

**GENERAL IMPLEMENTING PROVISIONS GOVERNING
THE STAFF REPORTS PROCEDURE APPLICABLE TO SENIOR
MANAGEMENT
PURSUANT TO ARTICLE 43 OF THE STAFF REGULATIONS AND
ARTICLE 15(2) OF THE CONDITIONS OF EMPLOYMENT OF OTHER
SERVANTS**

THE SECRETARY-GENERAL OF THE EUROPEAN PARLIAMENT,

having regard to the Staff Regulations of Officials of the European Union (hereinafter ‘the Staff Regulations’), in particular Article 43 thereof, and to the Conditions of Employment of Other Servants of the European Union (hereinafter ‘the CEOS’), in particular Article 15(2) thereof,

having regard to the General Implementing Provisions of 16 October 2014 governing the implementation of Article 43 of the Staff Regulations and Articles 15(2) and 87(1) of the CEOS (staff reports) (hereinafter ‘the staff reports GIPs’),

having regard to the Bureau Decision of 9 December 2013 delegating to the Secretary-General the powers necessary for the adoption of internal rules, rules of application and implementing measures necessitated by the revision of the Staff Regulations and the CEOS,

having regard to the opinion of the Staff Regulations Committee of 22 January 2015,

having consulted the Legal Service, the Data Protection Officer, the Staff Committee and the Committee on Equality of Opportunity between Men and Women and Diversity,

HAS ADOPTED THESE GENERAL IMPLEMENTING PROVISIONS

Article 1 - Objective of these GIPs

These general implementing provisions (hereinafter ‘GIPs’) lay down the specific rules governing the staff reports procedure for senior management in the Institution, in accordance with Article 43 of the Staff Regulations and Article 15(2) of the CEOS, derogating from the general system laid down by the staff reports GIPs.

Article 2 - Definition of senior management

1. Officials in director-general (grade AD 16 or 15) and director (grade AD 15 or 14) posts shall be members of senior management within Parliament's Secretariat.
2. Temporary staff members referred to in Article 2 (a), (b) and (c) of the CEOS in grades AD15-16 and AD14-15 in the above-mentioned types of post and working in Parliament's Secretariat or in the secretariat of a political group or for the President of the European Parliament shall also be members of senior management.

Article 3 - Staff concerned

Each year, pursuant to Article 43 of the Staff Regulations, a report shall be drawn up on all officials or temporary staff members who are members of senior management, with the exception of officials/temporary staff members

- in respect of whom a decision has been adopted resulting in termination of service within the meaning of Article 47 of the Staff Regulations during or at the end of the year to which the staff report relates (hereinafter 'the review period');
- to whom an invalidity allowance has been granted, pursuant to Article 78 of the Staff Regulations or Article 33 of the CEOS, during or at the end of the review period.

Article 4 - Definition and role of assessors

1. The performance of members of senior management shall be assessed by one or two assessors, as appropriate.
2. The staff report shall be drawn up by the first assessor and countersigned by the final assessor.
3. Where there is only one assessor, he or she shall perform the duties of the first assessor and the final assessor.
4. Without prejudice to the provisions governing the particular cases specified below, the assessor shall be:

For staff in director posts (grade AD14-15):

The first assessor shall be the head of the functional entity⁽¹⁾, who is the immediate superior of the staff member concerned. The final assessor shall be the Secretary-General.

For staff in director-general posts (grade AD15-16):

A sole assessor who shall be the Secretary-General.

Specific cases:

- the Secretary-General shall be the sole assessor for grade AD 14-15 officials/temporary staff members in director posts under his or her direct responsibility;
- the Chair of a political group shall be the sole assessor for members of the senior management of his or her group, including members of staff who are officials seconded to the group. The group Chair may nevertheless instruct the secretary-general of the group to prepare a draft of the reports drawn up pursuant to these GIPs;

⁽¹⁾ Any reference to the functional entity shall be understood to mean the relevant directorate-general or independent administrative unit which is not a directorate-general.

- The President of the European Parliament shall be the sole assessor for the members of his Cabinet who belong to senior management. The President may nevertheless instruct the Secretary-General to prepare the draft reports drawn up pursuant to these GIPs.
- 5. Whenever a staff member's immediate superior changes during the review period, the first assessor shall be the immediate superior to whom the official/temporary staff member was answerable at the end of that period. In such cases, assessment shall be carried out after consultation of the previous immediate superior/superiors if he or she or they are still in active employment within Parliament.
- 6. In cases for which no provision is made in these GIPs the assessor shall be determined by the directorate-general with responsibility for personnel matters.
- 7. In his or her capacity as final assessor for grade AD 14-15 officials/temporary staff members in director posts, and of sole assessor for grade AD 15-16 officials/temporary staff members in director-general posts, the Secretary-General shall ensure harmonisation of the staff reports of members of senior management within Parliament's secretariat.

Article 5 – Substance of the staff report

1. The staff report shall be drawn up on the basis of the objectives arising from the overall mission of Parliament's Secretariat as determined by the Secretary-General and the directors-general, and of the broad lines and overall objective of each functional entity's work during the review period.
2. The report shall also note the staff member's professional training needs and his or her scope for mobility in the future.

Article 6 - Procedure and timetable for drawing up the staff report

1. In January, the first assessor shall prepare the draft staff report and shall invite the official/temporary staff member to an interview. The draft staff report shall relate to the staff member's performance during the review period and must in particular give details where the performance has been outstanding or inadequate. Consequently, the section 'Level of performance: Satisfactory / Unsatisfactory' must be filled in, as must the section 'Overall Assessment'.
2. The draft staff report shall be sent to the staff member at least five calendar days before the date of the interview.
3. No later than 14 calendar days after the interview, the first assessor shall finalise the draft staff report and forward it to the final assessor. The staff member concerned shall receive a copy.
4. The final assessor shall have 14 calendar days in which to validate or modify the draft. If he or she intends to modify the first assessor's evaluation in a way that is less favourable than the draft, he or she shall discuss the matter with the first assessor and the staff member concerned.

5. If the staff member concerned so requests, an interview with the final assessor shall also be held.
6. The staff report signed by the final assessor shall be forwarded to the staff member concerned for signature. The staff member shall have 14 calendar days to sign and return it with or without comments.
7. If comments have been forwarded by the staff member concerned by the time limit referred to above, the final assessor shall have 14 calendar days to reply in writing. A copy of that reply shall be forwarded to the staff member concerned, with the staff report being initialled to signify acknowledgement of receipt.
8. Should the final assessor fail to reply within 14 calendar days, the comments shall be deemed to have been rejected.
9. If the official/temporary staff member fails to return the signed staff report within the time limit referred to above, he or she shall be deemed to have signed his or her staff report. In that instance, a duplicate shall be entered in the staff member's personal file.
10. The various time limits set in this article shall be suspended in the event of a duly justified period of absence.

Article 7 - Carrying over a report

1. Carrying over a report means drawing up a staff report identical in content to the previous report, provided that there has been no significant change in the efficiency, ability and conduct in the service of the official/temporary staff member concerned. The report to be drawn up shall be final as soon as the staff member concerned and the assessors have reached agreement on carrying over a report; the normal staff report procedure need not be carried out.
2. Arrangements for a formal dialogue on setting objectives and on a training programme shall, however, be made by the first assessor as a matter of course.
3. A staff report may not be carried over for two consecutive years.

Article 8 - Appeals

a) Staff assigned to the Secretariat of the European Parliament

1. Officials/temporary staff members wishing to challenge their staff report shall ask for a review by Parliament's Bureau. The staff member concerned shall address his or her request to the President, within 14 calendar days:
 - from the date on which their report was signed or,
 - should they have made comments, from the date on which the final assessor's reply was received or, failing a reply, upon expiry of the time limit laid down in Article 6, eighth paragraph, above.

2. The President shall examine the request as soon as it is received in order to give his opinion to the Bureau. If appropriate, he shall meet with the staff member concerned and his or her assessors.
3. Before taking its decision, the Bureau may, if it considers it necessary, hear the staff member concerned and his or her assessors.
4. The decision shall be communicated to the official/temporary staff member and assessors concerned within one month from the date on which the Bureau meeting was held.
5. The final assessor shall confirm or modify the staff report, in accordance with the Bureau decision, within 14 calendar days from the date on which that decision is received.
6. The final staff report may be challenged by lodging a complaint pursuant to Article 90(2) of the Staff Regulations.

b) Staff assigned to the political groups

8. Each political group shall be responsible for establishing its own appeal procedure.
9. Political group staff members wishing to challenge their staff report shall do so in accordance with the appeal procedure in force within their group.

Article 9 - Transitional and final provisions

1. The Secretary-General may adopt specific evaluation criteria for senior management staff.
2. Over and above the official staff report procedure as set out in these GIPs, the Secretary-General may adopt specific evaluation procedures.
3. The form for the staff report drawn up pursuant to these GIPs may be modified by decision of the Director-General for Personnel, after the Secretary-General's agreement has been given, to take account of technical necessities.
4. These General Implementing Provisions shall enter into force on the day on which they are signed. They shall apply in respect of the staff reports for 2014.
5. These provisions replace the General implementing provisions governing the staff reports procedure applicable to senior management pursuant to Article 43 of the Staff Regulations and Article 15(2) of the Conditions of Employment of Other Servants, adopted by the Bureau on 7 July 2008.

Done at Luxembourg on 27 February 2015

Klaus WELLE

Annex: Staff report form

EUROPEAN PARLIAMENT

STAFF REPORT

Period from DD/MM/YYYY to DD/MM/YYYY

Mr/Mrs/Ms/Miss (Surname, forename)

Official

Temporary staff member

Staff number:

Grade:

Departments in which the staff member was employed during the review period

| From | Directorate-General / Cabinet/ Political group | Directorate | Job description |
|------|--|-------------|-----------------|
| | | | |

Carrying over of reporting: Yes

No

1. DESCRIPTION OF DUTIES (profile, environment, requirements)

| |
|--|
| |
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2. PARTICIPATION IN PROJECTS INCLUDED IN THE PARLIAMENTARY PROJECT PORTFOLIO

| |
|--|
| |
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3. WORK PERFORMED OUTSIDE NORMAL DUTIES

(work performed in Parliament's interest during the review period)

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| |
|--|

3. DETAILED ASSESSMENTS

3.1 Ability

3.2 Efficiency

3.3 Conduct

4. GENERAL ASSESSMENTS

4.1 Assessments by other superiors consulted, and, where appropriate, by heads of projects included in the Parliamentary Project Portfolio

Name of person consulted:

Assessment ⁽¹⁾ :

Name of person consulted:

Assessment ⁽¹⁾ :

4.2 Extent to which the targets set have been achieved:

- Achieved.*
- Partially achieved*
- Not achieved*

Comments:

4.3 Change in performance since previous year:

- Improvement*
- Stable*
- Decline*
- Serious deterioration*

Comments:

4.4 Level of performance:

- Satisfactory*
- Unsatisfactory*

Comments:

5. OVERALL ASSESSMENT BY FIRST ASSESSOR

(Please summarise your appraisal of the postholder)

⁽¹⁾ A separate note may be attached.

6. SELF-ASSESSMENT (to be filled in during the interview)

7. OBJECTIVES FOR THE YEAR

(Record any professional training requirements to be met over the next year)

8. APPRAISAL OF FIRST ASSESSOR

After interview with the staff member concerned on.....

Date:

Signature:

9. ASSESSMENT BY FINAL ASSESSOR:

Where appropriate, after interview with staff member concerned on

Assessment of final assessor:

Date:

Signature:

10. ANY COMMENTS BY STAFF MEMBER

Date:

Signature:

11. FINAL ASSESSOR'S REPLY TO ANY COMMENTS BY STAFF MEMBER

(Time limit for reply: 14 calendar days)

Date:

Signature:

This reply was sent to the staff member concerned on

Initials of staff member concerned:

12. REFERRAL TO THE BUREAU ⁽²⁾

Request for review received on:

Opinion no.

of.....

**13. AMENDMENT/CONFIRMATION OF STAFF REPORT BY FINAL ASSESSOR
IN ACCORDANCE WITH BUREAU DECISION ⁽²⁾**

Staff report amended/confirmed ⁽³⁾

Date:

Signature:

14. APPEAL PROCEDURE WITHIN POLITICAL GROUP ⁽⁴⁾

Request for review received on:

Opinion no.

of.....

15. AMENDMENT/CONFIRMATION OF STAFF REPORT BY FINAL ASSESSOR⁽⁴⁾

Staff report amended/confirmed ⁽³⁾

Date:

Signature:

⁽²⁾ Only for staff assigned to the Secretariat of the European Parliament.

⁽³⁾ Delete as appropriate

⁽⁴⁾ Only for staff assigned to political groups.