

Annual Activity Report

2014

DG PRESIDENCY

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0. BUDGET IMPLEMENTATION REPORT

				PRES
Code	Appropriation type	Type de crédits	Formula	EUR or %
	Appropriations of 2014	Crédits 2014		
A	Initial appropriations	Crédits initiaux		1.887.000,00
B	Final appropriations	Crédits finaux		1.286.000,00
C	Commitments	Engagements		1.080.085,25
D	Commitments in % of final appropriations	Engagements en % des crédits finaux	D=C/B	84%
E	Payments	Paiements		889.414,34
F	Payments in % of commitments	Paiements en % des engagements	F=E/C	82%
G	Cancellations of 2014 final appropriations	Annulations de crédits finaux 2014	G=B-C-K	205.914,75
H	Cancellations appropriations in % of final appropriations	Annulations en % des crédits finaux	H=G/B	16,0%
	Appropriations carried over from 2014 to 2015	Crédits reportés de 2014 à 2015		
I	Automatic carryovers from 2014 to 2015	Crédits reportés automatiquement de 2014 à 2015	I=C-E	190.670,91
J	Automatic carryovers from 2014 to 2015 in % of commitments	Crédits reportés automatiquement de 2014 à 2015 en % des engagements	J=I/C	18%
K	Non-automatic carryovers from 2014 to 2015	Crédits reportés non-automatiquement de 2014 à 2015		-
L	Non-automatic carryovers from 2014 to 2015 in % of final appropriations	Crédits reportés non-automatiquement de 2014 à 2015 en % des crédits finaux	L=K/B	-
	Appropriations carried over from 2013 to 2014	Crédits reportés de 2013 à 2014		
M	Automatic carryovers from 2013 to 2014	Crédits reportés automatiquement de 2013 à 2014		218.767,07
N	Payments against automatic carryovers from 2013 to 2014	Paiements sur crédits reportés automatiquement de 2013 à 2014		190.350,44
O	Payments against automatic carryovers from 2013 to 2014 in % of automatic carryovers from 2013 to 2014	Paiements sur crédits reportés automatiquement de 2013 à 2014 en % des crédits reportés automatiquement de 2013 à 2014	O=N/M	87%
P	Cancellations of automatic carryovers from 2013 to 2014	Annulations de crédits reportés automatiquement de 2013 à 2014	P=M-N	28.416,63
Q	Cancellations of automatic carryovers from 2013 to 2014 in % of automatic carryovers from 2013 to 2014	Annulations de crédits reportés automatiquement de 2013 à 2014 en % des crédits reportés automatiquement de 2013 à 2014	Q=P/M	13%
R	Non-automatic carryovers from 2013 to 2014	Crédits reportés non-automatiquement de 2013 à 2014		0,00
S	Payments of non-automatic carryovers from 2013 to 2014	Paiements sur crédits reportés non-automatiquement de 2013 à 2014		0,00
T	Payments against non-automatic carryovers from 2013 to 2014 in % of non-automatic carryovers from 2013 to 2014	Paiements sur crédits reportés non-automatiquement de 2013 à 2014 en % des crédits reportés non-automatiquement de 2013 à 2014	T=S/R	-
U	Cancellations of non-automatic carryovers from 2013 to 2014	Annulations de crédits reportés non-automatiquement de 2013 à 2014	U= R-S	-
V	Cancellations of non-automatic carryovers from 2013 to 2014 in % of non-automatic carryovers from 2013 to 2014	Annulations de crédits reportés non-automatiquement de 2013 à 2014 en % des crédits reportés non-automatiquement de 2013 à 2014	V=U/R	-
	Assigned revenue in 2014	Recettes affectées 2014		
W	Appropriations from assigned revenue in 2014 (current)	Crédits de dépenses spécifiques sur recettes affectées courants 2014		25.989,11
X	Assigned revenue carried over to 2014	Crédits de dépenses spécifiques sur recettes affectées reportés à 2014		31.693,12
Y	Commitments on assigned revenue carried over to 2014	Engagements reportés à 2014 sur crédits de dépenses spécifiques sur recettes affectées		1.500,00
Z	Payments in 2014 against appropriations from assigned revenue (current and carried-over)	Paiements sur crédits de recettes affectées 2014 (courants et reportés)		30.694,14
AA	Payments in 2014 against assigned revenue in % of assigned revenue in 2014 (current and carried-over)	Paiements sur crédits de recettes affectées 2014 en % des crédits de recettes affectées 2014 (courants et reportés)	AA=Z/(W+X+Y)	52%

1. OBJECTIVES

1.1. The DG's objectives

1. Ensuring a smooth implementation of the Bureau decision of 20 May 2013 on its restructuration

- By focusing its scope and responsibilities on the Plenary activities, the legal and linguistic finalisation of legislative texts, the relations with national Parliaments, while still providing key assistance to Members and political bodies as regards Parliament's Protocol service, the Official Mail, and the reception and referral of documents.

- By ensuring a smooth and efficient adaptation of its structure, paying particular attention, from a human resources point of view, to the transfer, integration and adaptation of units between directorates (e.g. from current Dir F to Dir A), and the transfer of a number of colleagues to other DGs (part of Dir G into the new DG for Security, part of the current services in Dir F to the office of the DSG).

2. Actively assisting in the successful conclusion of the mandate

- By planning and preparing, in close cooperation with the Political Groups, Parliamentary Committees and other Institutions, the remaining part-sessions with a view to ensuring, in the most efficient, proportionate, and visible manner, the timely adoption and finalisation of as many files as possible before the end of the term, while also providing support during the negotiations and an advance planning of the finalisation and signature of agreed texts.

-By assisting directly individual Members to meet the deadlines set up for tabling, the increasing number of, written questions and declarations. In this regard, DG PRES will provide its assistance to Parliament's competent bodies and services when reviewing the Rules of Procedure concerning parliamentary questions (Rapporteur, Zita Gurmai).

- By also providing when required, the necessary assistance to individual Members in fulfilling their obligations and formalities with a view to the termination of their mandate.

3. Directly assisting and leading all preparatory work for the arrival of new Members and the constituent part-session

- By assisting the Task Force set out by the Secretary General while being directly responsible for contacts, after the elections, with the competent national authorities and with political groups as regards the arrival of new Members.

- By ensuring the best possible administrative service to new Members in their first contacts with Parliament when their term of office begins and therefore, making sure that all formalities are completed in time for the constituent part-session.

- By preparing the smooth running of the constituent part-session as well as the part-session provided for the election of the Commission President, in a way that ensures that Parliament's prerogatives under the Lisbon Treaty are exercised in an optimal manner.

- By using the time from the last part-session until the legislative activities resume again after the elections, to evaluate DG PRES internal procedures, mission and competences, and their relation to parliamentary procedures in general, with a view to being prepared in the best possible way for the start of the next parliamentary term.

4. Being fully involved from the outset, in assisting Members, Political Groups and Parliamentary Committees with Parliament's legislative activity, building on the positive experience from the current mandate

- By continuing the development from a system of "mandatory verification" to "on-demand drafting advice" to Members when they are Members of negotiation teams and when they act individually, in particular through the deployment of the Drafting Support Tool to codecision procedures, building on the achievements made during the seventh term.

- By continuing cooperating with the Political Groups, the Parliamentary Committees, other services and the other Institutions, as regards the smooth preparation of part-sessions at the beginning of the new term, assisting Members and their assistants with Plenary's internal procedures.

- By reinforcing, on the one hand, the follow up of the European inter-parliamentary dimension in multilateral organisations, while, on the other hand, by strengthening the direct assistance to Members as regards inter-parliamentary relations. In this respect, DG PRES will focus on identifying common issues for inter-parliamentary dialogue, based on the contributions and reasoned opinions from national Parliaments, proposing a diversification and tailor-made inter-parliamentary meetings, such as for example, fostering the recourse to videoconferences.

- By increasing, both internally and externally, a genuine awareness of inter-parliamentary activities thanks to the development of information and communication tools.

1.2. Feasibility and risk assessment

The following potential risks were identified for activities associated with the pursuit of the 4 objectives for the 2014 financial year (see point 1):

Objective 1:

An eventual decision by the competent political authorities reviewing differently, the structure of Parliament's Secretariat General - risk LOW.

Objective 2:

- The timely adoption and finalisation of as many files as possible is conditioned upon on-going inter-institutional negotiations on legislative files. Political decisions could therefore be taken to not conclude a limited number of dossiers in the course of the current parliamentary term – risk LOW / MEDIUM
- The tabling of questions and declarations is dependent on Members' political willingness and objectives. Unlikely choices to not table such questions could impinge on DG PRES objective in this regard. Equally, a political decision on the procedure for the revision of Parliament's Rules of Procedure could impact on this objective – risk VERY LOW
- Unlikely technical problems with IT applications could eventually delay, to a certain extent, the achievement of this objective. All measures have, however, been put in place to ensure an efficient and timely assistance to Members in this regard – risk VERY LOW.

Objective 3:

- Unlikely delays in the transmission of the necessary information from national competent authorities concerning the election of Members – risk LOW
- Unlikely delays in the arrival of Members to Parliament, following the appointment by the competent authorities – risk LOW
- Unlikely delays in fulfilling Members' obligations and formalities before taking up their duties, could impinge on the organisation of the constitutive part-session – risk VERY LOW
- Political delays in proposing the Commission President which could therefore delay his/her election in Parliament – risk LOW
- The setting up of other political priorities which should be implemented during this period of time, which could therefore delay the achievement of this objective – risk LOW.

Objective 4:

- Unlikely technical problems could temporally disrupt the assistance to Members using the newly created tools – risk LOW
- The drafting service is dependent on Members' requests, being therefore conditioned upon not receiving such requests – risk VERY LOW
- Unexpected circumstances (force majeure) could improbably impede the preparation and organisation of part-sessions – risk VERY LOW
- Inter-parliamentary cooperation depends on political willingness both from national Parliaments and the European Parliament. The implementation of this objective may vary depending on the actual political decisions taken by EP competent authorities in this regard – risk VERY LOW

- Technical constraints when having recourse to videoconferences may still arise – risk MEDIUM
- When implementing, both internally and externally, a genuine awareness of inter-parliamentary activities thanks to the development of information and communication tools, DG PRES may face certain delays as regards the development of such tools – risk LOW.

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

2.1. The DG's environment

During 2014, DG PRES had three successive Authorising Officers: Ms F. RATTI until 23 April 2014, Mr M. WINKLER until 30 June 2014 and Mr K. KNUDSEN from 1 July 2014.

The restructuring of DG PRES was successfully completed, and the Directorate-General became fully operational.

All the activities of DG PRES were affected by the European elections which were held during the year.

During the period covered by this report, and due in part to the reorganisation of the DG but also to retirements and transfers, management posts fell vacant. This applied, in particular, to the post of Director for Plenary, Mr Knudsen serving as acting Director at the same time as being Director-General ad interim from 1 July 2014. It also applied to the post of Director of Legislative Acts, which had been held in an acting capacity by Ms Robson, who at the same time remained head of one of the Units. The post of Head of the Plenary Organisation and Follow-up Unit is vacant due to a transfer and was held during the last quarter of 2014 by an acting head of unit pending an appointment. The post of Head of the Members' Activities Unit also fell vacant when the holder retired. A new Head is expected to be appointed in the first months of 2015. A head-of-unit post also fell vacant in the Members' Administration Unit, due to a transfer, the SG having then immediately appointed an acting Head of Unit from 14 November 2014. The post should also be filled within the first few months of 2015. Finally, at the end of 2014, the Strategy and Coordination Unit disappeared from the organisation chart of DG PRES and its staff and remit were transferred to the Resources Unit.

At the end of 2014, the organisation chart of DG Presidency comprised three Directorates and 16 units, three of which fell directly under the Director-General. One of these three units (Strategy and Coordination) will no longer exist in 2015.

2.2. The DG's human resources

	Posts in establishment plan 01/01/2013	Posts in establishment plan 01/01/2014	SITUATION AS AT: 31/12/2014				TOTAL
			Staff complement: officials	Staff complement: temporary staff	Staff complement: contract staff	Staff complement: external staff ^[1]	
AD	261 + 3 temporary posts	155 + 3 temporary posts	135	7 in permanent posts +1 in a temporary post	14	0	157
AST	451 + 1 temporary post	202 + 1 temporary post	166	16 in permanent posts	16	0	198
OTHER					3 bis = 18		18
TOTAL	716	361	301	24	48	0	373

2.3. Budget implementation in 2014

By 31 December 2014, 677 budgetary files (budgetary commitments, payment orders, recovery orders), 706 invoices/credit notes and 356 order forms had been processed.

2.3.1. Initial and final appropriations

By 31 December 2014, the initial appropriations of 1,887,000 € were reduced to 1,286,000 €

The surplus of 601,000€ was used for:

- Two transfers P5 and S43 in favour of DG TRAD and DG EXPO;
- The Mopping-up.

^[1] Specify the number of external staff made available to Parliament (at its three places of work) under service contracts. Include staff whose contract ended in December (before 31/12/2014) and will be renewed in 2015.

Item	Surplus	Comments
2140-07	8,000€	Mopping Up GEDA 2014/45364
2360-01	85,000€	Mopping Up GEDA 2014/45364 and 2014/53222
2360-02	12,000€	Mopping Up GEDA 2014/45364 and 2014/53222
2360-03	25,000€	Mopping Up GEDA 2014/53222
3020-01	130,000€	Mopping Up GEDA 2014/45364 and 2014/53222
3020-03	101,000€	Mopping Up GEDA 2014/45364 and 2014/53222
3020-04	25,000€	Mopping Up GEDA 2014/53222
3242-03	40,000€	Mopping Up GEDA 2014/45364 and 2014/53222
3249-01	100,000€	Transfer P5, GEDA 2014/35143 to DG TRAD
	45,000€	Mopping Up GEDA 2014/45364
3249-02	30,000€	Transfer S43, GEDA 2014/44644 to DG EXPO
Total DG PRES	601,000€	

This surplus is justified by the decrease of parliamentary activity due to the European elections.

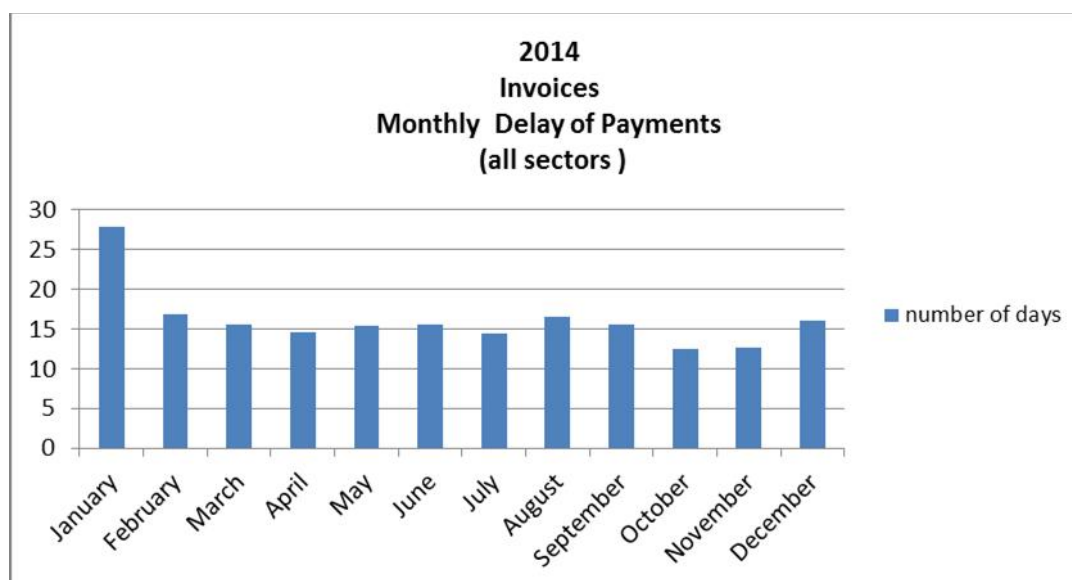
2.3.2. Final appropriations and appropriations committed

The commitment rate across all operational departments is 83.99% of the final appropriations.

2.3.3. Appropriations committed and payments made

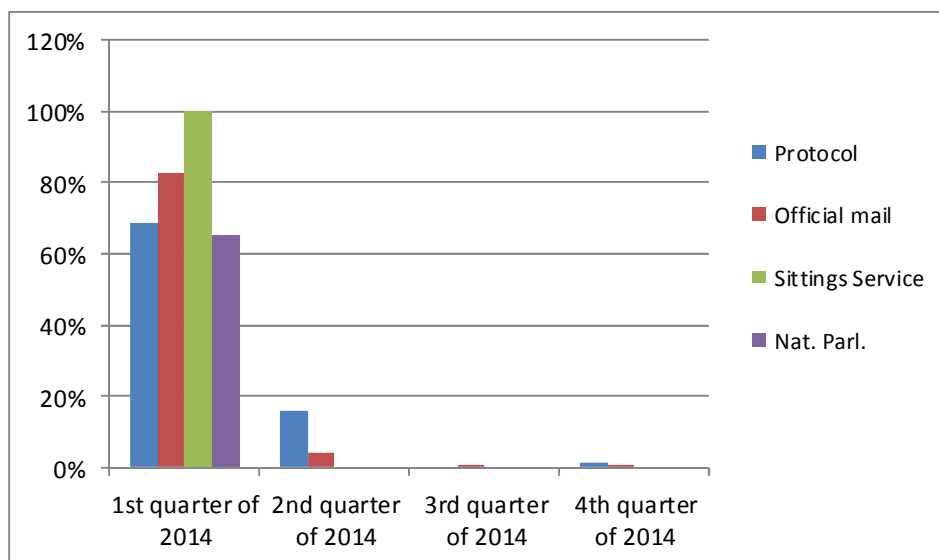
The overall rate of payments made is 82.35% of the committed appropriations. This rate is corollary with the issued invoices.

The payment of invoices took an average time of 16 days. The Financial Regulation establishes a time limit of 30 days.



2.3.4. Use of automatic and non-automatic carryovers from 2013 to 2014

The payment rate for carryovers across all operational departments is 87.01%.



2.3.5. Use of appropriations arising from assigned revenue

2.3.5.1 Specific expenditure appropriations/assigned revenue

2.3.5.2 Specific expenditure appropriations/assigned revenue carried over

The commitment rate for current and carried over specific expenditure appropriations/assigned revenue is 68.69 %.

2.4. Results

Protocol Unit: in general, the volume of activities remained at much the same level as in 2013, with a certain reduction in visits due to the end of the parliamentary term but with substantial participation by the service in major EP events such as the EYE (European Youth Event) and the elections to the EP. The Protocol Unit continued to accompany the President on official visits and to monitor and coordinate his programme in situ.

Directorate for the Plenary: continued to enhance the image of the institution, e.g. by developing a reliable database of statistics on the activities of the plenary, and to increase its attractiveness, not least by introducing amendments to the Rules of Procedure and adjusting its internal processes, e.g. written declarations, summary records and voting procedures. The Directorate continues to reflect on the best ways to generate and convey information on plenary sessions and plenary activities, with these including information sessions, an updated Vademecum, an FAQ portal and the 'Séance en direct' website, which includes links with the Europarl site.

In addition, the modernisation of IT applications used in the plenary is still ongoing: in particular, consideration is being given to the possibility of access to the Legislative Observatory from mobile equipment (smartphones, tablets, etc.) and installing a voice recognition system for the PV/CRE. Via the Members' Administration Unit, the Directorate also made a major contribution to the reception of Members after the elections to the EP and receiving and processing official documents, official mail and petitions. It may also be noted that the number of written questions received and

processed by the Tabling Desk doubled between 2009 and 2014 and that this phenomenon is expected to continue during the 2014 - 2019 parliamentary term.

Directorate for Legislative Acts: generalised use of the procedure for finalising texts prior to their adoption, enabling legislation to be signed and published more quickly, and the development of significant programming capacity meant that it was possible to adopt all the texts agreed with the Council before the end of the 7th parliamentary term. The Directorate had a very high workload, particularly during the first quarter of 2014, seeking to complete the legislative programme before the end of the parliamentary term. Other progress was made with the 'on request' editing service – e.g. the development of 'e Parliament' tools such as the drafting support tool.

Directorate for Relations with National Parliaments: the development of the EP's 'Connect' database for documents from national parliaments was completed and the database is fully operational. The Directorate also successfully continued, in collaboration with DG INTE, the project on videoconferencing as a major asset in inter-parliamentary cooperation. It also contributed to the Inter-Parliamentary Conference on Article 13 of the Treaty on Stability, Coordination and Governance and other interparliamentary meetings. There was substantial development of the two IT databases under its responsibility (IPEX and ECPRD), thus improving the information available to Members and third parties.

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

The evaluation of the minimum internal control standards is set out in Annex 6.8. It shows that the DG complied with those standards.

Implementation of the standards is supported by the internal structure established by the authorising officer by delegation, who allocates tasks and duties to each of the financial agents in accordance with the financial rules in force. The DG continued to work with the Internal Auditor and the Court of Auditors. The DG completed all the actions listed in the Auditor's report as remaining incomplete (see Note GEDA D (2014) 60599 from the Internal Auditor).

No errors were found in the public procurement procedures or budgetary or financial transactions of DG PRES during 2014 (see Annex 6.3) and no receivables were waived.

The monitoring and validation of contracts and order forms confirms that DG PRES encoded and validated everything in this application, going well beyond the instructions received from the Secretary-General.

4. CONCLUSIONS

During 2014, the DG completed the restructuring on which the Bureau had decided in May 2013. The posts of Director-General for the Presidency and Deputy Secretary-General having been separated, these entities became different entities. A distribution of fields of responsibility was completed during the year, as well as a reorganisation of the staff complement and a breakdown of the budgets of the two entities.

Fundamentally, 2014 was characterised, on the one hand, by the holding of the European elections, which have a major impact on the work of DG PRES, and, on the other hand, by the assignment of the responsibilities of Authorising Officer by Delegation of DG PRES to Mr M. Winkler and Mr K. Knudsen in turn, although this did not decisively affect the accomplishment of the DG's objectives.

During 2014, the DG finalised the two actions initiated by the Internal Auditor and, in particular, the one concerned with reception and representation costs so as to minimise the residual risks. A code of conduct for representation costs was drawn up. A request for modification of the remarks on budget heading 3020-01 was incorporated in the Draft Budget for 2016.

The DG continues to constantly develop its risk register in order to control the various risks associated with its work and reduce them in so far as possible as a continuation of the work performed by the DG as part of the Screening exercise.

In the last quarter of 2014, on the basis of participation by all of its staff, the DG adopted its Strategic Execution Framework (SEF), and it developed the projects belonging to the *Parliamentary Project Portfolio*. These projects will be adjusted in the first quarter of 2015. The DG's objectives for 2015 were set, aligning them with the Strategic Execution Framework, and they were communicated to all staff at a General Assembly on 8 December 2014.

5. DECLARATION BY THE AUTHORISING OFFICER BY DELEGATION

I, the undersigned,

Director-General of

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

- a) the information contained in the report presents a true and fair view;
- b) the resources assigned to the activities described in the report have been used for their intended purpose and in accordance with the principle of sound financial management;
- c) the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

This reasonable assurance is based on my own judgment and on the information at my disposal, such as the results of self-assessment, ex post controls and remarks by the Internal Audit Service, as well as the lessons learned from the reports of the Court of Auditors for financial years prior to that for which this declaration is being made.

I also confirm that I am not aware of anything not reported here that could be prejudicial to the interests of the institution.

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

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

Done at

on

Signature

6. ANNEXES

6.1. Relevés d'exécution budgétaire 2014 Budget outturn reports for 2014

Unité opérationnelle	Crédits initiaux	Virements	Crédits finaux	Engagements	% E/CF	Paiements	% P/E	Solde Engagements	Crédits disponibles
Courrier Officiel 2140-07, 2360-01/02/03	312.000	-130.000	182.000	154.704,77	85,00%	103.934,85	67,18%	50.769,92	27.295,23
Protocole 3020-01/03/04/05	970.000	-256.000	714.000	575.583,43	80,61%	463.060,19	80,45%	112.523,24	138.416,57
Séance/Œil 3242-03	330.000	-40.000	290.000	284.462,90	98,09%	264.080,90	92,83%	20.382,00	5.537,10
Rel. Parlements nationaux 3249-01/02	275.000	-175.000	100.000	65.334,15	65,33%	58.338,40	89,29%	6.995,75	34.665,85
TOTAL	1.887.000,00	601.000,00	1.286.000,00	1.080.085,25	83,99%	889.414,34	82,35%	190.670,91	205.914,75

6.1.2 Situation des crédits reportés automatiquement

Operational unit- Budget items	Carryovers	Payments	% P/C	Available appropriations
Off.Mail- 2140-07, 2360-01/02/03	53.806,32	47.590,67	88,45%	6.215,65
Protocol - 3020-01/03/04/05	121.431,95	104.112,22	85,74%	17.319,73
Plenary/ CEil- 3242-03	29.528,80	29.528,80	100,00%	0,00
Rel. National Parliaments- 3249-01/02	14.000,00	9.118,75	65,13%	4.881,25
TOTAL	218.767,07	190.350,44	87,01%	28.416,63

6.1.3 Crédits de dépenses spécifiques/RA

Operational unit- Budget items	Current appropriations 2014	Committed appropriations	% C/A	Payments	% P/C	Available appropriations
Off. Mail- 2360	25.989,11	15.400,00	59,26%	6.470,75	42,02%	10.589,11
TOTAL	25.989,11	15.400,00	59,26%	6.470,75	42,02%	10.589,11

6.1.4 Crédits reportés des dépenses spécifiques/ RA

Operational unit- Budget items	Carryovers 2014	Committed appropriations	% C/A	Payments	% P/C	Available appropriations
Off. Mail- 2360	31.693,12	24.223,39	76,43%	24.223,39	100,00%	7.469,73
TOTAL	31.693,12	24.223,39	76,43%	24.223,39	100,00%	7.469,73

6.1.5 Engagements reportés sur recettes affectées

Operational unit- Budget items	Commitments carried over for 2014	Payments	% P/C	Available appropriations
Off. Mail- 2360	1.500,00	0,00	0,00%	1.500,00
TOTAL	1.500,00	0,00	0,00%	1.500,00

6.2. Rapport sur le respect des délais de paiement Report on compliance with payment time limits

1) Summary table

Invoices paid in 2014		Interests to be paid by default (>200 €)	Interest amount < or = to 200€	No interest Amount	Total
On time	Number of invoices			622	622
	Total invoice amount (EUR)			946.130,80	946.130,80
Late payment	Number of invoices	0	56		56
	Total invoice amount (EUR)	0	83.023,00		83.023,00
	Total interest amount (EUR)	0	108,39		108,39
Number of invoices		0	56	622	678
Total invoice amount (EUR)		0	83.023,00	946.130,80	1.029.153,80
Total interest amount (EUR)		0	108,39	0	108,39

2) Comments

- I. The delays can be caused by several reasons:
 1. The calendar of the annual budgetary closure, forcing these delays, and also "idle periods" (for example, offices closing during the Christmas period).
 2. Errors in the distribution/attribution of invoices by the Accountant services.
- II. No payment of invoice has led to a default payment of interest (>200€).

6.3. Liste des exceptions - dérogations à la réglementation
Liste des renoncements/annulations de créance (RAP 91, 92)
List of exceptions - derogations from the rules
List of waivers/cancellations of receivables (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 controls

En 2014 la DG PRES n'a pas effectué des évaluations ex-post

6.7. Fonctions sensibles
Sensitive posts

En 2014 la DG PRES n'a pas eu d'exercice d'évaluation des fonctions sensibles.
Cet exercice sera effectué pendant l'année 2015

6.8. Evaluation de la mise en oeuvre des normes minimales de contrôle interne
Assessment of the implementation of minimum internal control standards

1. Normes dont la mise en œuvre est achevée (sur base des normes 2002)

1	Déontologie et intégrité	Au travers de procédures et formations ad hoc, le personnel est mis à connaissance des règles régissant la conduite du personnel ainsi que la prévention et le signalement des fraudes et irrégularités.
2	Mission, rôles et tâches	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. 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 ».
3	Compétences du personnel	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, etc.) organisées par la DG PERS.
4	Rendement du personnel	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. Entre 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. Cette norme est bien respectée auprès de tous les services de la DG.
6	Délégation	Au début de chaque N exercice la liste des ordonnateurs délégués et subdélégués est préparée, envoyé 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 et les habilitations des agents financiers.
7	Fixation d'objectifs	Le Directeur général présente les objectifs de chaque exercice au début de l'année, les envoie aux directions de la DG et demande aux directeurs et chefs d'unité de les décliner à leur niveau. En outre, pendant le 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. Cette procédure est strictement respectée.

8	Programmation pluriannuelle	Lors de l'élaboration du premier rapport annuel d'activité l'unité ressources consolide la programmation des appels d'offres pour l'exercice et elle 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. Également l'unité ressources effectue un suivi rapproché de la consommation des contrats et contrats-cadre et de l'exécution des crédits y compris les recettes affectées.
11	Analyse et gestion du risque	La DG mène une analyse complète auprès des services et domaines d'activités sur base de laquelle rédige un « Registre annuel des risques » indiquant le risque, sa nature, son niveau et le plan d'action pour le traiter. 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 maximum possible.
12	Information ad hoc en matière de gestion	Les informations nécessaires à une gestion efficace de la DG et des services ont été identifiées et font partie intégrante du RAA. La page intranet de la DG contient les informations nécessaires pour la gestion des activités de la DG et tout le staff est encouragé à s'y informer.
13	Enregistrement du courrier et système d'archivage	Enregistrement, organisation et sécurité et protection des données personnelles en plein respect de cette normative 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.
15	Documentation des procédures	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 tout en étroite collaboration avec l'unité Ressources en charge de la gestion du budget de la DG.
16	Séparation des tâches	Le circuit financier de la DG est assuré par l'unité «Ressources» dans le respect du chapitre 3 du Règlement financier .
17	Surveillance	L'unité Ressources dispose d'une série d'instruments de contrôle afin d'assurer que toutes les procédures définies pour les activités financières, opérationnelles et administratives soient respectées.
18	Relevé d'exceptions	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.
19	Continuité des opérations	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. En outre, chaque direction est dotée d'un disque commun censé de regrouper les travaux menés par les services qui peuvent être consultés par le personnel concerné et en ayant accès.

20	Identification et correction des insuffisances du contrôle interne	Il revient à l'unité Ressources la rédaction d'un rapport annuel de contrôle interne reprenant toute l'activité de la DG.
22	Examen annuel du contrôle interne	La DG fera au cours du premier semestre 2015 un rapport annuel de contrôle sur l'analyse des circuits et structures dans le domaine de l'exécution budgétaire et de la passation des marchés, l'analyse des bons de commande (évaluation des besoins, circuits et procédures internes, vérification des ordonnateurs compétents), les marchés de faible valeur et du Protocole, et contrôles des stratégies dans les 3 lieux de travail et des horaires appropriés, la vérification sur les méthodologies de régularisation simplifiée des dépenses de sécurité dans les Maisons de l'Europe et l'analyse des circuits de mise à l'inventaire des biens.
21	Rapports d'Audit	Des mises à jour régulières sont établies par la DG sur base des rapports et phases périodiques que l'Audit interne définit sur l'état des actions relevant de la DG. <u>Au cours de l'exercice 2014 les deux actions encore ouvertes ont été considérées comme clôturées par l'Auditeur Interne.</u>

2. Normes dont la mise en œuvre est presque achevée

9	Programme de travail annuel	L'AWP de la DG établit pour les exercices 2012/2014 se réfère à un plan de travail sur 10 projets relevant de l'activité des directions. En cours du premier trimestre 2015 la DG PRES fera l'évaluation du AWP 2012-2014 ainsi que la mise à jour du <i>Parliamentary Project Portfolio</i> , qui remplacera le AWP en 2015.
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3. Normes dont la mise en œuvre est partielle

5	Fonctions sensibles	Au cours de 2014 l'exercice d'identification des fonctions sensibles n'a pas eu lieu. La DG se prépare à effectuer cet exercice au cours de 2015 suite à la note du SG Geda D (2014) 48355 du 09 janvier 2015.
10	Contrôle de la performance sur base d'objectifs et d'indicateurs	La DG PRES a présenté au cours de l'exercice 2014, et lors des rapports intermédiaires et du rapport final des KPI (<i>Key Performance Indicators</i>). Cet exercice sera continué et approfondi en cours de 2015
14	Signalement d'irrégularités	Des procédures ad hoc sont mises en place et portées à la connaissance du personnel, à partir de la communication directe au supérieur hiérarchique à la prise de connaissance de mesures spécifiques dans la matière à devoir respecter. Si nécessaire, un rapport ad-hoc sera établi et communiqué aux instances de contrôle.

Tableau synoptique d'évaluation

(base : normes de 2002)

N° norme 2002	N° norme 2014	achevée	presque	en partie	démarrée	à démarrer / NA
Section 1: Environnement de contrôle						
1. Déontologie et intégrité	2	x				
2. Mission, rôle et tâches	1	x				
3. Compétences du personnel	3	x				
4. Rendement du personnel	3, 4	x				
5. Fonctions sensibles	7					En 2015
6. Délégation	7	x				
Section 2: Performance et gestion des risques						
7. Fixation d'objectifs	5	x				
8. Programmation pluriannuelle	n/a	x				
9. Programme de travail annuel	5		x			
10. Contrôle de la performance sur la base d'objectifs et d'indicateurs	5			x		
11. Analyse et gestion du risque	6	x				
Section 3: Information et communication						
12. Information ad hoc en matière de gestion	12, 13	x				
13. Enregistrement du courrier et systèmes d'archivage	11, 12	x				
14. Signalement d'irrégularités	12	N/A en 2014				
Section 4: Activités de contrôle						
15. Documentation relative aux procédures	8, 13	x				
16. Séparation des tâches	8	x				
17. Surveillance	9	x				
18. Relevé des exceptions	8	NA				
19. Continuité des opérations	10	x				
Section 5: Audit et évaluation						
20. Identification et correction des insuffisances du contrôle interne	15	x				
21. Rapports d'audit	16	x				
22. Examen annuel du contrôle interne	15	x				