du FMP (Vadémécum et ses annexes) ainsi que du Directeur général éclairent et circonscrivent les problèmes rencontrés et marquent la voie pour leur solution ;
3. La participation de la DG aux groupes de travail (FMP, EMAS) ainsi qu'aux *Steering Groups Inter-DGs* (Finances, RH, IT), permet à notre DG une mise à jour constante des procédures applicables qui réduit le risque d'erreur.
4. Notre DG est une entité hiérarchisée et, dès lors, toute décision, avant d'être prise, passe le filtre de plusieurs paliers qui évitent ou diminuent fortement le risque résiduel, ce qui, dans les cas de dossiers financiers, implique au minimum un initiateur opérationnel, un initiateur financier, un vérificateur ex-ante et l'ordonnateur subdélégué responsable.
5. Les systèmes informatiques de gestion financière (Finord/finics et Webcontracts) ainsi que les bases de données développées par notre DG permettent un suivi permanent de la gestion de notre budget et contribuent largement à réduire encore les risques d'erreurs (doublons, mauvais fournisseur, préalabilité, etc. ;)
6. Les mesures prises par la hiérarchie : back-ups pour assurer la continuité du service, suivi rapproché de gestion des dossiers, polyvalence des agents dans les différentes tâches de chaque service, etc., finissent par compléter un entourage de gestion qui tend à réduire les risques résiduels et les rendre acceptables.

Aucun poste sensible n'a été détecté parmi les acteurs financiers lors de l'analyse des questionnaires.

Chefs d'Unité

Le questionnaire annexé à la note du SG est fondamentalement applicable aux agents financiers et difficilement aux fonctionnaires dont les tâches n'ont pas ce caractère. Dès lors, nous avons élaboré un questionnaire ad-hoc nous permettant d'avoir une vision d'ensemble de la situation au sein de toutes les unités de la DG.

Ce questionnaire devait être rempli par les chefs d'unité mais portait principalement sur la situation actuelle de chaque unité : tâches, composition (AD/AST/AST-SC), formation et expérience, capacité d'influencer les décisions, information sensible, confidentielle ou classifiée, applications informatiques, contacts avec des tiers ou MEPs/assistants, continuité du service, analyse de risque et indicateurs de performance ou de résultats. Il demandait également aux chefs d'unité leur perception générale quant à la sensibilité des postes sur leur responsabilité.

L'analyse des questionnaires nous donne une photographie fidèle de la situation au sein de la DG.

Les conclusions que l'on peut en tirer de cet analyse montrent clairement que

- Les dispositions légales (Traités, Règlement du PE, Code de conduite des Membres, Code de conduite des fonctionnaires des institutions européennes, RF, RAP, Règles Internes et ses annexes, Statut des fonctionnaires, Statut des Députés, etc.,), dès lors qu'elles sont strictement respectées, encadrent le travail des agents de manière à minimiser les risques résiduels;
- Notre DG est une entité hiérarchisée et que, dès lors, toute décision, avant d'être prise, passe le filtre de plusieurs paliers qui évitent ou diminuent fortement le risque résiduel, ce qui dans les cas de dossiers devant arriver au SG ou le Président, implique un minimum de 5 agents à traiter ce dossier;
- Les systèmes informatiques, les applications informatiques et les bases de données partagées contribuent largement à réduire davantage les risques d'erreur ;
- Les mesures prises par la hiérarchie : back-ups pour assurer la continuité du service, suivi rapproché de gestion des dossiers, polyvalence des agents dans les différentes tâches de chaque service, etc., finissent par compléter un entourage de gestion qui tend à réduire les risques résiduels et les rendre acceptables ;
- Les formations suivies par les agents sur base du catalogue du PE ou imparties aux nouveaux collègues par les collègues plus expérimentés. ;
- L'appui et conseil fournis par les collègues plus expérimentés aux plus récents ;

Ces conclusions conduisent les chefs d'unité à considérer que les mesures mentionnées ci-dessus réduisent le risque résiduel et que celui-ci est acceptable.

Dès lors, la sensibilité de certains postes, notamment ceux liés aux fonctions financières et ceux ayant trait aux informations confidentielles ou sensibles est réduite à une limite tolérable par les mesures et dispositions mentionnées.

Il est à signaler de manière particulière que la chef l'unité des Informations Classifiées considère qu'il est nécessaire d'exclure les postes affectés à cette unité de l'exercice de mobilité, en particulier les postes AST en raison des longs délais pour obtenir l'habilitation de sécurité obligatoire pour exercer les fonctions sous la responsabilité de cette unité.

6.8.Evaluation de la mise en oeuvre des normes minimales de contrôle interne

Assessment of the implementation of minimum internal control standards

1	Mission	<p>La définition de la mission de la DG ainsi que de chaque direction et unité est clairement définie et clairement communiquée au personnel via l'intranet de la DG. De même, le management et le top management, sur base des objectifs annuels de la DG déclinés à leur niveau, établissent de manière pertinente les tâches pour chaque membre du personnel. Celles-ci, accessible via le site intranet de la DG, font partie intégrante de l'évaluation annuelle du personnel.</p> <p>La DG a établi et met à jour régulièrement ses PPP et SEF et le communique à l'ensemble des services via PRESnet.</p> <p>En outre, les données relatives aux activités, réparties en pourcentage, pour chaque direction et unité de la DG sont envoyées à la DG PERS sous forme de « photographie de service ».</p>
2	Valeurs éthiques et organisationnelles	<p>Le SEF de la DG met en avant les valeurs et la culture de l'organisation. La DG essaie toujours d'aligner avec le SEF ses actions, politiques et activités. De plus, au moyen des réunions récurrentes du Directeur général avec le staff, de procédures et formations ad hoc, le personnel est informé des règles régissant la conduite du personnel ainsi que la prévention et le signalement des fraudes et irrégularités.</p> <p>De la même manière, toutes les communications de la hiérarchie sont répercutées au personnel concerné de la DG et, le cas échéant, à l'ensemble de la DG via la page web PRESnet ou l'assemblée générale.</p>
3	Affectation du personnel et mobilité	<p>Les compétences requises pour l'exécution des tâches sont assurées par la participation du personnel aux formations de perfectionnement professionnel (dans différents domaines tels que le management, le budget, les HR, langues, IT, etc.) organisées par la DG PERS, DG FINS, etc.</p> <p>Des formations internes personnalisées sont organisées lorsque cela s'avère nécessaire (ex. nouveaux arrivés).</p> <p>La mobilité intra-DG est encouragée, soit sur demande personnelle, soit pour des besoins des services, soit suite à l'exercice de fonctions sensibles qui a eu lieu annuellement au sein de la DG PRES.</p>
4	Évaluation et développement du personnel	<p>Une des recommandations faites par le Directeur général aux notateurs, premiers et finaux, déjà lors de la convocation du Collège des notateurs, est celle de donner la possibilité au personnel de s'entretenir avec le notateur, non seulement dans le cadre de la procédure formelle. Une bonne partie des entités de la DG tiennent ainsi des entretiens intermédiaires.</p> <p>En outre, le personnel, à partir de la définition de ses objectifs annuels jusqu'à la discussion de son rapport de notation, est régulièrement invité à discuter de ses avancements avec sa hiérarchie.</p>

		<p>Cette norme est bien respectée auprès de tous les services de la DG.</p> <p>La participation du personnel de la DG à tout type de formation est encouragée tout comme le développement professionnel et personnel.</p>
5	Objectifs et indicateurs de performance	<p>Le Directeur général présente les objectifs de chaque exercice lors de l'Assemblée générale de la DG, en décembre de l'année N-1, les envoie aux directions de la DG et demande aux directeurs et chefs d'unité de les décliner à leur niveau. En outre, pendant la réunion du Collège de notateurs, le Directeur général rappelle aux notateurs l'obligation de réunir leurs notés pour présenter les objectifs avant d'entamer la procédure de notation. La DG a établi, tel que demandé par le SG, son « Lead Indicator » et l'a communiqué à l'ensemble de la DG. Bon nombre d'unités de la DG ont établi des Key Performance Indicators et les mettent à jour régulièrement.</p> <p>La DG PRES continue à effectuer l'analyse des KRI (<i>Key Result Indicators</i>) en relation avec les objectifs de la DG et a fixé des outils pour les mesurer.</p>
6	Processus de gestion des risques	<p>La DG rédige un « Registre annuel des risques » indiquant le risque, sa nature, son niveau et le plan d'action pour le traiter en relation avec les objectifs généraux de la DG. Ce registre est évolutif d'une manière permanente, en sorte de maîtriser les différents risques associés aux activités de la DG et de les réduire au minimum possible.</p> <p>Le tableau révisé a été établi et envoyé au Risk Manager fin janvier 2018. A sa demande un tableau de risques de fraude et un autre sur les risques d'un des projets inclus dans le PPP ont été établis et envoyés en même temps.</p>
7	Structure opérationnelle	<p>Au plus tard au début de chaque N exercice la liste des ordonnateurs délégués et subdélégués est préparée, envoyée aux services de l'Institution responsables du suivi du domaine d'activité ainsi qu'aux services de la DG. De la même manière sont préparés et communiqués le tableau des acteurs financiers, les habilitations des agents financiers et les permissions pour les différents systèmes de gestion financière.</p> <p>Ces documents sont adaptés et mis à jour en cours d'année, chaque fois que cela s'avère nécessaire</p>
8	Processus et procédures	<p>Les procédures utilisées dans la DG pour la mise en œuvre de ses activités font l'objet d'une documentation appropriée aux différents domaines d'activité et par direction, en étroite collaboration avec l'unité Ressources en charge de la gestion du budget de la DG. Les dispositions qui visent à garantir le contrôle et le traitement de cas spécifiques liés à l'exécution budgétaire sont centralisées au niveau de l'unité Ressources.</p> <p>Le circuit financier de la DG est assuré par l'unité Ressources dans le respect du chapitre 3 du Règlement financier.</p>

		Lors de l'élaboration du premier rapport annuel d'activités, l'unité Ressources consolide la programmation des appels d'offres pour l'exercice et fait le suivi tout au long de l'année en assurant en même temps la gestion de ces procédures. La mise à jour de cette programmation est permanente si nécessaire et, en tout cas, elle est consolidé à chaque rapport d'activité intermédiaire. L'unité Ressources effectue également un suivi rapproché de la consommation des contrats et contrats-cadre et de l'exécution des crédits y compris les recettes affectées.
9	Supervision par le management	L'unité Ressources dispose d'une série d'instruments de contrôle et de suivi afin d'assurer que toutes les procédures définies pour les activités financières, opérationnelles et administratives soient respectées ou de réagir et corriger rapidement tout éventuel dysfonctionnement.
10	Continuité des opérations	<p>Le principe que chaque direction adopte est celui de confier des tâches complémentaires, de back-up, à 2 membres de son personnel au minimum, afin d'assurer la continuité du travail pendant les absences de l'un ou de l'autre.</p> <p>En outre, chaque direction est dotée d'un disque commun censé regrouper les travaux menés par les services qui peuvent être consultés par le personnel concerné qui y a accès.</p> <p>Un <i>Business Continuity Plan</i> a été établi et communiqué au Business Manager du PE début novembre 2017. Lors de l'incident informatique de la fin du mois d'octobre, la contribution de la DG PRES a été fondamentale pour assurer la continuité des opérations, essentiellement celles liées aux activités de la plénière.</p>
11	Gestion des documents	<p>L'enregistrement, organisation, sécurité et protection des données personnelles se font en plein respect de cette norme au sein de chaque service de la DG. L'archivage est effectué pour la presque totalité des documents sur support papier et par voie électronique.</p> <p>L'unité Ressources tient à jour les archives financières de la DG tant sur support physique que électronique.</p> <p>La DG commence la mise en œuvre du plan de classement approuvé par le PE. De la même manière, ce plan de classement est une des clés de voûte du nouveau projet de gestion de documents, <i>Electronic Records Management System</i>, dont la DG PRES est le chef de file et ordonnateur principal.</p>
12	Information et communication	La page intranet de la DG (PRESnet) est l'outil clé de communication interne de la DG. Elle contient les informations nécessaires pour la gestion des activités de la DG et tout le staff est encouragé à s'y informer et à y verser toutes les informations qui s'avèreraient utiles pour d'autres collègues ou pour l'ensemble de la DG. La diffusion des informations est également effectuée au moyen d'e-mails à l'ensemble du personnel. Certains services utilisent également des espaces comme

		Confluence ou SharePoint.
13	Information comptable et financière	<p>Les informations nécessaires à une gestion efficace de la DG et des services ont été identifiées et font partie intégrante du RAA.</p> <p>La totalité des informations budgétaires et financières est transmises périodiquement à la DG FINS et elles sont disponibles dans les systèmes de gestion (Finord, Webcontracts). Aucune exception n'est à signaler.</p>
14	Évaluation des activités	<p>Outre les Rapports d'activités périodiques à transmettre à la DG FINS, la DG PRES mène un suivi exhaustif des activités de l'ensemble des secteurs de la DG par trois moyens principaux: Rapports périodiques officiels, rapports ad-hoc, systèmes informatiques de gestion et bases de données propres à la DG. Par exemple, plusieurs unités font un rapport trimestriel de leurs activités qui est communiqué à l'ensemble de la hiérarchie de la DG. Certaines entités, et pour certaines questions, ont réalisé des sondages internes afin d'évaluer les mesures prises pour des politiques appliquées.</p>
15	Évaluation des systèmes de contrôle interne	<p>L'unité Ressources mène en continu une évaluation des systèmes de contrôle et d'analyse des circuits et des structures mises en place tant dans son sein que dans les unités opérationnelles en charge de l'exécution du budget (y incluses les recettes affectées) de la DG dans les domaines de l'exécution budgétaire, de la passation des marchés, du suivi des bons de commande (évaluation des besoins, circuits et procédures internes), mise à jour du tableau des acteurs financiers, vérification des permissions dans les systèmes de gestion, subdélégation des ordonnateurs compétents), et des formations lorsque cela s'avère nécessaire.</p>
16	Rapports d'Audit	<p>La DG PRES a contribué par une « <i>Audit Client Survey</i> » et par ses commentaires à l'établissement du Rapport d'Audit Interne 16/08 sur le « <i>Activity Reporting Process</i> ».</p>

Tableau synoptique d'évaluation

N° norme 2014	N° norme 2002	achevée	presque	en partie	démarrée	à démarrer / NA
Section 1: Mission et valeurs						
1. Mission	2	x				
2. Valeurs éthiques et organisationnelles	1	x				
Section 2: Ressources humaines						
3. Affectation du personnel et mobilité	3	x				
4. Évaluation et développement du personnel	3, 4	x				
Section 3: Processus de planification et gestion des risques						
5. Objectifs et indicateurs de performance	7, 9, 10	x				
6. Processus de gestion des risques	11	x				
Section 4: Opérations et activités de contrôle						
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				
Section 5: Information et reporting financier						
12. Information et communication	13, 14	x				
13. Information comptable et financière	12	x				
Section 6: Évaluation et audit						
14. Évaluation des activités	n/a	x				
15. Évaluation des systèmes de contrôle interne	20, 22	x				
16. Rapports d'audit	21	x				

Commentaires sur le résultat de l'exercice annuel de l'autoévaluation des NMCI

1. Normes évaluées **achevées - bonnes pratiques**

Bon nombre des NMCI, même si marqués comme achevés, de par sa propre nature sont à caractère évolutif et d'actuation permanente (NMCI 2, 4, 5, 8, 9, 11, 12, 13, 14 et 15).

En ce qui concerne le NMCI 6, le tableau de risques de la DG PRES a été modifié pour l'année 2018 en conformité avec les objectifs généraux de la DG et présenté au nouveau Risk Manager mais toute évolution de ce tableau lui sera communiquée ultérieurement. Un tableau sur le risque de fraude et un autre sur les risques éventuels d'un des projets du PPP ont également été établis et communiqués au Risk Manager du PE.

La DG PRES a conclu son Business Continuity Plan (NMCI 10) et a fait preuve de sa flexibilité et capacité de réponse lors de l'incident informatique de la fin du mois d'octobre pour assurer la continuité des opérations de la plénière en étroite collaboration avec la DG ITEC et le Business Manager.

La DG PRES a contribué grâce à un « *Audit Client Survey* » et à ses commentaires à l'établissement du Rapport d'Audit Interne 16/08 sur le « *Activity Reporting Process* ». Le degré d'achèvement de la NMCI 16 est débiteur des Services de l'audit interne.

2. Normes évaluées **presque achevées - éléments à compléter**
NA

3. Normes évaluées **partielles ou démarrées - points faibles et pratiques**

4. Normes évaluées **à démarrer ou non applicables.**