

Annual Activity Report

2014

Legal Service

Authorising Officer by Delegation: **Mr Freddy DREXLER**

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0. BUDGET IMPLEMENTATION OVERVIEW

			SJ
Code	Appropriation type	Formula	EUR or %
2014 appropriations			
A	Initial appropriations		1.080.000,00
B	Final appropriations		975.000,00
C	Commitments		895.714,00
D	Commitments as % of final appropriations	D=C/B	92%
E	Payments		510.595,44
F	Payments in % of commitments	F=E/C	57%
G	Cancellations of 2014 final appropriations	G=B-C-K	79.286,00
H	Cancellations in % of final appropriations	H=G/B	8%
Carryovers from 2014 to 2015			
I	Automatic carryovers from 2014 to 2015	I=C-E	385.118,56
J	Automatic carryovers from 2014 to 2015 as % of commitments	J=I/C	43%
K	Non-automatic carryovers from 2014 to 2015		
L	Non-automatic carryovers from 2014 to 2015 as % of final appropriations	L=K/B	-
Carryovers from 2013 to 2014			
M	Automatic carryovers from 2013 to 2014		425.006,01
N	Payments against automatic carryovers from 2013 to 2014		368.771,36
O	Payments against automatic carryovers from 2013 to 2014 as % of automatic carryovers from 2013 to 2014	O=N/M	87%
P	Cancellations of automatic carryovers from 2013 to 2014	P=M-N	56.234,65
Q	Cancellations of automatic carryovers from 2013 to 2014 as % of automatic carryovers from 2013 to 2014	Q=P/M	13%
R	Non-automatic carryovers from 2013 to 2014		0,00
S	Payments against non-automatic carryovers from 2013 to 2014		0,00
T	Payments against non-automatic carryovers from 2013 to 2014 as % of non-automatic carryovers from 2013 to 2014	T=S/R	-
U	Cancellations of non-automatic carryovers from 2013 to 2014	U= R-S	-
V	Cancellations of non-automatic carryovers from 2013 to 2014 as % of non-automatic carryovers from 2013 to 2014	V=U/R	-
Assigned revenue in 2014			
W	Appropriations from assigned revenue in 2014 (current)		12.033,30
X	Appropriations from assigned revenue carried over to 2014		16.515,08
Y	Commitments carried over to 2014 against appropriations from assigned revenue		110,00
Z	Payments in 2014 against appropriations from assigned revenue (current and carried over)		11.141,20
AA	Payments in 2014 against appropriations from assigned revenue as % of appropriations from assigned revenue in 2014 (current and carried over)	AA=Z/(W+X+Y)	39%

1. **OBJECTIVES**

1.1. **Objectives of the Legal Service**

- To provide legal assistance and advice for Parliament, its President, its governing bodies and the Secretariat;
- To represent Parliament before EU and Member State courts.

Those objectives are acted on in all sections of the Legal Service, depending on the legal issues concerned within their terms of reference.

For units assisting parliamentary committees, the general objectives involve:

- providing formal and informal legal advice to the secretariats and members of parliamentary committees;
- representing Parliament before the Court of Justice of the European Union in relation to legislation falling within the remit of the respective committees;
- notify the parliamentary committees of all relevant developments in rules and case law.

The tasks of the units in the Directorate for Administrative and Financial Affairs, in pursuit of the two general objectives, are to:

- assist the Administration in drawing up internal rules and in interpreting and applying them;
- represent Parliament before the Court of Justice of the European Union and before national courts;
- notify the Administration of all relevant developments in rules and case law.

1.2. **Feasibility and risk assessment**

The risks facing the Legal Service are not specific to the reporting period; rather, they are external and therefore very hard to manage. Any legislative, administrative or judicial procedure involves a degree of risk, given the human fallibility of those involved, including those with decision-taking power, such as, for example, incidents inside Parliament buildings or failure by other departments to comply with procedures and rules. The Legal Service has attempted to reduce risk in some cases by providing training for the departments concerned in connection with, inter alia, Parliament procurement, human resources management and national legal systems. That has been reflected in the Parliament Project Portfolio projects submitted by the Legal Service, i.e. projects 5, 12 and 13.

Human resource risks are common to all administrations, i.e. risks that staff will leave, for various reasons, and the difficulty of finding qualified individuals to fill particular posts. What distinguishes such risks in the Legal Service is the fact that it is required to cover all Member State legal systems and languages and that it is hard to find qualified lawyers from particular countries. To deal with this problem, the Legal Service has

successfully taken a number of proactive initiatives to encourage applications from lawyers with the necessary national legal qualifications.

2. EVALUATION OF THE RESULTS OF OPERATIONS IN RELATION TO THE OBJECTIVES - USE OF RESOURCES

2.1. The Legal Service environment

2014 - an election year - was particularly difficult for the Legal Service as a whole, as it was for Parliament in general.

Lawyers made major efforts, together with colleagues in other directorates-general, to wind up work on important pieces of legislation on, in particular, the Single Resolution Mechanism and Single Resolution Fund, the financing of political parties, the European Investigation Order and the European Maritime and Fisheries Fund.

Following the Parliament elections in May 2014 and the election of the Commission President, the new Parliament began work in July 2014 by setting up its committees and by holding demanding hearings of Commissioners-designate, with a view to endorsing the College of Commissioners as a whole. This also made sustained demands on the Legal Service staff providing legal assistance for the respective parliamentary committees.

The entry into force of the new Staff Regulations of Officials, the drafting of the new general implementing provisions and internal rules for those regulations, and the end of more than 700 MEPs' term of office, involving a host of legal issues surrounding contracts for accredited parliamentary assistants, had a significant bearing on the Legal Service's administrative work. Accordingly, lawyers attended a host of meetings and were involved in working group proceedings, giving the Administration legal assistance over an extended period.

In addition, the entry into force of the new Staff Regulations gave the two units dealing with civil service matters a very much increased workload. For example, the Staff Rights and Obligations Unit handled five times more complaints in 2014 than in 2013, while the volume of work on complaints doubled for the Staff Careers Unit. In addition, they had to deal with a large number of complaints to the Ombudsman in connection with the same issue and make preparations for Parliament's intervention, in defence of the lawfulness of the new Staff Regulations, in more than 10 cases brought against other institutions.

In 2014, the Secretary-General decided to set up a Legislative and Judicial Coordination Unit and a Resources Service in the Legal Service. The new unit is responsible for cross-cutting questions on, in particular, all aspects of ordinary and special legislative procedures, delegated acts, implementing acts and legislative planning. The new Resources Service, modelled on the resource directorates in other directorates-general, is responsible for human resources management, budget management and IT matters in the Legal Service.

The budgetary situation in the Legal Service continues to be dominated by the legal follow-up to the accidents which occurred and the instances of bad workmanship which were identified in the LOW Building in Strasbourg. During the period in question this

issue took up all the working time of two lawyer-administrators and one assistant and a considerable part of the working time of the director and head of unit responsible; the Jurisconsult also devotes a considerable portion of his working time to this matter. This issue also accounts for a large proportion of the service's budget for external legal assistance, though activity in this area is tailing off.

In Brussels, a large proportion of working time was taken up by, and expenditure was occasioned on, negotiations concerning the WIM Building and work on the issues arising from problems with the chamber roof structure in the PHS Building. In Brussels, however, in particular towards the end of the year, additional work and budget expenditure was brought about mainly by the SQM dossier.

Breakdown of commitments 2014		
Property policy matters	718 000	74.02%
Court fees	45 000	4.64%
Damages	1 500	0.15%
Litigation in staff cases	8 500	0.88%
Third-party liability	17 500	1.80%
Books and other publications	57 000	5.88%
Appropriations balance	80 000	8.25%

2.2. The Legal Service's human resources

	Situation as at 01/01/2013	Situation as at 01/01/2014	Staff as at 31/12/2014
	Establishment plan posts		
AD			
Permanent staff	66	66	63
Temporary staff	2	2	3
AST			
Permanent staff	37	37	35
Temporary staff	2	2	3
Total 1	107	107	104
	Estimated FTEs		
Contract staff	3	4	5
Seconded national experts	/	/	/
Agency staff	/	/	/
Interpreters (ACI)*	/	/	/
Accredited parliamentary assistants	/	/	/
Local parliamentary assistants	/	/	/
Externals**	/	/	/
Total 2	3	4	5
Total EP (1+2)	110	111	109

2.3. Budget implementation in 2014

2.3.1. Initial and final appropriations

Sub-Items 02320-01, 02320-03 and 03220-07: A total of € 105 000 was transferred in a mopping-up operation in November.

2.3.2. Final appropriations and appropriations committed

Sub-Item 02320-01 (Legal costs): Committed appropriations accounted for 98.99% of final appropriations. Attention should be drawn to the provisional nature of this heading, expenditure being largely dependent on the outcome of litigation relating to the Staff Regulations and property policy, and to the difficulties involved in anticipating the costs of external legal proceedings.

Sub-Item 02320-03 (Damages, interest and anterior debts): 2.14% of final appropriations was committed. Use of this heading is even more uncertain than for legal fees; it is impossible to predict whether Parliament will be ordered to pay damages, still less what they will amount to. Because of difficulties surrounding the dismissal of accredited parliamentary assistants, however, this heading might be increased.

Sub-Item 03220-07 (Library – books and subscriptions): 96% was committed for the acquisition of books and the renewal of subscriptions to periodicals and databases.

2.3.3. *Appropriations committed and payments made*

Sub-Item 03220-07 (Library – books and subscriptions): A provisional commitment of EUR 5 500 was made against this sub-item in order to facilitate management of appropriations, given the large number of suppliers involved. Payments made on the basis of this commitment totalled €2 658. The balance - €2 842 - was cancelled at year-end 2014.

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

Sub-Item 02320-01 (Legal costs): A total of 84.30% of the appropriations carried over against this sub-item was utilised. The explanation for that figure is that when expenditure commitments are established, in particular for buildings-related matters, it is often impossible, given the complexity and rapidly shifting nature of the issues concerned, to forecast accurately the volume of work which the lawyers will be required to carry out (a prime example being the monitoring of the procedure in relation to the court expert's report on the LOW Building). Accordingly, with a view to ensuring that the principle of anteriority is complied with, commitments are often established which reflect 'high' forecasts.

As regards Sub-Item 03220-07 (Library - books and subscriptions), 93.74% of the appropriations carried over against the heading was utilised.

2.3.5. *Use of appropriations arising from assigned revenue*

A total of 39% of appropriations corresponding to assigned revenue was utilised.

2.3.5.1 Specific expenditure appropriations

None

2.3.5.2 Specific expenditure appropriations/assigned revenue carried over

None

2.4. Results

It is difficult to quantify in any meaningful way the relationship between the three budget sub-items for which the Legal Service is the authorising department and achievement of the Legal Service's specific objectives in 2014.

As regards the general objectives and recurring tasks, it is difficult to assess the Legal Service's work in terms of the difference between results expected and results achieved, as it is impossible at the start of each year to make forecasts that are anything other than conjecture (there being no control over the number of referrals or the outcome of legal proceedings resulting from Parliament's operational activities).

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

Internal control has been greatly facilitated by the manager (operational initiator) introducing a validation sheet setting out the contractual terms which gave rise to the need to settle requests for payment and precise details of how the services in question were performed.

4. CONCLUSION

4.1. Activity over the financial year – overall assessment

It should be quite clear that, irrespective of the feasibility of developing statistical indicators, much of the assistance provided by the Legal Service is difficult to list and quantify.

During the reference period, in addition to handling formal referrals the Legal Service informally dealt with an ever increasing number of legal questions which were not officially registered. Colleagues furthermore took part in the proceedings of working groups and administrative committees, attended meetings of parliamentary committee and trilogues, and consistently provided rapporteurs, etc. with legal assistance. It should be noted that these unquantifiable activities account for an ever increasing share of the Legal Service's work.

Account should also be taken of the complexity of the matters dealt with, since the questions referred to the Legal Service for its opinion varied in terms of degree of difficulty from one referral to another; and that had a bearing on the volume of research and legal drafting work required and the number of lawyers involved (working alone or in teams). This also applies to legal actions brought before the EU courts; the workload they generate (analysis of the case, procedural formalities, liaison with the departments concerned, legal research, drafting of written statements by procedural deadlines, participation in hearings and follow-up to judgments) monopolised the time of between one and three staff members for a period of several weeks at a time, given that, as a rule, proceedings last at least one year.

4.2. Evaluation of adequacy of resources allocated

A total of 98.99% of final appropriations from Sub-Item 02320-01 was committed and 9% of initial appropriations was made available to other DGs in a mopping-up transfer.

A considerable proportion of the legal work had to be handled with the assistance of outside chambers, given the volume of the work to be carried out, the highly technical nature of the issues concerned, the need to obtain the most precise and most up-to-date information relating to the relevant national law (as regards buildings at the three places of work in France, Belgium and Luxembourg) and the need for greater insight into national judicial procedures (cases involving expert opinions and third-party liability).

Alongside out-of-house work on procedures relating to the accident in the LOW Building, which have been ongoing for some years, a chamber in Brussels was commissioned to provide additional services in connection with the SQM Building so as to assist the Legal Service during negotiations with the owner of the building.

4.3. Summary of strengths and weaknesses – possible measures to tailor available human and budgetary resources more effectively to the tasks to be performed

It should be emphasised that the volume of appropriations allocated to Sub-Items 02320-01, 02320-03 and 3220-07 remains relatively small.

These sub-items can be described as ‘reactive’. In the main, expenditure against the first and second depends on the referrals made: they may result in litigation or call for legal assistance from outside chambers (in connection with property projects, in particular, and in accordance with timetables adopted by the Secretary-General or the political authorities). The third sub-item concerns books and other publications on the law and subscriptions to databases; they must be accessible at all times for consultation, where necessary, by lawyers dealing with unpredictable legal questions over which the Legal Service has no influence. Any revenue from the first sub-item derives from the costs which EU courts have ordered opposing parties to pay to Parliament.

Given the modest nature of the amounts involved, and the specific and recurring nature of the type of transactions it is called on to finance, Sub-Item 02320-01 (legal costs) does not in itself present any major management problems, provided that its management is entrusted to a sufficient number of qualified members of staff.

As regards Sub-Item 02320-01, in view of the specific constraints which have a bearing on expenditure relating to litigation and the provision of legal advice, and within the limited room for manoeuvre available to it, the Legal Service is striving to reduce costs as much as possible and to secure the best services at the most reasonable prices. Accordingly, the smooth functioning of operational and administrative activities is subject to ongoing monitoring by management staff, involving, in particular, regular checking of the invoices issued by chambers.

The Legal Service is continuing to subject its expenditure to strict controls by performing an ongoing comparative analysis of the difficulty of the cases in which it is involved and the fees charged, and systematically seeking to have them reduced (or even to have fees set by a national professional body or by a judge) when they appear to be excessive. It should be noted that, in connection with the accident in the LOW Building in Strasbourg, the services required are complex, highly technical and, inevitably, costly. That was also the case in 2014 for work on the SQM Building, which has also had an impact on appropriations. In this connection, comparisons are made between the time actually spent by consultants in meetings and the hours invoiced for those meetings, and, for other services, between the hours invoiced and estimates of the time required for the work they have performed.

These factors make it clear that, in view of the scrupulous control of expenditure, there is only a very small margin for improving the match between the budgetary resources provided and the tasks to be performed.

The control procedures carried out by operational verifiers, ex ante verifiers and authorising officers by subdelegation, who are Legal Service staff members, are performed scrupulously but also in a proportionate manner, so as not to cut unnecessarily into the time spent by the Legal Service on its main work of providing legal assistance to Parliament's governing bodies and departments and of defending Parliament's interests before the courts

Budgetary resources - because they are carefully managed - appear to be in line with the Legal Service's current operational needs.

With regard to the human resources provided, it should be noted that the consequences of the 5% cut in staffing are being keenly felt by the Legal Service, given that it is the smallest directorate-general. That cut comes at a time when there is an increased workload in some of the Legal Service's areas of activity. Accordingly, the units with responsibility for property project and civil service matters have been stretched to the limit as a result of the unexpected work they have had to deal with recently. The Resources Service also seems to be understaffed by comparison with other directorates-general, given that it has a heavier workload because of the new responsibilities and new role of resource directorates.

5. DECLARATION BY THE AUTHORISING OFFICER BY DELEGATION

I the undersigned Freddy DREXLER, Jurisconsult,

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.

Done at Brussels

on

Signature

6. ANNEXES

6.1. Relevés d'exécution budgétaire 2014 Budget implementation statements for 2014

6.1.1. *Crédits courants*

Poste	Crédits initiaux	Virements et budg. Suppl.	Crédits actuels	Engagements contractés	% utilisé	Paiements effectués	Crédits disponibles
2320	1.025.000,00	- 105.000,00	920.000,00	842.916	91,62	488.196,88	77.083,66
3220	55.000,00	0,00	55.000,00	52.798	96	22.398,56	2.202,34
TOTAL	1.080.000	- 105.000	975.000	895.714	91,87	510.595,44	79.286

6.1.2. *Crédits reportés automatiques*

Poste	Crédits reportés	Crédits actuels	Engagements contractés	Paiements effectués	% utilisé	Crédits disponibles	Reliquat de conversion
2320	396.963,77	396.963,77	396.963,77	292.483,49	84,30	54.480,28	0
3220	28.042,24	28.042,24	28.042,24	26.287,87	93,74	1.754,37	0
TOTAL	425.006,01	425.006,01	425.006,01	368.771,36	86,77	56.234,65	0

6.1.3. *Crédits de dépenses spécifiques / RA (recettes affectées)*

Poste	Crédits an. Précéd.	Crédits an. Cumulés	Crédits actuels	Engagements contractés	% utilisé	Paiements effectués	Crédits disponibles
2320	0	12.033	12.033	0-	0-	-0	12.033

6.1.4. *Crédits reportés de dépenses spécifiques / RA*

Poste	Crédits initiaux	Crédits actuels	Engagements contractés	Paiements effectués	% utilisé	Solde des engagements	Crédits disponibles
2320	16.515,08	16.515,08	13.241,20	11.141,20-	84,140	2.100	3.273,88

6.2. Rapport sur le respect des délais de paiement

Report on compliance with payment time limits

Factures payées en 2014		Intérêts de retard à payer d'office (>200€)	Intérêts de retard à payer à la demande (<=200€)	Pas d'intérêts de retard à payer	Total
Endéans le délai	Nombre de factures			94	94
	Montant total des factures (EUR)			545.710,37	545.710,37
Hors délai	Nombre de factures	-	18	-	18
	Montant total des factures (EUR)	-	212.368,41	-	212.368,41
	Montant des intérêts de retard (EUR)	-	429	-	429
Nombre total de factures		-	18	94	112
Montant total des factures (EUR)		-	212.368,41	545.710,37	758.078,78

Sur les 18 factures payées en retard, 13 émanent du cabinet Thieffry, les avocats qui assistent le Parlement dans le dossier de l'effondrement du plafond à Strasbourg. Le fait que les notes d'honoraires dudit cabinet soient systématiquement vérifiées de façon minutieuse par les initiateurs opérationnels et que la chef de l'unité supervise les contrôles, requiert inévitablement un laps de temps conséquent pour traiter ces factures.

Le retard de paiement des 5 autres factures est conséquent de l'impossibilité matérielle de respecter un délai de 30 jours de paiement lors de la clôture annuelle et pendant les périodes d'absences des acteurs financiers.

Aucun fournisseur n'a réclamé les indemnités de retard.

6.3. Liste des exceptions - dérogations à la réglementation

List of exceptions - derogations from the rules

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

List of waivers/cancellations of receivables (Articles 91 and 92 RAP)

Engagement de dépense 65023 en faveur du cabinet d'avocats Ashurst Morris :
principe d'antériorité non respecté (pas d'ED pour honorer une facture)

Dérogations aux procédures - Exceptions to procedures

Les décisions dérogeant aux procédures établies et aux réglementations applicables							
Réf. document	Ordonnateur compétent	Objet	Montant	Avis vérificateurs		Décision	
				conforme avec observation / non conforme	Justification	Ordonnateur compétent	Justification
		NEANT					

Renonciation/annulations de créance - Waivers/cancellations of receivables

Les procédures de renonciations/annulations de créance					
Réf. document	Ordonnateur compétent	Objet	Montant	Justification de l'ordonnateur quant à la renonciation/annulation	
		NEANT			

6.4. Obligations contractuelles de longue durée
Long-term contractual obligations

Contractant	Objet	Durée ⁽¹⁾		Valeur totale marché	Dépense contractuelle pour 2014	Type de renouvellement ⁽²⁾	Description des mesures de contrôle
		Contrat	Marché				
ALLEN & OVERY (*)	Assistance juridique externe – négociations et acquisition des bât WIM et SQUARE DE MEEÛS à Bruxelles	contrat du 17.01.2012 dont la durée est liée à celle des procédures judiciaires		225.000	145.000		
Cabinet THIEFFRY et associés	assister le PE : plafond de l'hémicycle de Strasbourg et dossiers annexes	contrat du 26.09.2008 dont la durée est liée à celle des procédures judiciaires		3.000.000	410.000		

(*) L'assistance juridique dans le cadre de ce contrat concerne tout nouveau bâtiment que le Parlement souhaiterait acquérir ou occuper à Bruxelles. Par conséquent, le contrat a évolué au fil des années en fonction des orientations décidées par les autorités du Parlement concernant les projets immobiliers.

(1) Indiquez s'il s'agit de mois ou années, voire si la durée est indéterminée

(2) Indiquez s'il s'agit d'un renouvellement manuel ou automatique

6.5. Procédures négociées exceptionnelles - articles 53, 134 et 135 RAP
Exceptional negotiated procedures - Articles 53, 134 and 135 RAP

Nom/s de/s l'attributaire/s	Objet	Montant	Base juridique	Motif	Candidats		Critères d'acceptabilité	Référence du marché	Date Avis FMP
					Invités	Pour négociations			
DALLOZ	Renouvellement pour 2015 de l'abonnement à la base de données Dalloz	5.832,75	PN article 134.1 b)	seul fournisseur pour cette base de données	1	1	seul fournisseur pour cette base de données	SJ/2014/SEJU-23-2014	

6.6. Résultat des évaluations ex-post

Results of ex-post controls

Le contrôleur ex-post a remis le 17 décembre 2014 à l'ordonnateur délégué son rapport concernant le contrôle ex-post au Service Juridique pour l'exercice 2013.

Il indique que le contrôle n'a identifié aucun cas de non-conformité avec les règles budgétaires tout en rappelant que la bonne gestion financière demande qu'une attention particulière soit apportée à la planification des travaux à effectuer dans le cadre des dossiers d'assistance juridique notamment sur les projets immobiliers.

En ce qui concerne la bibliothèque, il constate une importance accrue des bases de données, ce qui rend le risque financier plus important. Des nouveaux défis par rapport à la bonne gestion financière sont donc attendus du fait que les fournisseurs sont souvent seuls à pouvoir offrir la base de données souhaitée, afin d'éviter que le Parlement paie des prix exagérés.

6.7. Fonctions sensibles

Sensitive posts

<i>Fonction identifiée sensible</i>	<i>Mesures prises</i>
<i>néant</i>	

Compte tenu du fait, au moment de la liquidation, de l'analyse très précise concernant le coût effectif de chaque prestation par un initiateur opérationnel et son contrôle par les chefs d'unités concernés, il n'existe aucun poste pouvant être qualifié de sensible au sens de la réglementation financière applicable.

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

Assessment of the implementation of minimum internal control standards

Tableau synoptique d'évaluation (base : normes de 2002)

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

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

1. Normes évalués achevés – bonnes pratiques

Rien à signaler.

2. Normes évalués presque achevés – éléments à compléter

Point 15 Documentation relative aux procédures : La rédaction d'un manuel de procédures pour le secteur budget a été entamée et reste à être finalisé en 2015.

Point 20 Identification et correction des insuffisances du contrôle interne : Après une analyse récente du système de contrôle interne au Service juridique, il s'est avéré nécessaire d'identifier un vérificateur ex-ante supplémentaire pour faire face aux absences des autres vérificateurs en place.

3. **Normes évalués partielles ou démarrées – points faibles et pratiques**

Point 1 et 14 Déontologie et intégrité/ Signalement d'irrégularités : Il est prévu de publier sur l'intranet du Service juridique des informations sur l'éthique (bonne conduite, conflits d'intérêt, prévention et signalement des fraudes et irrégularités)

Point 10 Contrôle de la performance sur la base d'objectifs et d'indicateurs : Dans le cadre du « Strategic Execution Framework » (SEF) le Service juridique est en train de développer des « Key performance indicators » (Matrix)

Point 11 Gestion du risque : Entretemps, une réunion entre le Jurisconsulte et le « risk manager » du Parlement européen a eu lieu avec le résultat que le Service juridique ne doit pas tenir un registre de risques vu sa spécificité.

Point 12 Information ad hoc de gestion (information comptable et financière) : L'équipe budgétaire du Service juridique tient à jour un tableau excel pour suivre l'état des crédits et contrôler tous les dépenses.

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

Rien à signaler