

## IMPLEMENTING PROVISIONS CONCERNING THE APPRAISAL OF THE DIRECTOR OF THE ETF

### THE GOVERNING BOARD OF THE ETF,

Having regard to the Staff Regulations of Officials of the European Communities (hereinafter Staff Regulations), and the Conditions of Employment of Other Servants of the European Communities (hereinafter CEOS), laid down by Council Regulation (EEC, EURATOM, ECSC) n° 259/68 and the amendments thereto,

Having regard to Article 43 of the Staff Regulations and Article 15(2), of the CEOS relating to the annual appraisal procedure,

Having regard to Article 34 of the Staff Regulations and Article 14 of the CEOS relating to the probationary period,

Having regard to Articles 44 and 46 of the Staff Regulations applicable by analogy to the temporary agents as laid down in the conclusion of heads of administration of 20 June 2005 on the management probationary period,

Having regard to Council Regulation (EC) N° 1360/90 of 7 May 1990 establishing the European Training Foundation, and notably article 14 thereof,

Having regard to Council Regulation (EC) N° 2063/94 of 27 July 1994 and notably article 8 thereof, modifying the rules governing the personnel of the ETF and submitting the latter to the rules and regulations applicable to the Officials and Other Servants of the European Communities,

Having regard to Commission Decision SEC(2005) 625 of 13 May 2005 concerning the guidelines relating to the appointment of the heads of the Community agencies,

After consultation of the Staff Committee and in agreement with the European Commission pursuant to Article 110 of the Staff Regulations,

Considering that

(1) The director of the ETF shall be subject to an annual appraisal, to a probationary period and to a management trial period. These various procedures aim to assess the achievements of the director with regard to his/her ability, efficiency and conduct in the service.

(2) The specific rules which govern the various appraisals, to which the director shall be subject, determine the role of each actor and identify the various stages to be achieved in order to ensure the transparency of these procedures.

HAS DECIDED AS FOLLOWS:

### I. Annual appraisal

#### *Article 1: Scope*

1. The director of the agency shall be subject to an annual appraisal exercise, organised at the beginning of each calendar year.

The reference period for the annual appraisal is from 1 January to 31 December of the preceding year.

To this end, an annual appraisal report covering the reference period is drawn up for director, who is a temporary agent within the meaning of the Article 2a) of the CEOS.

The agency director concerned is hereinafter referred to as "the jobholder". The report covers the period during which the jobholder was in activity. The period of activity covers a continuous period of at least three months during the reference period.

2. The objective of the annual appraisal is to assess the efficiency, the competencies and the aspect of conduct in the service of the jobholder.
3. For the first appraisal exercise after nomination, the annual report concerns the period not covered by the probationary period report drawn up under Article 14 of the CEOS.

### ***Article 2: Role of the various actors***

1. The agency director as defined in the Article 1 shall be subject to an appraisal.
2. The appraisers, hereinafter referred to as "reporting officers", are instructed to carry out an appraisal of the jobholder. After the dialogue held in accordance with Article 6(3), they draw up a report and sign it.
3. In case of appeal, the appeal assessor makes the final decision on report of the jobholder after consulting the Governing Board.

### ***Article 3: Designation of the reporting officers and the appeal assessor***

1. The Governing Board designates at least two reporting officers from among its members. Reporting officers cannot be designated to any other functions within the appraisal procedure of the director. It is highly recommended that the European Commission representative is designated as one of the reporting officers for his/her agency knowledge and due to the Commission's engagement in the selection or nomination of director.
2. The appeal assessor is the chairman of the Governing Board

### ***Article 4: Carryover***

1. A carryover consists of drawing up a report whose content is identical to the preceding annual report. The report to be drawn up is closed if the jobholder and the reporting officers agree on the carryover, without it being necessary to follow the procedure set out in Article 6.
2. The carryover is authorised if there has been no significant change in the efficiency, competencies and/or conduct in the service of the jobholder.
3. In case of a carryover, a formal dialogue which covers the objectives set and - if necessary - the training plan has to be organised between the reporting officers and the jobholder in accordance with Article 6(3). An annual report cannot be carried over more than once.

### ***Article 5: Contents and form of the appraisal report***

1. The appraisal report shall appreciate simultaneously efficiency, competencies and conduct in the service of the jobholder.
2. Without prejudice to Article 5(1), the content and the form of the appraisal report can, if necessary, be amended by decision of the Governing Board on a proposal from the reporting officers.

### ***Article 6: Appraisal procedure***

1. The annual appraisal preferably takes place during the first semester of the year following the reference period.
2. The jobholder establishes, within ten working days following the request of the reporting officers, a self-assessment which is incorporated into the appraisal report.

3. At the latest ten working days after the self-assessment is communicated by the jobholder, the reporting officers and the jobholder hold a formal dialogue. If the jobholder refuses to finalise his/her self-assessment within the required time, the reporting officers can decide to hold the dialogue when the deadline referred to in paragraph 2 has expired.

The dialogue covers the following elements:

a) the reporting officers examine the jobholder's efficiency based on the fulfilment of objectives and the implementation of the agency work programme, adopted each year by the Governing Board, the competencies shown and the conduct in the service of the jobholder, for the reference period.

b) the jobholder and the reporting officers set the objectives for the following reference period and, if necessary, a training plan which takes into account the objectives in relation to the agency annual work programme and the personal development goals.

4. At most ten working days after the formal dialogue, the reporting officers draw up a draft appraisal report. This draft comprises a general appraisal, which takes into account the appraisals given on efficiency, competencies and conduct in the service of the jobholder, in accordance with the criteria defined in the appraisal report.

5. The jobholder is notified in writing in the form of a report.

6. The jobholder has five working days to accept the report without making any comments, accept it after adding comments in the appropriate section of the report, or refuse the report by justifying the revision request in the appropriate section. If the report is accepted by the jobholder, the appraisal report is closed and archived in the personal file of the jobholder. A report is deemed to be accepted if the jobholder does not react within the time foreseen.

7. The closed report is transmitted to the chairman of the Governing Board for information.

8. The deadlines referred to in this article start when the decision is likely to have been communicated to the person concerned or, at least, when the latter, acting as a diligent temporary agent, may be expected to be aware of the content of this decision and the underlying reasons.

### ***Article 7: Appeal procedure***

1. The reasoned refusal is transmitted to the appeal assessor. The appeal assessor gives his/her opinion within five working days from the date of submission.

2. After consultation with the Governing Board, the appeal assessor confirms or amends the report. If the appeal assessor differs from the opinion of the Governing Board, he must justify his/her decision. The reporting officers are excluded from these consultations.

3. The report is then closed and communicated to the job holder and the Governing Board.

### ***Article 8: Particular case***

If the jobholder is an official seconded in the interest of the service, in application of the principle of double career, the agency appraisal report, once drawn up, is transmitted to the parent DG as a basis for the draft report on the career development report of the official within the Commission.

## **II. Probationary period**

### ***Article 9: Scope***

1. The newly nominated agency director shall be subject to a probationary period, in accordance with Article 14 of the CEOS.

2. If the newly nominated agency director is an official on secondment in the interest of the service, s/he is exempted from this probationary period.

3. The agency director concerned is hereinafter referred to as "the probationer".
4. The probationary period starts on the first day of entry into service as the director and finishes at the end of a six-month period. If, during the probationary period, the probationer is prevented, by sickness, maternity leave or accident, from performing his/her duties for a continuous period of one month or more, the reporting officers may propose to the appointing authority to extend his/her probationary period for the corresponding length of time without providing any other reason.

#### ***Article 10: Role of the various actors***

The reporting officers and the appeal assessor for the probationary period are the same as those for the annual appraisal, as defined in Article 2 and 3 of the present decision.

#### ***Article 11: Contents and form of the probationary report***

1. The probationary report aims to appreciate simultaneously the efficiency, the competencies and the conduct in the service of the probationer within the first six months of his/her service. It should also include the senior management skills assessment without prejudice to report, which is referred to in articles 16(1).
2. Without prejudice to Article 11(1), the content and form of the probationary report can, if necessary, be amended by decision of the Governing Board on a proposal from the reporting officers.

#### ***Article 12: Appraisal procedure for the probationary period***

1. During the month which follows the first day of entry into service, the reporting officers meet the probationer in order to comment on his/her job description and to agree, in writing, on how the objectives and the performance level expected from the probationer will be assessed during his/her probationary period. The assessment will take particular account of efficiency based on the fulfilment of objectives and the implementation of the agency work programme, competencies shown and conduct in the service of the director.
2. In case of clear inaptitude, a report can be drawn up at any time during the probationary period. Further proceedings of the appointing authority in such a case are stipulated in fourth paragraph of article 14 CEOS.
3. At most one month before the expiry of the probationary period, a final report shall be drawn up on the efficiency of the probationer, on his/her competencies to perform the duties pertaining to his/her post and on his/her conduct in the service. The probationer and the reporting officers hold a formal dialogue on the report.
4. At the latest ten working days after the formal dialogue, the reporting officers make an appraisal of the probationary period in accordance with Article 14 of the CEOS. If the reporting officers propose to the appointing authority to extend the probationary period, this extension shall be for a maximum period of six months. The total length of the probationary period shall in no circumstances exceed 12 months.
5. After having been notified of the report in writing, the probationer has eight working days to accept the report without making any observations, accept it after adding comments in the appropriate section, or refuse it justifying his/her decision in the appropriate section in conformity with the procedure foreseen in Article 13 of this decision. If the report is accepted by the probationer, the appraisal report is closed. The report is deemed to be accepted in case the probationer does not react within the time foreseen.

#### ***Article 13: Appeal procedure***

The appeal procedure is identical to that defined in Article 7 of the present decision.

### III. Management probationary period

#### **Article 14: Scope**

1. The agency director performing senior management functions for the first time shall serve a management probationary period of nine months, in accordance with Articles 44 and 46 of the Staff Regulations applicable by analogy to temporary staff under the conditions foreseen in the conclusions of the Heads of Administration of 20 June 2005.
2. A director who has performed senior management functions including managerial tasks for at least two years at the time of the engagement or served at least two years in such management functions in any other European institution is exempted from a management probationary period.
3. The agency director concerned is hereinafter referred to as "the probationer".
4. The management probationary period begins the first day of entry into service of the probationer and finishes at the end of a nine-month-period.

#### **Article 15: Role of the various actors**

The reporting officers of the management probationary period are the same as those for the annual appraisal, as defined in Articles 2 and 3 of the present decision.

#### **Article 16: Contents and form of the management report**

1. The management report shall confirm the senior management skills of the probationer.
2. The content and form of the management report can, if necessary, be amended by decision of the Governing Board on a proposal from the reporting officers.

#### **Article 17: Appraisal procedure for the management probationary period**

1. The appraisal report for the management probationary period shall be drafted including the assessment carried out during the probationary period as referred to in article 11.
2. If the probationary period is extended for at least three months, the appraisal of the probationer for his/her senior management functions will take place at the same time and covers the same period as the appraisal for the extended probationary period.
3. After the end of the management probationary period, the reporting officers draw up a draft report in accordance with paragraph 1 of this Article. The probationer and the reporting officers hold a formal dialogue. At the latest 10 working days after the formal dialogue with the probationer, the reporting officers can propose either a positive appraisal of the management probationary period or its extension.
4. After having been notified of the report in writing, the probationer has eight working days to comment on the report. A report is deemed to be accepted in case of absence of reaction of the probationer within the time foreseen.

#### **Article 18: Management allowance**

1. The management allowance is paid after written confirmation of the probationer's capacity to fulfil his/her management functions satisfactorily in the report referred to in article 17(1) once the latter is drafted.
2. The management allowance is paid retroactively as from the date of appointment of the probationer.

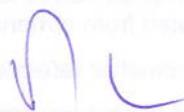
## Article 19: Entry into force

This decision shall enter into force on the day of its signature.

Date

10 JAN. 2009

*Odile Quintin*  
Chair of the Governing Board



Odile Quintin, Chair of the Governing Board, signed this decision on 10 January 2009. The decision will enter into force on the day of its signature, that is, 10 January 2009. The decision will be published in the *Official Journal of the European Union* and in the *Journal officiel de l'Union européenne* on 11 January 2009.

Odile Quintin, Chair of the Governing Board

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