

**Annual Activity Report  
2013  
DG Translation**

**Authorising Officer by Delegation: Janet PITT**

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Directorate-General for Translation  
 Director-General

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## **Annual Activity Report** **1 January – 31 December 2013**

**DIRECTORATE GENERAL-FOR TRANSLATION**  
**DELEGATED AUTHORISING OFFICER: JANET PITT**

### **0. SUMMARY OF BUDGET EXECUTION**

Code	Appropriation type	€ or %
	<b>Appropriations 2013</b>	
A	Initial appropriations	18.829.000
B	Final appropriations	16.684.400
C	Commitments	16.178.186
D	Commitments in % of final appropriations	97%
E	Payments	12.084.896
F	Payments in % of commitments	75%
G	Cancellations of 2013 final appropriations	506.214
H	Cancellations of 2013 final appropriations in % of final appropriations 2013	3%
	<b>Appropriations carried over (automatic and non-automatic carryovers) from 2013 to 2014</b>	
I	Automatic carryovers from 2013 to 2014	4.093.290
J	Automatic carryovers from 2013 to 2014 in % of commitments	25%
K	Non-automatic carryovers from 2013 to 2014	0
L	Non-automatic carryovers from 2013 to 2014 in % of final appropriations	0,00%
	<b>Appropriations carried over (automatic and non-automatic carryovers) from 2012 to 2013</b>	
M	Automatic carryovers from 2012 to 2013	1.873.447
N	Payments against automatic carryovers from 2012 to 2013	1.813.157
O	Payments against automatic carryovers from 2012 to 2013 in % of automatic carryovers from 2012 to 2013	97%
P	Cancellations of automatic carryovers from 2012 to 2013	60.290
Q	Cancellations of automatic carryovers from 2012 to 2013 in % of automatic carryovers from 2012 to 2013	3%

Code	Appropriation type	€or %
R	Non-automatic carryovers from 2012 to 2013	0
S	Payments of non-automatic carryovers from 2012 to 2013	0
T	Payments against non-automatic carryovers from 2012 to 2013 in % of non-automatic carryovers from 2012 to 2013	0,00%
U	Cancellations of non-automatic carryovers from 2012 to 2013	0
V	Cancellations of non-automatic carryovers from 2012 to 2013 in % of non-automatic carryovers from 2012 to 2013	0,00%
<b>Assigned revenue in 2013</b>		
W	Appropriations from assigned revenue in 2013 (current)	134.982
X	Assigned revenue carried over to 2013	129.499
Y	Payments in 2013 against appropriations from assigned revenue (current and carried-over)	128.559
Z	Payments in 2013 against assigned revenue in % of assigned revenue in 2013 (current and carried-over)	49%
AA	<b>Appropriations for 'mopping-up transfer'</b>	3.264.670

## 1. **OBJECTIVES**

### 1.1. **OBJECTIVES OF THE DIRECTORATE-GENERAL**

The Directorate-General for Translation (DG TRAD) provides the European Parliament with translation services for its written or electronic communication in all official languages of the European Union.

The **mission** of the DG is:

- to make available in all official languages all documents relating to Parliament's role as co-legislator and one of the two arms of the budgetary authority, in order to ensure the legitimacy and transparency of the legislative and budgetary process of the European Union;
- to enable the European Parliament to meet its commitment to the policy of multilingualism, designed to ensure the equal treatment of languages and permitting all citizens of the European Union to communicate with the institutions and have access to the documents of those institutions in their own language;
- to ensure that these translation services are supplied as efficiently and effectively as possible.

The Administrative Work Programme 2012-2014 defines a series of **specific objectives** for the Directorate-General as follows:

#### I. **Implementation of the harmonisation of working methods**

This project covers:

- an action plan providing for the establishment of a harmonised approach in all language units to the workflow: work allocation, quality control, use of IT tools, terminology, role of translation assistants;
- the introduction of best practices throughout the DG.

#### II. **Mapping the business processes used in translation**

This project aims at:

- establishing a global view of how the DG uses its skills and resources;
- drawing up a comprehensive map of processes and tools to ensure continuous quality improvement;
- identifying which documents should be translated.

### III. IT-related priorities

This project aims to continue the development and dissemination of IT Tools facilitating the translation process. It covers:

- Fluid: development of the new workflow management tool for external translation and integration of this tool with Gepro+ and T-Flow;
- Integrated Translators' Desktop in the framework of e-Parliament: reduction of the number of applications/tools used by translators and centralisation in one application of the access to the harmonised workflow;
- the development of an EP machine translation strategy in the context of the inter-institutional project.

### IV. Implementation of the Editing Unit

This project covers:

- an analysis of the scope and staffing levels of this unit, to comprise editors of English mother tongue and possibly a small number of German and French speaking colleagues;
- training for colleagues assigned to this unit.

### V. Outsourcing

This project covers:

- a further detailed analysis of the types of documents that can be outsourced;
- replacing the obsolete E-step application by a state-of-the-art dedicated space for external translators, to be hosted on Europarl;
- a detailed analysis of the possibility of selecting individual freelance translators.

### VI. Client relations

This project covers:

- periodic client satisfaction surveys addressed both to MEPs and to staff, evaluation of the results and necessary action;
- improving mutual understanding: specific, in-depth training on the different aspects of committee work, plenary proceedings and the handling of legislative texts;
- the intensification of contacts with all clients with a view also to fine-tuning advance information on translation requests.

## 1.2. EVALUATION OF THE FEASIBILITY AND THE POTENTIAL ASSOCIATED RISKS

The **evaluation of associated risks** covers all main activities and related objectives for the Directorate General. Four main risk areas have been identified whose nature could jeopardise the realisation of major strategic objectives in the areas of quality, workforce, IT environment and financial resources, as documented in the DG's Risk Register.

During the course of 2013 a number of potential associated risks were identified, such as very high and unpredictable workload, verification time spent on documents covered by the Code of Conduct, linguistic reliability of source documents, dependency on external translation contractors and on information technology.

#### **Title: Handling very high and unpredictable workload**

**Objectives: I, III, V**

**Classification of risk: High**

In 2013 DG TRAD has achieved a very **high output** of almost 2,38 million translated pages (in accordance with the page count rules in force in 2013), an increase of approximately 2% compared to 2012, which was already a year with an extraordinary workload. The increase mainly occurred during the first semester, which showed on average an increase of 6% compared to the first semester of 2012, while the second semester was 1% lower.

In terms of volume of translated pages by document type, the most significant increases concern final reports (+211.000 pages), pre-adoption finalisation texts (+44.000 pages) and resolutions (+25.000 pages). The most significant drops concern amendments (-149.000 pages), final opinions (-41.000 pages), draft opinions (-27.000 pages), fact sheets (-20.000 pages) and draft reports (-17.000 pages).

Looking at the output from the perspective of documents, the overall total for 2013 remained at around 197.300 translated documents, which is quite stable compared to the year before, with an increase of about 0.1%. The most significant increase concerns amendment documents (+3.400), final reports (+1.600) and miscellaneous documents (+1.600). The most significant drop concerns final opinions (-2.300 translations), draft opinions (-2.200 translations) and fact sheets (-1.500).

The significant decrease in translated amendments pages, in combination with an increase in the number of translated amendment documents, is due to a lower average size of amendment documents. In 2012 the average size of an amendment document was about 28 standard pages while in 2013 it dropped to around 21,5 standard pages.

The level of outsourcing for 2013 averaged 28,9%, not too far below the annual target of 30%, while in 2012 the outsourcing rate was slightly higher at 30,1%. Thanks to continuous efforts in the pre-treatment of documents, the DG has seen an overall increase in internal output and consequently a decrease in outsourcing; around 1,69 million pages were translated internally, compared to 1,62 million internal pages in 2012, or an increase in internal production of around 4%. It is important to note that the volume of re-use, following the pre-treatment of documents, is stabilising at a high level and no further increase has been observed during the last quarters of 2013.

The number of occupied posts remained quite stable. There is a small increase due to the creation of the Croatian unit in July 2013. Monitoring the internal output versus the internal capacity, there is a close-to-maximum use of available capacity, namely 99,3% (target is 95%). The key performance indicator n° 5 (KPI 5) is measuring internal productivity via the new capacity definition based on net pages (*see point 2.4.4*). Despite the high workload services have coped efficiently.

The number of translated pages linked to the ordinary legislative procedure (translation code: COD), remains at a high level but reveals a slight decrease compared to 2012. During 2013 approximately 1.040.000 COD pages were produced compared to 1.133.000 COD pages in 2012. Putting this in context, the total production of COD pages for the entire year 2010 and 2011 amounted to 312.000 and 420.000 pages respectively. The translation service will continue to monitor the impact of the **Lisbon Treaty** on DG TRAD's workload.

**Title: Handling tight deadlines while depending on the punctuality of other services**

**Objective: I**

**Classification of risk: high**

Performance regarding verification time, not executed by DG TRAD, is still a concern. During 2013 only 37% of the COD verifications were delivered within the deadline of one day, as foreseen in the **Code of Conduct on Multilingualism**, which in turn significantly reduced the time left for translation. Given that in the vast majority of cases the translation services are required to deliver translations within a fixed deadline, this reduction in translation time has had an inevitable negative impact on the quality of final texts. Nevertheless, it is an improvement compared to 2012, where only 23% of the COD verifications were delivered within one day.

With regard to the verification of INI files by DG TRAD's Editing Unit, the performance is much better and is being monitored in a dedicated report. The Editing Unit, which is handling such documents, is clearly showing its benefits in the verification of these files. During the first 11 months of 2013, 62% of the INI texts were verified within one day.

**Title: Handling the linguistic reliability of source documents**

**Objective: IV**

**Classification of risk: low**

The **Editing Unit** is now fully operational. The editing of parliamentary questions, session resolutions and amendments, and own-initiative texts (reports and opinions) is carried out successfully and in a timely manner, in addition to the editing of numerous other types of text following the launch of editing on request in July 2012; regular publicising of the service will increase its volume still further. A telephone helpline for language questions was launched in May 2013, initially within DG TRAD, and the service was extended to the rest of Parliament in early June 2013. A set of statistical reports has been created to monitor the efficiency of the Editing Unit's work.

**Title: Dependency on external translation contractors**

**Objective: V**

**Classification of risk: low to medium**

The new **main contract for external translation into Polish** entered into force on 1 April 2013 and has been less problematic than previously expected. A visit to the contractor's premises proved very worthwhile and the quality of the translations delivered so far is good and is steadily improving. This is largely due to close monitoring of the quality and the maximum feedback provided by DG TRAD to the contractor.

A seminar was organised in Zagreb on 29 May 2013 with all contractors for **external translation into Croatian**. The seminar was well attended and it helped to prepare contractors for the expected high workload. A number of early problems were noted and addressed. The five contractors, who are most in demand, have been very proactive and the quality of the translations delivered so far is good and is steadily improving. However, the contracts do not cover the Spanish and Italian languages, which could occasionally entail the need to employ English pivot resources.

The main contractor for **external translation into English** has informed the European Parliament that they are not interested in renewing their contract for another year when it expires at the end of 2013. Contact was made with the next ranked contractor who accepted early November the offer to take over the main contract for English as from 1 January 2014. Consequently, a visit with representatives from the English Translation Unit as well as External Translation Unit (ETU) took place end of November 2013 at the premises of this contractor in order to provide them with all the necessary information and to prepare for a smooth transition for the translation into English.

For **external translation into Russian** a special workflow has been introduced, which includes a quality check by Russian-speaking translators in the Lithuanian translation unit.

A less formal, but equally successful cooperation, for the revision and quality control of external translation into Arabic has existed for some time already, thanks to the good will of the individual translators concerned from the Hungarian and English translation units. An initiative was launched in December 2013 between the ETU and the Planning Unit to try to identify more in-house translators with the necessary specific knowledge who would be willing to participate in the revision and quality control of translations into other non-official languages being outsourced.

**Title: Dependency on information technology**

**Objective: III**

**Classification of risk: high**

The processing of **multilingual documents** poses numerous difficulties and is furthermore heavily resource-consuming. Over the years DG TRAD has been able to develop specific working methods and tools in order to deal with such documents. The pre-treatment of outsourced multilingual files has allowed for significant savings. However, the simultaneous arrival of bulky multilingual files has caused serious difficulties for our automation applications. The migration of these applications to a more robust and scalable environment, under the wing of DG ITEC, has been achieved for the most critical applications. In 2014, the remaining applications will be rewritten in the DG ITEC standard technology and fully migrated.

Most of DG TRAD's priority projects have not seen the desired progress or, in some cases, have not begun at all. Nevertheless, the upgrade of the workflow tools (Workflow Enhancement Project), which is co-developed by DG TRAD and DG ITEC in a decentralised way, was closed successfully in 2013. The main reason for the delay with other projects is due to DG ITEC's difficulties in recruiting specialised staff to manage the different projects, especially the long-awaited rewriting of the Fluid application, which will have a number of major areas of dependence on the new FMS/SAP project of DG FINS. An agreement was reached in August 2013 between DG ITEC and DG TRAD to decentralise the development of the "operational" part of Fluid+ along with the transfer of the respective budgetary appropriations. Following this agreement, the Fluid+ project has started late 2013 with the setup up of a development team. The chosen architecture is SOA (service oriented architecture) to minimize the risk linked to connection with FMS/SAP software.

The migrations to SDL Studio and CAT4TRAD, foreseen for 2014, are two high risk projects because they have an impact on all translators' desktop tools. The impact is moderated by the fact that deployment is planned in a period with a low workload. Nevertheless, the sessions of late 2014 (new legislature) may have to face the remaining migration issues.

**Other associated risks:**

**Difficulties of providing sufficient language cover for Irish and Croatian.**

**Classification of risk: low**

Derogations under Rule 147 of the Parliament's Rule of Procedure with respect to Irish and Croatian have been extended, for the time being, until the end of the current parliamentary term.

## **2. EVALUATION OF RESULTS OF OPERATIONS IN RELATION TO THE OBJECTIVES – USE OF RESOURCES**

### **2.1. ENVIRONMENT OF THE DIRECTORATE-GENERAL**

The agreement with the Council on a **work-sharing scheme** for dealing with first-reading procedures, implemented as of April 2012, is resulting in savings in both time and effort for Parliament's language units, whilst ensuring compliance with Article 294(4) of the Treaty on the Functioning of the European Union (TFEU). This principle of work-sharing has also been applied to translation into Croatian of the Commission documents which are required for the ordinary legislative procedures. The procedural changes to the workflow introduced by the amendments to Rules 70-70a of the Rules of Procedure in December 2012 may affect the already established work-sharing scheme by increasing the EP's share of the work (*AWP objectives I & VI*).

In December 2013, it was decided to transfer all **quality-related tasks** from the Planning Unit's Quality Service to the Multilingualism and External Relations Unit as of 1 January 2014, thus ensuring a single point of contact for all quality-related issues. Concentrating these activities into one unit will guarantee a more efficient service and allow better integration of client feedback into the quality initiatives taken by the Quality coordinators.

The **Harmonisation of Working Methods** project was created to respond to the values and expectations of all staff members in DG TRAD and to help them feel closer to the core business of the EP and in particular to help them prepare quality legislation that is drafted, discussed, voted and adopted in all official languages of the EU. Directorate B continues its efforts to achieve a harmonised approach to working methods in all units reflecting the thematic structure of our institution. To this effect, an action plan was devised and is currently being implemented. A series of meetings took place with the Heads of unit and Policy Sector Correspondents in order to strengthen the role of Policy Sector Correspondents and the functioning of the thematic groups in all units and their collaboration with the Client Liaison Officers. Among the measures taken, the Policy Sector Correspondents were invited to organise weekly meetings with their respective groups in order to place stronger focus on teamwork and to achieve the objectives of the harmonisation project. For this purpose guidelines were prepared for the Policy Sector Correspondents and the thematic group meetings. They were distributed to all stakeholders. In addition, a functional mailbox was created to receive the initial feedback (after the two first meetings) and any further reactions or comments. File Coordinators for specific legislative files and projects were appointed and, in close contact with the Client Liaison Officers, have begun reporting back to fellow translators on a collaborative platform (*AWP objective I*).

In October 2013, a **Governance Body and a Preparatory Body** were created in the field of communication strategy. The role of the Governance Body is to set the framework and define the general guidelines for DG TRAD's communication strategy and policy, and the role of the Preparatory Body is to prepare, implement and follow-up its decisions.



DG TRAD is the pilot DG for the implementation of one of the three **talent management programmes** initiated by DG PERS, the Key Specialists Programme. In the framework of this programme seven Key Specialists are working on their growth assignments, adding value to the DG's core business with their personal efforts, building on their specialist know-how. Most of these projects have the potential to impact directly the Harmonisation of Working Methods project by identifying and disseminating best practices over the DG (*AWP objective I*).

The **Learning Visits Program** continued in 2013 with a number of 92 visits (an average of 3 visitors per visit). In its first stage, the participation of the colleagues from the linguistic units was limited to a maximum of 4 participants but as from October 2013, the program has been opened to all colleagues in the DG. The visits offer interested colleagues the possibility to visit the units involved in the journey of the documents through DG TRAD, (namely, Planning, PreTrad, External translation and Language unit) and have a short, live demonstration of the visited unit's work. Participants' feedback is extremely positive. Following the visits they gain a better understanding of the workflow as a whole in the DG and of the challenges faced by the colleagues upstream and downstream from their unit.

A DG-wide **staff satisfaction survey** was launched at the end of October last year. In total 748 employees responded to the survey, representing 61 % of all DG TRAD employees. A preliminary report containing the raw aggregated results of the survey was made available at the beginning of December 2013. A more in-depth analysis will be presented in early 2014. The aim of this survey is to improve management's ability to respond to the interests, needs and concerns of employees.

A number of working groups have delivered their conclusions at the time of this report:

**-Working Group on Resource-Efficient Translation (RET):** The mandate of this group was to identify a resource-efficient translation workflow in legislative procedures; define the cost of non-resource efficient translation and suggest improvements based on RET for the Code of Conduct on Multilingualism. The group completed its work at the end of March 2013 and delivered its conclusions in April 2013 - *see point 2.4.5*.

**-Working Group on the application of the current training rules and guidelines in DG TRAD:** The mandate of this group was to examine current training rules; make suggestions to senior management on how to change their application for a better compromise between stakeholders' interests and to make suggestions regarding potential changes needed to current rules. The group completed its work and delivered its conclusions in May 2013 – *see point 2.4.9 (AWP objective I & II)*.

**-Working Group on Outsourcing:** The mandate of this group was to analyse and outline the possibilities of selecting individual freelance translators for EP and to make suggestions to senior management on potentially feasible outsourcing schemes. The group presented its final report in June 2013 (*AWP objective V*).

**- Working Group on Teleworking:** The mandate of this group was to explore the possibility of extending teleworking to administrators (other than translators) and to assistants in DG TRAD, to define the eligibility criteria as well as the technical and material needs required for teleworking and to propose changes to the current rules on teleworking if appropriate. In line with the conclusions of the working group major changes have been suggested to the present rules, notably extending the opportunity of teleworking to all categories of staff, reducing the seniority criterion and abolishing the limited number of teleworkers per unit. These changes have been widely supported by staff and hierarchy. Subsequently new draft rules have been submitted to the Secretary-General for approval (*AWP objective I & II*).

**-Working Group on Terminology:** The mandate of this group was to explore possible improvements in the organisation of terminology work in DG TRAD; to elaborate the Terminology Framework, defining tasks and responsibilities of TermCoord and those of translation units in the field of terminology and to propose minimum requirements for translators appointed by Heads of Unit as terminologists. The group completed its work and delivered its conclusions at the end of September 2013 (*AWP objective I & II*).

- **Working Group on working protocols for external translators:** The mandate of this group was to define working protocols for external translators, which would be attached to each document outsourced. The group presented its report in October 2013, which included a model to be used ('Document Passport') as well as recommendations on its automated inclusion in pre-treatment packages, placement of associated links and examples of how these protocols could look for five document types (amendments, opinions, written questions, procurement documents and fact sheets). In its first conclusions, the Working Group suggested an extension of its mandate in 2014 in order to prepare 'Document Passports' for further document types (*AWP objective V*).

Six focus group sessions, with forty-eight end users (translators and assistants), were organised in June to identify the recurrent IT needs *vis-à-vis* the CAT tools used. A list of **functional requirements for a CAT tool** that sets priorities for IT development was subsequently analysed and validated by the end users during four workshops. These lists, as well as an analysis of the IT needs, were submitted to Directorate A for consideration.

The **Minestrone Project** was launched in 2012 to enhance professional and linguistic exchange between units by allowing participants to occupy an office in another unit for six months while they continue to work for their own unit. The project has now been extended to assistants (*AWP objective I*).

The **risk register** continues to be monitored. A review of the risk register has been completed in line with this report and the First Activity Report for 2014.

## 2.2. HUMAN RESOURCES IN THE DIRECTORATE-GENERAL

	Posts Establishment Plan 01/01/2012*	Posts Establishment Plan 01/01/2013*	SITUATION AT : 31/12/2013				TOTAL
			Officials	Temporary agents**	Contract agents	External staff***	
AD	789	771	694	64	38		796
AST	448	441	386	32	4		422
OTHER						21	21
<b>TOTAL</b>	<b>1237</b>	<b>1212</b>	<b>1080</b>	<b>96</b>	<b>42</b>	<b>21</b>	<b>1239</b>

\*Number of occupied and vacant posts as stated in Streamline

\*\*Temporary agents on part-time compensation are included

\*\*\* *intra-muros* working in the EP on service contracts

After two years of successful implementation of the agreement reached with the Secretary-General regarding staffing levels in the linguistic units, 2013 was a year of stability concerning AD posts. With regard to translation assistants, 10 posts which became vacant in 2013 are available for reallocation within the Institution and 7 are earmarked for reallocation when the members of staff retire in 2014, 2015 and 2016.

DG TRAD is concerned by the 5% post reduction required by the new Staff Regulations and has identified a total of 61 posts for the period 2013-2017, of which 13 were returned in 2013.

An important change in 2013 is that the **Croatian Unit** is now staffed with 5 translators appointed as officials, 21 temporary and contractual agents and 10 temporary assistants. Recruitment interviews of laureates from the reserve list are still on-going and a second competition is being held. Appointments of the Head of unit and the Quality coordinator are on their way.

From a more general point of view, **DG TRAD** continued to develop a more modern and flexible approach to staff management while complying with relevant existing rules. This is shown, on one hand, by the increasing number of staff benefitting from temporary placements and loans within the Directorate-General (see item 4.8.) and, on the other hand, by the request to the Secretary-General for extending teleworking to all categories of staff.

## 2.3. BUDGET EXECUTION 2013

### 2.3.1. *Final appropriations and initial appropriations*

Authorised appropriations in DG TRAD's initial budget for 2013 totalled €18.829.000, representing an increase of €2.505.000 (+15%) in relation to the initial budget for 2012 totalling €16.324.000.

**1420-01:** In February 2013, a **€20.000** transfer was carried out from sub-item 1420-02 to sub-item 1420-01 since technical aspects of the FLUID application made it necessary to continue using this budget item in 2013. An existing framework contract for the CRE is used to cover any requests received from the Members of Parliament for the translation of part of the CRE into English. Once the framework contract expires in December 2013 all CRE translations on-demand will be covered by DG TRAD's framework contracts for "other translations".

**1422-01:** In July 2013, a transfer of **€34.000** was carried out from sub-item 1420-02 to item 1422-01 to cover the Parliament's first contribution to the new Machine Translation Service (MT-service) MT@EC, which was deployed by the European Commission during the summer of 2013.

In November 2013, the President approved the transfer of **€220.000**, for the payment of Parliament's co-financing contribution to the machine translation system developed by the Commission.

**1422-02:** In July 2013, a transfer of **€10.000** was carried out from sub-item 1422-01 to sub item 1422-02 to cover all costs related to the London Language Show 2013, which is more costly than previously estimated.

**3241-02:** In April 2013, an agreement between DG ITEC and DG TRAD resulted in the transfer of **€300.000** from DG ITEC's sub-item 3241-01 to sub-item 3241-02. These appropriations financed the development and support of applications in DG TRAD namely, Cat4Trad, SPA, Studio and Machine Translation. This transfer was reversed in October 2013 and replaced by a transfer of € 900.000 from DG ITEC's sub-items 2102-08 and 2102-09 to the newly created sub-item 2102-10, to ensure the continuity of operations until the end of the year and to fund the development of Fluid+, following a decision to decentralise this project to DG TRAD.

In September 2013, a transfer of **€150.000** from sub-item 1420-02 to sub-item 3241-02 was approved by the Budgets Committee to cover costs related to the Sharepoint project. This tool will provide translators with quick access to information to ensure efficient and quality translations.

**2102-10:** The Director-General was appointed as an authorising officer by delegation on sub-item 2102-10, in accordance with the instructions of the Secretary-General regarding the decentralisation of IT development in the European Parliament (ref.: D(2013) 7746 of 28/3/2013). This sub-item was used until the end of the year for IT development costs.

**Cancellation of final appropriations 2013:** The cancellation of final appropriations in 2013 amounted to a total of €506.214. Sub-item 1420-02 accounted for most of the surplus (i.e. €471.339), which is due to the fact that DG TRAD has no direct control over the level of translation demand, making it extremely difficult to make reliable forecasts on expenditure for external translations.

During the first and second round of the 2013 mopping-up procedure DG TRAD made the amount of €3.264.670 available. This estimate was based on the situation in November 2013. However, despite heavy spending up to 23 December, and DG TRAD's best efforts to estimate appropriation needs as closely as possible, a surplus remains.

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

Final appropriations at 31 December 2013 totalled €16.684.400, where the total commitments entered into amounted to €16.178.186 or 97% of the final appropriations.

### **2.3.3. Committed appropriations and payments carried out**

Commitments at 31 December 2013 totalled €16.178.186, payments totalled €12.084.896 or 75% of all commitments entered into.

Invoices often arrive some months after the delivery of the services. To accelerate the payment of services delivered, the Financial Resources Management and Controls Unit regularly send lists of outstanding order forms to be invoiced to the contractors. In addition, an amount of €1.200.000 was spent on external translation services during the period 16-23 December which has still to be invoiced by DG TRAD's contractors.

### **2.3.4. Use of automatic carried-over appropriations and non-automatic from 2012 to 2013**

Automatic carryovers to the financial year 2013 totalled €1.873.447. At 31 December 2013 payments made amounted to €1.813.157, or 97% of carried-over appropriations 2012-2013 for all items of the Directorate-General.

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

#### **2.3.5.1. Payment appropriations on assigned revenue**

Assigned revenue made available in 2013 amounted to €134.982. At 31 December 2013 commitments entered into amounted to €21.568.

#### **2.3.5.2. Carried-over appropriations on assigned revenue**

Assigned revenue carried over from previous years totalled €129.449. At 31 December 2013, commitments totalled €128.583 of which €128.512, or 99,94%, has been paid.

## 2.4. RESULTS OBTAINED

1. Number of pages produced (internally/externally):
2. Number of pages translated for the CRE:

### Pages produced - 1 January to 31 December 2013

	Int. Pages	Int. Docs	Ext. Pages	Ext. Docs	Total pages	% Int. Pages	% Ext. Pages	CRE pages	CRE docs	Grand total
AR	0	0	345,66	72	345,66	0,00%	100,00%			345,66
BG	75.382,39	7.213	30.653,90	679	106.036,29	71,09%	28,91%			106.036,29
CA	0	0	23,29	36	23,29	0,00%	100,00%			23,29
CS	73.947,16	6.592	31.798,18	1.689	105.745,34	69,93%	30,07%			105.745,34
DA	72.588,24	7.301	33.703,87	763	106.292,11	68,29%	31,71%			106.292,11
DE	91.387,42	9.852	35.078,28	1.744	126.465,70	72,26%	27,74%	116,99	10	126.582,69
EL	77.694,50	8.067	31.478,05	856	109.172,54	71,17%	28,83%			109.172,54
EN	34.449,03	8.354	13.482,75	7.199	47.931,78	71,87%	28,13%	5.960,04	20	53.891,81
ES	77.652,63	7.879	33.328,65	1.534	110.981,28	69,97%	30,03%			110.981,28
ET	71.571,05	6.050	30.104,54	862	101.675,59	70,39%	29,61%			101.675,59
FA	0	0	8,79	4	8,79	0,00%	100,00%			8,79
FI	74.208,71	6.154	27.544,58	853	101.753,28	72,93%	27,07%			101.753,28
FR	89.788,07	9.485	31.525,00	1.530	121.313,08	74,01%	25,99%	77,62	2	121.390,70
GA	3.692,59	339	200,31	14	3.892,89	94,85%	5,15%			3.892,89
HR	41.717,35	4.198	15.282,06	369	56.999,41	73,19%	26,81%			56.999,41
HU	78.574,34	7.729	29.614,66	800	108.188,99	72,63%	27,37%	11,8	1	108.200,79
IT	80.784,01	8.418	32.594,84	2.023	113.378,84	71,25%	28,75%			113.378,84
KU	0	0	10,01	6	10,01	0,00%	100,00%			10,01
LT	75.267,45	6.058	30.694,79	1.937	105.962,24	71,03%	28,97%			105.962,24
LV	72.457,25	6.554	32.932,00	1.323	105.389,25	68,75%	31,25%			105.389,25
MT	73.814,89	6.360	30.504,84	1.249	104.319,72	70,76%	29,24%			104.319,72
NL	76.278,40	7.483	31.949,48	1.066	108.227,89	70,48%	29,52%			108.227,89
PL	81.448,83	8.360	28.934,04	1.057	110.382,87	73,79%	26,21%			110.382,87
PT	73.266,71	6.450	29.510,63	864	102.777,34	71,29%	28,71%			102.777,34
RO	70.344,23	6.538	35.626,22	1.506	105.970,44	66,38%	33,62%			105.970,44
RU	0	0	484,40	39	484,40	0,00%	100,00%			484,40
SK	73.752,73	6.171	30.572,05	1.286	104.324,78	70,70%	29,30%			104.324,78
SL	74.256,47	6.001	27.572,67	1.028	101.829,14	72,92%	27,08%			101.829,14
SV	74.302,65	6.601	29.280,05	694	103.582,70	71,73%	28,27%			103.582,70
ZH	0	0	8,19	3	8,19	0,00%	100,00%			8,19
<b>Total</b>	<b>1.688.627,08</b>	<b>164.207</b>	<b>684.846,76</b>	<b>33.085</b>	<b>2.373.473,84</b>	<b>71,15%</b>	<b>28,85%</b>	<b>6.166,45</b>	<b>33</b>	<b>2.379.640,29</b>

3. Respect for deadlines by requestors (Code of Conduct - CoC):

2013 (Jan-Dec) monthly % rate of compliance

Jan: 77,34%
Feb: 93,73%
Mar: 92,93%
Apr: 88,98 %
May: 84,72%
Jun: 74,27%
Jul: 84,12%
Aug: 99,73%
Sept: 85,92%
Oct: 85,66%
Nov: 83,95%
Dec: 75,96%

Surveying the application of the **Code of Conduct on Multilingualism**, DG TRAD continues to measure the rate of compliance of its clients with regard to respect for the relevant deadlines. In general, there has been an improvement, since the average compliance rate in 2013 is 85,24% compared to a compliance rate of 82,10% in 2012. It should be added that the Code of Conduct needs to be reviewed, as it is clearly outdated and no longer in line with reality.

4. Key Performance Indicators reports (KPIs):

**KPI 1** - DG TRAD's compliance with the Code of Conduct when clients breach the Code

Month	Internal %	External %
Jan	94,3%	97,3%
Feb	94,7%	96,4%
Mar	94,4%	92,9%
Apr	94,1%	92,7%
May	95,8%	97,3%
Jun	94,2%	100,0%
Jul	95,3%	95,5%
Aug	100,0%	100,0%
Sept	97,1%	97,3%
Oct	91,5%	99,1%
Nov	94,9%	96,9%
Dec	96,2%	98,5%

**KPI 2** – Mutual compliance with the Code of Conduct

Month	Internal %	External %
Jan	92,4%	96,6%
Feb	95,4%	97,8%
Mar	95,1%	98,6%
Apr	94,7%	98,1%
May	95,4%	98,1%
Jun	95,1%	97,6%
Jul	94,1%	98,1%
Aug	98,3%	99,5%
Sept	95,4%	96,6%
Oct	95,9%	98,8%
Nov	95,4%	99,0%
Dec	94,9%	98,7%

### KPI 3 – Late translations

Month	Internal %	External %
Jan	5,2%	4,2%
Feb	4,3%	1,6%
Mar	4,5%	1,0%
Apr	4,2%	0,9%
May	4,2%	1,5%
Jun	5,5%	1,5%
Jul	4,7%	1,6%
Aug	1,7%	0,9%
Sept	3,4%	1,9%
Oct	4,2%	1,2%
Nov	3,6%	1,3%
Dec	4,1%	1,2%

### KPI 4 – Demand vs. Production

Month	Internal %	External %
Jan	99,2%	100,8%
Feb	99,4%	103,2%
Mar	104,1%	97,2%
Apr	97,7%	101,9%
May	98,6%	100,7%
Jun	100,4%	99,8%
Jul	105,6%	96,9%
Aug	100,2%	133,9%
Sept	98,1%	91,6%
Oct	100,7%	100,6%
Nov	96,3%	101,0%
Dec	102,4%	97,9%

In addition to the four **key performance indicators** (KPIs), which are broadly communicated within the DG since September 2010, five additional KPIs are distributed every month to senior management (at the level of Director-General and Director) since October 2012. In addition, an overview in the form of a dashboard is produced, showing the aggregated results of all nine KPIs, which have been reviewed and refined.

A **new KPI** was available for middle management after the summer 2013. This KPI combined two senior management KPIs, namely, the ‘KPI Outsourcing Score’ and the ‘KPI Internal Output Capacity’. This new KPI allows the linguistic units to monitor their position in comparison to the other linguistic units, both in terms of internal productivity and their level of externalisation. This is necessary due to the change from the productivity reference value to a capacity-based view. The first results for this new KPI are shown below. The internal productivity is expressed in net pages and based on the new capacity definition in line with the latest Stability Agreement with the Secretary-General.

### KPI 5 – Internal Production vs. Capacity and Outsourcing Score

Month	Internal Production vs. Capacity %	Outsourcing Score %
Sept	102,8%	29,7%
Oct	128,1%	34,6%
Nov	111,4%	31,4%
Dec	81,0% <sup>1</sup>	32,2%

<sup>1</sup> The relatively low ratio in December is a consequence of an over-estimation of the staff capacity in that month, as the model distributes effective working days equally to all months, while December has significantly less working days due to the closure of the Parliament at the end of the year.

In addition, a new senior management KPI on the 'Absenteeism Score' has been developed. Both new KPIs will be evaluated after a test period, which will allow for further qualitative analysis and fine-tuning. The development team will also look into the possibility of establishing further KPIs (*AWP objectives I, II, V, VI*).

#### 5. Productivity (*This indicator is no longer relevant - see point 2.4.4 - KPI 5 above*)

As a result of recent reflections about productivity and capacity by the **Working Group on Resource-Efficient Translation (RET)**, the reference value expressing productivity as the median over the EU-15 non-pivot language units has been replaced by the definition of capacity based on the average net availability of translation staff and a rate of net pages a translator can handle per day.

The RET completed its work at the end of March 2013 and delivered its conclusions on 18 April 2013. Considering the need for savings in translation without jeopardising the principle of multilingualism, the working group proposed the adaptation of programming methods for the translation of EP documents while taking into consideration the annual capacity of the linguistic units of DG TRAD. It also stressed the need to stop translating certain types or parts of documents, i.e. committee minutes and justifications to amendments, and to re-shift the demand to a different period of time outside part-sessions.

The Working Group looked at other options, such as translation on-demand of committee amendments, which they found would create many organisational problems, reduce transparency and increase the unpredictability of translation demand. On the other hand, the non-translation of explanatory statements to draft reports and justifications for draft opinions could still be regarded as sensitive from a political point of view. Combined with an adapted approach to programming through the active role of the Planning Unit, this process could well open new doors to efficiency as well as contribute to clients' and translators' satisfaction. This would call for modifications to the existing Code of Conduct on Multilingualism.

#### 6. Quality control of external translation performed in 2013:

- 1) The number of external translations assessed by the linguistic units: 826\*
- 2) Number of external translations considered unacceptable: 72
- 3) Number of warning letters sent concerning all translations: 32
- 4) Number of financial penalties: 85
- 5) Number of meetings taken place with external contractors: 12\*\*
- 6) Seminars with external contractors: 1\*\*\*

In 2013, 826\* translations performed externally were assessed by the translation units, of which 72 were considered unacceptable. In all these cases, the contractors responsible were informed in writing; 59 financial penalties were imposed for unacceptable quality and 26 for failure to respect the deadline set.

*\* The figures concerning the assessment of translations performed externally in 2013 do not include assessments of translation delivered in December. The results of these assessments will be available end January 2014.*

*\*\* In 2013, a new PL contract entered into force and a new EN contract enters into force on 1 January 2014. The EN main contractor terminated their contract with EP on their own request. Five out of the total number of meetings were organised in respect of these developments.*

*\*\*\* One seminar was organised, in 2013, in connection with the entry of Croatia into EU. As there are 10 ranking contracts for translation into Croatian, the objective of the seminar was to address, inform and prepare as many of the contractors as possible. Nine contractors out of the total of ten were represented at the seminar.*



## 7. Planning:

During the period of this report the Quality Service treated a total of 2.317 cases (including both "real complaints" and "spontaneous feedback"), 787 of which regarding translations and 1.530 concerning originals.

- 1) Number of translation requests treated (number of FdRs entered): 32.718
- 2) Number of complaints (feedback) concerning translations: 787
- 3) Number of complaints (feedback) concerning originals: 1.530

## 8. Human Resources Indicators:

### 1. Number of staff recruited:

Staff	Recruited	Renewals
Officials	53	/
Temporary	71*	37
Contractual	37	86

\* including 37 Croatian temporary agents

2. Percentage of staff benefiting from work-life balance measures (i.e. part-time work, unpaid leave, parental and family leave and teleworking): 64% AD and 60% AST, amongst which 79 teleworkers from 23 units.
3. Number of temporary placements and loans: 18
4. Number of staff on inter-institutional exchanges: 4
5. Number of calls for expression of interest: 9

## 9. Training and Traineeships Indicators:

N° of traineeships Jan-Dec 2013	Total Jan-Dec 2013
Traineeships for university graduates	287
Training placements	5
N° of professional training courses Jan-Dec 2013	Total Jan-Dec 2013
a) Number of seminars organised by TTU	15
b) Number of training courses for management	44
c) Number of specific training courses	292
d) Cost of missions for external training (only completed courses)	€350.188
e) Use of mission budget for training (only completed courses)	94%
f) Cost of fees for external courses (excluding IT)	€10.874
g) Use of fees for individual external courses	100%

The **Working Group on the application of the current training rules and guidelines in DG TRAD** completed its work and delivered its conclusions on 15 May 2013. The working group identified several areas of training needs and made suggestions on how to best meet those needs. In many cases the efficiency of the training measures can be improved if the training is offered in a more tailor-made way, adapting to the situations found in the units. A prerequisite of such training measures is the creation of a network of facilitators, trainers and mentors, to be found in the units, who exercise these roles in addition to their current function and who have to be enabled for such support activity. The working group also concluded that a thorough needs analysis will have to be conducted in the DG. Finally, with a growing emphasis on resource efficiency, the efficiency of training measures applied throughout this large directorate-general could also be improved with the help of proactive dissemination of successful initiatives, thereby sharing best practices.

#### 10. Use of translation memories:

##### Euramis indicators at 31 December 2013

The total upload figures (Jan-Dec) amounted to 16.678.506 segments, made up of:

EP-Committees: 10.747.874 segments.

EP-Standard: 1.976.358 segments.

EP-Budget: 637.331 segments.

EP-OJPV: 622.503 segments.

EP-Basic References: 409.308 segments (aligned and uploaded to replace the earlier versions of documents in the database).

Legis-Process: 2.285.132 segments. This database is shared among the legislative institutions. The share of the EP is calculated on the basis of PreTrad's upload logs.

#### 11. Euramis re-use statistics

##### **Internal Production**

###### *1<sup>st</sup> Quarter 2013\**

Pages pre-treated by SPA: 98,87%

Potential re-use in the analysed sample: 52,01%

Potential re-use with respect to total internal production: 47,20%

###### *2<sup>nd</sup> Quarter 2013*

Pages pre-treated by SPA: 97,15%

Potential re-use in the analysed sample: 44,45%

Potential re-use with respect to total internal production: 39,69%

###### *3<sup>rd</sup> Quarter 2013*

Pages pre-treated by SPA: 87,42%

Potential re-use in the analysed sample: 53,78%

Potential re-use with respect to total internal production: 43,58%

###### *4<sup>th</sup> Quarter 2013*

Not yet available.

## **External production**

### *1<sup>st</sup> Quarter 2013*

Pages pre-treated by SPA: 92,53%

Potential re-use in the analysed sample: 40,22%

Potential re-use with respect to total outsourced production: 37,22%

Actual re-use with respect to total outsourced production: 35,13%

### *2<sup>nd</sup> Quarter 2013*

Pages pre-treated by SPA: 97,72%

Potential re-use in the analysed sample: 40,28%

Potential re-use with respect to total outsourced production: 39,36%

Actual re-use with respect to total outsourced production: 38,26%

### *3<sup>rd</sup> Quarter 2013*

Pages pre-treated by SPA: 95,41%

Potential re-use in the analysed sample: 38,25%

Potential re-use with respect to total outsourced production: 36,50%

Actual re-use with respect to total outsourced production: 34,17%

### *4<sup>th</sup> Quarter 2013*

Not yet available.

## **2.4.1. ADDITIONAL RESULTS OBTAINED LINKED TO AWP - OBJECTIVE III**

DG TRAD participates actively in the e-Parliament programme by further developing the translation editor **Cat4Trad**, which is being integrated into the e-Parliament suite of applications. The initial version for the translation of committees' agendas has seen regular updates and improvements made since it was first released in July 2012. A subsequent version for the translation of committee amendments is currently being worked on and will be made available in 2014. Given the success of Cat4Trad, an analysis is being carried out to deliver new services for improving translation quality.

In collaboration with the European Commission the **Machine Translation Service (MT-service)** was launched in July 2013. DG TRAD's MT team is currently working on integrating the Commission's MT-service into DG TRAD's existing workflow applications which will be implemented in 2014. In parallel, the same team is evaluating the use of custom translation engines which are better suited for specific EP documents.

The TWE (Translation Workflow Enhancement) project was formally concluded in 2013. The main objectives were achieved and, as consequence, a better alignment between the tools and the work that has to be performed by translation units is in place.

A better usability was obtained by the workflow functionality improvement and data sharing/synchronization between applications. FluidDiv and Fluid for Planning have been decommissioned and their functionalities are embedded in TFlow, making the use of fax communication between Units and ETU redundant. Gepro+ application interfaces underwent a complete ergonomic transformation that facilitates the application use and improved performance.

The applications Change Advisory Board which had already been in place to monitor coordinate and prioritise issue resolution and requests for change, was reinforced and extended (to include SPA, Cat4TRAD) with a more balanced number of business representatives.

The main goal was to better coordinate the evolutive and corrective maintenance. This effort led to a cycle of continuous improvements and in 2013, for the workflow applications, a total of 331 developments were delivered of which 250 were evolutive and 81 corrective. This was accomplished by 41 releases in production and 78 in preproduction.

The Fluid+ PreProject study update was concluded at the end of 2013, and the project has started.

There has been considerable progress made in the coordinated effort to **move DG TRAD's IT applications** from ITS to the EP Data Centre in accordance with the hosting policy of DG ITEC. Given that the maintenance contracts for servers in DG TRAD will expire at the end of 2013, urgent action has been taken to move the applications concerned to the IT Operations Unit in DG ITEC. In May 2013, all relevant hosting requests were approved by DG ITEC and the necessary environments are being set up by the IT Operations Unit. The most critical resources have been successfully moved to DG ITEC premises by the end of 2013, either by using virtualised hosting as a transitional measure or full hosting at the EP Data Centre. The move remains to be completed in the first quarter of 2014.

As Microsoft will officially terminate all support for Windows XP in April 2014, the European Parliament, in line with all other institutions, started the migration to **Windows7** in May 2013. In DG TRAD approximately 80% of users have migrated to Windows7; however, during the migration of the linguistic units many users reported a number of high-impact crashes of MS Word 2010. The loss of unsaved data meant that the migration exercise had to be stopped temporarily until the problem was resolved and a stable environment assured. The migration to Windows7 was resumed in September 2013.

In conjunction with the on-going migration of the translation automation applications to a more robust environment, efforts have focused on the creation of a new **High Frequency Memory** which was launched in June. This memory speeds up analysis against databases and prevents the upload of certain repetitive strings. Since May 2012 virtually all outsourced documents are pre-treated. This allows for a precise calculation of the savings in external translation, which amounted to €4.255.171 at 30 September 2013, figures for the 4<sup>th</sup> quarter are not yet available at the time of this report (*AWP objective I & III*).

Resulting from the Inter-institutional call for tenders, the main translation tool, the Translator's Workbench, is to be replaced with **SDL Trados Studio**. The project involves the customisation of software to adapt it to DG TRAD's workflow. The implementation and testing are foreseen during the second half of 2013 and the beginning of 2014 to allow for the switching of the software at the end of the legislative period in 2014. For the external translation, the switchover to SDL Trados Studio will take place on 1 July 2014.

With regard to **page-counting**, the SPA calculated net-page values (which exclude the re-use of the already translated text from the workload calculation) are automatically transferred to Gepro+ since 25 October 2013, providing for a more accurate estimation of the net workload involved in most translation requests, ensuring a fairer workload allocation and improving workload balancing inside the translation units. Moreover, it provides access to the real net-pages values for the External Translation Unit.

In order to address the **collaboration and communication needs** of DG TRAD, a Sharepoint pilot project was kicked off with the objective of gathering requirements and creating a prototype for Directorate B.

Finally, several projects aiming at re-writing some applications/modules using more up-to-date technology and thus reinforcing the DGs **IT architecture** as well as a better integration between the IT applications have been started late 2013 and will run through 2014.

### 3. EVALUATION AND EFFICIENCY OF INTERNAL CONTROLS

The internal control standards in place in DG TRAD are evaluated during the course of every budgetary year in the areas of control environment, performance and risk management, information and communication, control activities, audit and evaluation (*please see detailed evaluation at Annex 6.8.*).

The findings of the evaluation of the internal control standards at the end of December 2013 are as follows:

<b>1. Control environment</b>					
1. Ethics and integrity	2. Mission, role and tasks	3. Staff competence	4. Staff performance	5. Sensitive functions	6. Delegation
Degree of achievement: <i>Achieved</i>					
Conclusion and significant results: ( <i>see detailed report Annex 6.8.</i> )					
<b>2. Performance and risk management</b>					
7. Setting of objectives	8. Multi-annual programme	9. Annual Work Programme	10. Performance control based on objectives and indicators	11. Analysis and risk management	
Degree of achievement: <i>Achieved</i>					
Conclusion and significant results: ( <i>see detailed report Annex 6.8.</i> )					
<b>3. Information and communication</b>					
12. Ad hoc management information		13. Mail registration and filing systems		14. Reporting of irregularities	
Degree of achievement: <i>Achieved</i>					
Conclusion and significant results: ( <i>see detailed report Annex 6.8.</i> )					
<b>4. Control Activities</b>					
15. Documentation of procedures	16. Segregation of duties	17. Supervision	18. Recording of exceptions	19. Continuity of operations	
Degree of achievement: <i>Achieved</i>					
Conclusion and significant results: ( <i>see detailed report Annex 6.8.</i> )					
<b>5. Audit and evaluation</b>					
20. Identification and correction of internal control weaknesses		21. Audit reports		22. Annual review of internal control	
Degree of achievement: <i>Achieved</i>					
Conclusion and significant results: ( <i>see detailed report Annex 6.8.</i> )					

#### 3.1 COST-BENEFIT EVALUATION OF INTERNAL CONTROLS

The successful completion of a cost-benefit analysis of DG TRAD's internal controls depends on the provision of guidance and instructions from the central finance services of the Institution. At the end of 2013, no such analysis had been carried out in DG TRAD.

An analysis is planned in 2014, in the light of the adoption of the Parliament's new Internal Control Standards.

## 4. CONCLUSIONS

Overall 2013 has been a demanding and very productive year for DG TRAD. Most importantly, the DG has continued to deliver quality translations to all clients, even during high-workload peaks.

The DG has also undertaken several important initiatives aimed at improving both the way DG TRAD works and the working environment, for example, the 360-degree feedback exercise, a pilot project which began in the early summer 2013 with the definition of a set of competences needed now and in the future in the DG. The exercise itself provided the opportunity for the 19 volunteer managers to obtain direct feedback from their superiors, their peers and their staff on how they are perceived in relation to the set of competences and then to prepare a development plan.

Also, in the first DG-wide staff satisfaction survey all staff members were given the opportunity to express their views on different aspects of their work. The raw results were published in the beginning of December 2013 and full information will be made available as soon as possible in 2014 once the detailed analysis has been completed.

The tendencies observed during 2013 in the development of the overall translation workload show that the European Parliament is approaching the end of the current legislative period and is experiencing, for the last two years, a strong impact from the Lisbon Treaty. The overall translation output remains at a high level but has slightly decreased in the second semester compared to the same period last year. Thanks to continuous efforts in the pre-treatment of documents, the DG has seen decreased outsourcing and an overall increase in internal output despite a slight decrease in the number of translators (not counting the Croatian unit).

Working methods are continuously being adapted to streamline as much as possible both the translation work-process as well as the development of IT tools supporting the translation process. The Harmonisation of Working Methods project along with the Conclusions of the Working Group on Resource-Efficient Translation reflect these efforts.

Although clients' application of the Code of Conduct on Multilingualism is showing positive trends, there is still a problem with the time spent on the verification of COD files, reducing the time left for translation, which potentially has a negative impact on quality. The creation of the Editing Unit has clearly shown its benefits for the verification of INI files.

With the rationale of using resources as efficiently as possible, DG TRAD has invested significant efforts in the maintenance and improvement of its IT environment. DG TRAD is one of the two DGs that have progressed most successfully in the migration to Windows7 and by now sees 80% of its users migrated. The main applications have an improved governance model, aligning development efforts with business needs and priorities. At the same time it participates actively in the e-Parliament programme by further developing the translation editor Cat4Trad, collaborated with the European Commission in launching the Machine Translation Service in July 2013 and is preparing the replacement of the current translator's Workbench by SDL Trados Studio, as a result of the inter-institutional call for tenders. The Translation Workflow Enhancement project was formally concluded with the main objectives achieved. The Fluid+ project has started upon the decision from DG ITEC to decentralise its development. The first prototype of a Sharepoint collaborative space has been analysed.

Finally, efficiency investments also include initiatives taken in the field of human resource development and training. The midterm review of the Key Specialist Programme (one of DG PERS's talent management initiatives) showed how committed some of the high performers of the DG are in adding value to all the above efficiency efforts. Further working groups addressed the extension of teleworking, the definition of working protocols in external translations and possible improvements in the organisation of terminology work.

With the accession of Croatia on 1 July 2013, the Croatian Translation Unit's integration into the Directorate-General is completed.

## 5. DECLARATION OF THE DELEGATED AUTHORISING OFFICER

I, the undersigned,

Director-General of the Directorate-General for Translation

in my capacity as an authorising officer by delegation declare by the present that I have reasonable assurance that:

- a) the information contained in this report provides a true picture of the situation;
- b) the resources allocated to the activities described in this report have been used for the intended purposes and in accordance with the principle of sound financial management;
- c) the control procedures established afford the requisite guarantees as to 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, for example, the results of self-assessment, ex-post controls and remarks by the Internal Audit Service, as well as information derived from the reports of the Court of Auditors on financial years preceding that in which this declaration is made.

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

Done at Luxembourg, on 30.01.2014



Janet PITT

## 6. ANNEXES

### 6.1. Budgetary execution 2013 - FINORD financial data

#### 6.1.1. Current appropriations

#### 6.1.2. Appropriations automatically and non-automatically carried-over

#### 6.1.3. Appropriations from specific expenditure/assigned revenue (RA)

#### 6.1.4. Appropriations carried-over from specific expenditure/assigned revenue (RA)

#### 6.1.5. Revenue

### 6.2. Report on the respect of payment deadlines

### 6.3. List of exceptions – Derogations from the Regulation

[FR 73.3 RAP 77, RI 8.9, Minimum Standards of Internal Control (NMCI) 18]

### 6.4. Long-term contractual obligations

### 6.5. Exceptional negotiated procedures

### 6.6. Result of ex-post evaluations

### 6.7. Sensitive functions 2013

### 6.8. Evaluation of the implementation of the minimum standards for internal control

**Annex 6.1**  
**Budget execution 2013**

*6.1.1. Current appropriations at the end of December – exercise 2013*

*6.1.2. Appropriations automatically and non-automatically carried-over at the end of December- exercise 2013*

*6.1.3. Appropriations from spécifique expenditure/assigned revenue (RA) at the end of December - exercise 2013*

*6.1.4. Appropriations carried-over from spécifique expenditure/assigned revenue (RA) at the end of December - exercise 2013*

*6.1.5. Revenue at the end of December – exercise 2013*



**DG TRAD 31/12/2013 Situation des crédits courants 2013**

Poste	Intitule	Credits Initiaux	Virements Budg. Suppl.	Credits Actuels	Engagements contractes	% Util.	Paiements effectues	Soldes des Engagements	Credits disponibles
1404	Total Poste	1.145.000	0	1.145.000	1.145.000	100,00%	1.113.795	31.205	0
1420	Total Poste	15.800.000	-3.424.000	12.376.000	11.904.661	96,19%	9.256.460	2.648.201	471.339
1422	Total Poste	374.000	254.000	628.000	625.189	99,55%	284.084	341.105	2.811
1202	Total Poste 02	0	900.000	900.000	874.816	97,20%	23.550	851.266	25.184
3220	Total Poste	95.000	-24.600	70.400	70.324	99,89%	61.084	9.240	76
3241	Total Poste	1.415.000	150.000	1.565.000	1.558.196	99,57%	1.345.923	212.273	6.807
<b>TOTAL GENERAL</b>		<b>18.829.000</b>	<b>-2.144.600</b>	<b>16.684.400</b>	<b>16.178.186</b>	<b>96,97%</b>	<b>12.084.896</b>	<b>4.093.290</b>	<b>506.214</b>

**DG TRAD 31/12/2013 Situation des crédits reportés automatiques 2013**

Poste	Intitule	Credits reportés	Paiements effectues	% Util.	Crédits disponibles
<b>1404</b>	Total poste	22.483	21.927	97,53%	556
<b>1420</b>	Total poste	1.432.522	1.415.541	98,81%	16.981
<b>1422</b>	Total poste	80.871	72.075	89,12%	8.796
<b>2102</b>	Total poste 02	0	0,00	0,00%	0
<b>3220</b>	Total poste	33.079	24.831	75,07%	8.247
<b>3241</b>	Total poste	304.492	278.782	91,56%	25.710
<b>TOTAL GENERAL</b>		<b>1.873.447</b>	<b>1.813.157</b>	<b>96,78%</b>	<b>60.290</b>

**DG TRAD 31/12/2013 Situation des crédits de dépenses spécifiques/RA**

<b>Poste</b>	<b>Intitule</b>	<b>Credits Actuels</b>	<b>Engagements contractes</b>	<b>% Util.</b>	<b>Paiements effectues</b>	<b>Soldes des Engag</b>	<b>Credits disponibles</b>
<b>1420</b>	RECETTES AFFECTEES TRADUCTION EXTERNE	122.756	9.840	8,02%	48,80	9.791,19	112.915,53
<b>1422</b>	RECETTES AFFECTEES - ACTIONS INTERINSTITUTIONAL	12.227	11.728	95,92%	0,00	11.728,04	498,63
<b>TOTAL GENERAL</b>		<b>134.982</b>	<b>21.568</b>	<b>15,98%</b>	<b>48,80</b>	<b>21.519,23</b>	<b>113.414,16</b>

<b>DG TRAD 31/12/2013 Situation des crédits reportés - dépenses spécifiques/RA</b>							
<b>Poste</b>	<b>Intitule</b>	<b>Credits Actuels</b>	<b>Engagements contractes</b>	<b>Paiements effectues</b>	<b>% Util.</b>	<b>Soldes des Engag</b>	<b>Credits disponibles</b>
<b>1420</b>	RECETTES AFFECTEES TRADUCTION EXTERNE	129.449	128.583	128.511	99,94%	72	866
<b>TOTAL GENERAL</b>		<b>129.449</b>	<b>128.583</b>	<b>128.511</b>	<b>99,94%</b>	<b>72</b>	<b>866</b>

DG TRAD 31/12/2013 Situation des recettes générales		
Poste	Intitule	Credits Actuels
<b>TOTAL GENERAL</b>		<b>0,00</b>

DG TRAD 31/12/2013 Situation des recettes générales						
Poste	Intitule	Credits Actuels	Engagements contractes	Paiements effectues	Soldes des Engag	Credits disponibles
6600	AUTRES CONTRIBUTIONS & RESTITUTIONS AFFECTEES	0	-1	0	-1	1
<b>TOTAL GENERAL</b>		<b>0</b>	<b>-1</b>	<b>0</b>	<b>-1</b>	<b>1</b>

**Annex 6.2.****Report on the respect of payment deadlines****Invoices paid from 01/01/2013 to 31/12/2013**

Factures payées		Intérêts de retard à payer à la demande (<=200€)	Pas d'intérêts de retard à payer	Total
Endéans le délai	Nombre de factures		2.840,00	2.840,00
	Montant total des factures (EUR)		12.864.991,58	12.864.991,58
	Montant des intérêts de retard (EUR)			
Après le délai	Nombre de factures	2,00		2,00
	Montant total des factures (EUR)	380,00		380,00
	Montant des intérêts de retard (EUR)	0,54		0,54
Nombre de factures		2,00	2.840,00	2.842,00
Montant total des factures (EUR)		380,00	12.864.991,58	12.865.371,58
Montant des intérêts de retard (EUR)		0,54		0,54

**Comments related to the above table:**

In 2013, two invoices were paid late i.e. OD 255/291 and OD 405/1. In both cases the delay was caused by technical problems. No interest payments were made in 2013.

During 2013 a number of invoices were suspended due to errors on the invoices relating to the amount indicated, VAT errors (e.g. the inclusion of VAT above EUR 240, or not on invoices below EUR 240), missing/incorrect information, incorrect references indicated etc. Contractor's were always informed promptly of the error and were required to issue a credit note and a new invoice.

Any difficulties encountered during the year were quickly resolved either with the contractor directly or with the help of DG FINS.

DG TRAD continues to manage its invoices in a prompt and efficient manner with a excellent average of 7,49 days for the payment of invoices in 2013.

### Annex 6.3.

#### List of exceptions – Derogations from the Regulation

[FR 73.3 RAP 77, RI 8.9, Minimum Standards of Internal Control (NMCI) 18]

Decisions derogating from established procedures and applicable Regulations							
Document n° (ED/OD)	Delegated Authorising Officer	Object	Amount €	Advice Verifier		Decision	
				Conform with observation or not conform	Justification	Authorising officer by sub-delegation	Justification
OD 385/206	Janet PITT	Payment for IT services under specific contract ref: ITS08-L04-1/PE-TRAD-A-DAS/CS002	6.725,64	Not conform	Specific contract no longer valid – terminated 30/06/2013.  Contractor continued to work intra-muros during the month of July 2013, without an amendment to the contract in place.	Pascale CHARTIER-BRUN	Over-rule / ('Passe Outre')  Decision taken due to DG TRAD's obligation to its contractor for work concluded in July 2013.  Amendment to contract overlooked in error by the operational unit.

#### Comments related to the above table:

##### OD 385/206

Specific Contract ref n° ITS08-L04-1/PE-TRAD-A-DAS/CS002 was valid up until the 30/06/2013 for the provision of various IT services, however, the unit responsible overlooked the obligation to put in place an amendment to the existing contract and the contractor continued to work during the month of July 2013 without a legal basis. The Authorising Officer responsible took the decision to over-rule ('passe outre') this payment, due to the DG's obligation to its contractor for the work carried out.

Internal control measures have been taken by the authorising officer in the Applications and IT Systems Development Unit, to ensure that this does not occur again. They are as follows:

1. Limit an intra-muros contractor's access to computer logins at the end of a contract;
2. Limit the validation date of an access card at the end of a contract;
3. Inform all new intra-muros contractors (and in the case of the renewal of a contract) by email of the end date of their contract and of their obligation not to work after this date;
4. Include the end date of contracts on the monthly timesheets when submitting it to the contractor for signature.

**Annex 6.4.**  
**Long-term contractual obligations**

Contractant	Objet	Durée		Valeur totale marché	Dépense contractuelle pour 2013	Type de renouvellement	Description des mesures de contrôle
		Contrat	Marché				
European Commission	DOCFINDER	n/a	n/a	n/a	6.571,58	automatique	An Annual Financing Agreement and a Budget Clearing Decision is put in place annually.
European Commission	INTERINSITUATIONAL EURAMIS	n/a	n/a	n/a	165.837,18	automatique	An Annual Financing Agreement and a Budget Clearing Decision is put in place annually.
European Commission	QUEST II	n/a	n/a	n/a	6.885,48	automatique	An Annual Financing Agreement and a Budget Clearing Decision is put in place annually.
European Commission	MACHINE TRANSLATION	n/a	n/a	n/a	54.922,00	automatique	An Annual Financing Agreement and a Budget Clearing Decision is put in place annually.
Centre de Traduction	IATE	n/a	n/a	n/a	135.093,76	automatique	An Annual Financing Agreement and a Budget Clearing Decision is put in place annually.



**Annex 6.5.**  
**Exceptional negotiated procedures**

Name of contractor	Object	Amount €	Legal Basis	Reason	Candidates		Acceptability Criteria	Ref. of the market
					Invited	For negotiation		
<b>GROUPE EXPRESS ROULARTA S.A.</b> 29 rue de Châteaudun 75308 PARIS cedex 09 France	Rental of a stand and exhibition space for the "Expolangues" exhibition in Paris.	<b>15.562,04*</b>	Article 134 1 (b) sole provider	Exclusivity: As with other types of events of this kind, it is only possible to rent the stand and exhibition space from the organisers of the event i.e. for technical reasons there is only one single possible contractor.	1	No	The offer submitted will be evaluated in accordance with the conditions and requirements set out in the specifications, and the contract will be awarded if the offer meets these conditions and requirements.  The estimated value of the contract is €16.000 (excl. VAT).	Expolangues 2014

\* FMP advice not obligatory

**Comments related to the above table:**

There has been one exceptional negotiated procedure awarded by DG TRAD between 01/01/2013 and 31/12/2013.

## **Annex 6.6.**

### **Result of ex-post evaluations**

The official appointed to the position of ex-post control in 2012 also held the position of an ex-ante verifier at that time.

Under the provisions of Article 66.6<sup>2</sup> of the new Financial Regulation which states:

*‘The ex-ante controls shall be carried out by staff other than those responsible for the ex post controls’*

He can no longer continue in the function of ex-post control. Consequently, the appointment of a new ex-post controller has been deferred.

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<sup>2</sup> Article 66.6 (FR):

The authorising officer by delegation may put in place *ex post* controls to verify operations already approved following *ex ante* controls. Such controls may be organised on a sample basis according to risk.

The ex-ante controls shall be carried out by staff other than those responsible for the ex post controls. The staff responsible for the *ex post* controls shall not be subordinate to the members of staff responsible for the *ex-ante* controls.

Where the authorising officer by delegation implements financial audits of beneficiaries as ex-post controls, the related audit rules shall be clear, consistent and transparent, and shall respect the rights of both the Commission and the auditees.

**Annex 6.7.**  
**Sensitive functions 2013**

DG TRAD was not required to carry out an analysis of its sensitive functions in 2013.

As reported in the Annual Activity Report for 2012, the following sensitive functions were identified and are still valid:

<b>Position identified as sensitive</b>	<b>Measures undertaken</b>
1 AD - Director post, Directorate A	Mobility after 7 years
1 AD - Director post, Directorate C	Mobility after 7 years
1 AST - Procurement team, FRMCU	Mobility after 7 years
1 AST - Procurement team, FRMCU	Mobility after 7 years

In 2013, five AD colleagues were concerned by the mobility procedure:

Derogation was requested for three AD colleagues, which was granted by the Secretary-General. Two of the AD colleagues concerned are working in the same department and it would not have been in the interest of the service if both left their positions, especially when the workload is expected to be very high towards the end of the legislature. The remaining two colleagues have changed position and/or tasks within DG TRAD.

**Annex 6.8.****Evaluation of the implementation of the minimum standards for internal control**

N° Norm	Achieved	Almost	In part	Begun	To begin/ not applicable
<b>Section 1: Control Environment</b>					
1. Ethics and integrity	X				
2. Mission, role and tasks	X				
3. Staff competence (recruitment, training and mobility)	X				
4. Staff Performance	X				
5. Sensitive functions	X				
6. Delegation	X				
<b>Section 2: Performance &amp; Risk Management</b>					
7. Setting of objectives	X				
8. Multi-annual programming	X				
9. Annual work programme	X				
10. Performance control based on objectives and indicators	X				
11. Analysis and risk management	X				
<b>Section 3: Information &amp; Communication</b>					
12. Ad hoc management information	X				
13. Mail registration and filing systems	X				
14. Reporting of irregularities	X				
<b>Section 4: Control activities</b>					
15. Documentation of procedures	X				
16. Segregation of duties	X				
17. Supervision	X				
18. Recording of exceptions	X				
19. Continuity of operations	X				
<b>Section 5: Audit and evaluation</b>					
20. Identification and correction of internal control weaknesses	X				
21. Audit reports	X				
22. Annual review of internal control	X				

## Achieved - good practices

<u>N° norm</u>	<u>Title of norm</u>	<u>Comments on achievement</u>
1. Control Environment	1. Ethics & integrity	All staff has access, by means of the intranet, to information on all matters relating to staff conduct, prevention and reporting of fraud and irregularities, the Staff Regulation, the Rules of Procedure of the European Parliament, the Financial Regulation and its Implementing Rules (RAP), the internal rules of the Parliament, the Charter for Authorising Officers, the Code of Professional Standards for staff responsible for the verification of financial operations, the Public Procurement Vademecum and numerous internal financial and operational manuals of procedure.
1. Control Environment	2. Mission, role & tasks	<p>The mission statement and vision of the Directorate-General is published on the DG TRAD portal at <a href="http://tradportal.ep.parl.union.eu/director-general/mission-statement/">http://tradportal.ep.parl.union.eu/director-general/mission-statement/</a> and <a href="http://tradportal.ep.parl.union.eu/director-general/vision/">http://tradportal.ep.parl.union.eu/director-general/vision/</a>.</p> <p>The job description, assigned tasks and individual objectives of each member of staff are stated in his/her annual staff report. An annual meeting is organised by the Director-General with her Directors, Heads of Unit and other assessors with regard to the annual objectives of the DG and their relation to the drafting of Staff Reports. Each directorate and unit is then responsible for linking these objectives to the objectives of their own service/s.</p>
1. Control Environment	3. Staff competence (recruitment, training & mobility)	All staff members are recruited on the basis of their knowledge and experience. All interviews are carried out professionally and are fully documented. The training service ensures the application of the European Parliament's professional training policy and it is their responsibility to ensure the development of specialised continuous training, particularly for newly recruited staff. Specific training of new officials is discussed with the official upon the taking up of his/her position and training needs are met as soon as possible. Every year all staff members working in the DG have their specific training needs discussed, identified and detailed in their staff report.
1. Control Environment	4. Staff performance	The performance of all staff members is assessed during the annual staff report procedure. Specific problems arising during the year are dealt with separately and as promptly as possible.
1. Control Environment	5. Sensitive functions	<p>DG TRAD was not required to analyse its sensitive functions during 2013. The results of an analysis carried out in 2012 were presented in a report to the Secretary-General on 5 July 2012 (see annex 6.7.). The results showed that DG TRAD had 4 sensitive posts requiring additional measures due to the sensitive nature of the tasks involved in procurement procedures.</p> <p>Normal mobility is to be applied to posts in the AD function group in line with the mobility policy of the Parliament regarding AD posts. The exceptions to this rule are some specific posts e.g. translation staff.</p>
1. Control Environment	6. Delegation	All original documentation relating to the delegation and sub-delegation of authorising officers is archived and closely followed-up in DG TRAD throughout the year and is sent via GEDA to DG FINS, the Internal Auditor and the Risk Manager. Before the beginning of the new financial year, the authorising officer by delegation clearly defines and communicates all tasks and responsibilities to all members of staff who have been sub-delegated powers to commit Parliament contractually.
2. Performance & Risk Management	7. Setting of objectives	<p>The overall objectives of the DG, the expected results, and the specific objectives for each activity or unit is outlined in detail in the beginning of each year and presented in the First Activity Report of the DG.</p> <p>The Administrative Work Programme (AWP) 2012-2014 defines a series of specific objectives for the Directorate-General and sets out 6 key projects (objectives) for DG TRAD to be achieved during this period. At the beginning of 2013, all services provided an individual work programme which was directly linked to the objectives as set out in the AWP 2012-2014. Work Programmes are reassessed on a regular basis throughout the year.</p>

2. Performance & Risk Management	8. Multi-annual programming	<p>The Administrative Work Programme (AWP) 2012-2014 defines the Parliament's main challenges and key projects to be achieved during this period. The programme sets out the key projects to be completed by each DG and provides a clear direction for the future, allowing for better planning of resources and budget. DG TRAD's AWP 2012-2014 comprises of 6 projects which will constitute DG TRAD's objectives over this period.</p>
2. Performance & Risk Management	9. Annual work programme	<p>At the beginning of 2013 all services in DG TRAD provided an individual annual work programme. Each work programme was directly linked to the objectives of the DG as set out in the Administrative Work Programme 2012-2014. The individual work programmes are closely monitored by each unit and directorate. They are reassessed twice yearly at each Periodic Activity Report i.e. May and September, and are adjusted accordingly.</p> <p>The Internal Audit Service, in its report on the 'Transversal Follow-Up of Open Actions from Internal Audit Reports', in particular in relation to action n° D06-028 (Programming of Activities) from IA Report 11/02 - Review of the Internal Control Framework- has concluded that this action can now be closed. No further action was required in 2013 by DG TRAD in this respect.</p>
2. Performance & Risk Management	10. Performance control based on objectives & indicators	<p>Significant progress continues to be made in the development of a set of key performance indicators (KPIs) in parallel to the redefining of the existing reporting system.</p> <p>In addition to the four KPIs already available in the DG since September 2010, another five KPIs have been validated in 2012 and the results were made available for the senior management in October 2012. Since September 2013, two new KPIs have been established. One new KPI was made available for the middle management and is the combination of two senior management KPIs, namely the 'KPI Outsourcing Score' and the 'KPI Internal Output Capacity'. Another new KPI was made available for the senior management and shows the 'Absenteeism Score'. The senior management KPIs will be presented to the middle management only after a period of review which will allow for a qualitative analysis and any further fine-tuning that may be required.</p> <p>In its report on the 'Transversal Follow-Up of Open Actions from Internal Audit Reports', in particular in relation to action n° D06-028 (Programming of Activities) from IA Report 11/02 - Review of the Internal Control Framework - the Internal Audit Service concluded that this action can now be closed. No further action was required by DG TRAD in 2013 in this respect.</p>
2. Performance & Risk Management	11. Analysis & risk management	<p>To ensure a single point of contact for all quality-related issues, it was decided in December 2013, to transfer all quality-related tasks from the Planning Unit's Quality Service to the Multilingualism and External Relations Unit as of 1 January 2014.</p> <p>Until now, quality-assurance tasks in the DG have been carried out by various units. Planning Unit's Quality Service has been responsible for handling complaints and feedback on originals and translations. In the Multilingualism and External Relations Unit, the DG's Central Quality Coordinator has been coordinating the work of the Quality Coordinators' network and the Quality Coordination Cell, dealing with any quality-related issues which have transversal implications for various stakeholders and keeping an overview of all developments in terms of quality in various units, services and at inter-institutional level.</p> <p>It is expected that concentrating these activities into one unit will also guarantee a more efficient service and allow better integration of client feedback into the quality initiatives taken by the Quality Coordinators.</p> <p>The risk management exercise is conducted in strict accordance with the guidance of the European Parliament's Risk Manager. The Risk Register of the DG is closely monitored and regularly updated in accordance with the instructions of the Risk Service.</p> <p>The Internal Audit Service, in its report on the 'Transversal Follow-Up of Open Actions from Internal Audit Reports', in particular in relation to action n° D06-028 (Programming of Activities) from IA Report 11/02 - Review of the Internal Control Framework - has concluded that this action can now be closed. No further action was required in 2013 by DG TRAD in this respect.</p>

3. Information & Communication	12. Ad hoc management information	Authorising officers and their operational units are updated continuously by the Financial Resources Management and Controls Unit with regard to their budgetary implementation and meetings are held regularly to discuss all aspects of the execution of appropriations. The Secretary General receives regular reports regarding the progress being made with regard to the implementation of the AWP 2012-2014.
3. Information & Communication	13. Mail registration & filing systems	All incoming and outgoing mail is systematically registered in GEDA. Supporting documents for financial accounts are filed in DG TRAD's central financial archive.
3. Information & Communication	14. Reporting of irregularities	Necessary measures have been taken to ensure procedures for reporting improprieties are established. Should such a case arise it is dealt with in a fair and equal manner.
4. Control Activities	15. Documentation of procedures	All staff members have access to the applicable rules, manuals, checklists and programmes necessary for the work of the DG. Internal documents, vademecum etc. comply with the Financial Regulation, its Implementing Rules (RAP) and the Internal Rules of the Parliament.
4. Control Activities	16. Segregation of duties	The functions of the operational and financial initiator, the ex-ante verifier and the authorising officer are all kept separate and are carried out by different financial actors. One financial actor cannot carry out the tasks of the other in another function. In 2013, DG TRAD's ex-post controller, who also carries out the functions of an ex-ante verifier in the Financial Resources Management and Controls Unit, had to cease his functions as ex-post controller due to the provisions of Article 66.6 of the new Financial Regulation.
4. Control Activities	17. Supervision	In 2013, DG TRAD's ex-post controller, who also carries out the functions of an ex-ante verifier in the Financial Resources Management and Controls Unit had to cease his functions as ex-post controller due to the provisions of Article 66.6 of the new Financial Regulation, which states: <i>'The ex-ante controls shall be carried out by staff other than those responsible for the ex post controls'</i>
4. Control Activities	18. Recording of exceptions	All financial transactions are registered in FINORD. If a derogation from the standard policies, regulations or procedures are discovered appropriate action is then taken after consultation with those responsible and in certain cases the Legal Service's advice will be sought. A record is kept of all 'exceptions' which are presented in the relevant Periodic Activity Reports and in the Annual Activity Report. 'Notes to file' are also established and kept in the central financial archive;
4. Control Activities	19. Continuity of operations	The continuity of operations is crucial to the smooth running of the DG. The creation of a coordination point in each team, the use of common mail boxes and shared folders are all measures to ensure the continuity of service in case of absence.
5. Audit & Evaluation	20. Identification & correction of internal control weaknesses	The earlier reorganisation of the finance service in DG TRAD proved itself in 2013, resulting in tighter internal controls and ensuring an even more efficient and effective financial circuit. The transfer of certain tasks from the External Translation Unit, the Multilingualism Unit and the Applications and IT Systems Development Unit to the Financial Resources Management and Controls Unit was efficiently implemented. The centralised public procurement structure proved to be a valuable point of contact for all procedural aspects related to public procurement inside the DG. This centralised structure will continue to improve the efficiency and the organisation of procedures.
5. Audit & Evaluation	21. Audit reports	DG TRAD takes action as required in response to the findings of the Internal Audit Service and the European Court of Auditors. In the case of the Internal Audit Service, the DG strives to implement its findings and improve internal controls accordingly. No internal audits were carried out in DG TRAD in 2013. DG TRAD is pleased to note that the Internal Audit service has closed the DG's remaining open action in its report on the Transversal follow-Up of Open Actions from Internal Audit Reports (Report n° 11/02). No further action was required in 2013 by DG TRAD in this respect.
5. Audit & Evaluation	22. Annual review of internal control	An annual review is carried out of the internal control mechanisms in DG TRAD and a complete analysis is provided in the Director General's Annual Activity Report.