

Standard Operation Procedures	SOP_066
Effective Date: 29/11/2023	Public

Probationary Period

Special Requirements	This procedure is a controlled document maintained by Quality Management. It may not be deleted without comparable controls. Please note that this document becomes uncontrolled once printed. Make sure by always referring only to the Repository that you have the right version in use. Deviations from the provision of this document need to be recorded in the Exception Request Workflow. The procedure should be updated when there are changes in EFSA with respect to what is stated in the document (e.g. Relevant Standards, legislation, and documents, change in procedure, etc.). The person responsible for maintaining this procedure up to date is the Lead author with the support of the QM.
-----------------------------	---

Process Responsibility	Process owners are accountable this procedure being adhered to within their respective or unit. All relevant staff is responsible for the correct implementation of the procedure. Responsibilities for performing specific steps are outlined in the document.
-------------------------------	---

SCOPE AND OBJECTIVES

Defines the main steps of the Probationary Period of statutory staff - EPA Process E07.05.01 Staff rights & leave management.

In particular, the probationary period consists of the first 9¹ months of employment at EFSA, it is served by all newcomers or any staff member who changes contract or status and it is applicable to all Statutory Staff (Officials, Temporary Agents and Contract Agents²).

RELEVANT STANDARDS, LEGISLATION AND DOCUMENTS

- Decision of the Management Board laying down general provisions implementing provisions on the procedure governing the engagement and use of temporary staff under article 2(f) of the conditions of employment of other servants of the European Union;
- Decision of the Management Board laying down general provisions for implementing Article 79(2) of the CEOS governing the conditions of employment of contract staff employment under the terms of Article 3(a) of those conditions of employment;

¹ For CAs: a contract staff member whose contract is concluded for a duration of at least one year should serve a Probationary Period for the first six months of his/her period of employment if he is in function group I and the first nine months if he is in any other function group.

² For CAs 3a who conclude a CA 3a contract with EFSA in the same function group immediately after a CA 3a contract with another Union agency or institution: If the CA 3a was confirmed in his or her duties by the other Union agency or institution at the end of the probationary period provided for in Article 84 of the CEOS, he or she will be exempt from the requirement to serve another probationary period.



- Decision of the Management Board on general provisions for implementing Article 87(1) of the Conditions of Employment of Other Servants of the European Union and implementing the first paragraph of Article 44 of the Staff Regulations;
- Decision of the Management Board laying down general provisions for implementing Article 43 of the Staff Regulations and implementing the first paragraph of Article 44 of the Staff Regulations for officials and temporary staff
- Decision of the Management Board decision laying down implementing rules on middle management staff;
- Team Leaders in EFSA;
- Articles 14 of the CEOS for Temporary Agents;
- Articles 84 of the CEOS for Contractual Agents;
- Article 34 of the Staff Regulations for Officials;
- SOP_045 Performance management

ABBREVIATIONS AND DEFINITION

AA	Appointing Authority
AACC	Authority authorised to conclude contracts
CA	Contract Agent
CEOS	Conditions of Employment of Other Servants
CO	Countersigning Officer (RO's direct superior)
ED	Executive Director in role of Appointing Authority or Authority authorised to conclude contracts
HuCap	Representative of Human Capital Services responsible for the process
JH	Jobholder (for the purposes of this document, this includes the role of 'Probationer' during Probationary Period phase)
JP	Job Profile
KPI	Key Performance Indicator
MM	Middle Manager
Off	Official
PP	Probationary Period
RO	Reporting Officer ³
RTBH	Right to be heard
SR	Staff Regulations of Officials
TA	Temporary Agent
TL	Team Leader

³ As regards determining the RO, the rules on the appraisal procedure (Decision of the Management Board on general provisions for implementing Article 87(1) of the Conditions of Employment of Other Servants of the European Union and implementing the first paragraph of Article 44 of the Staff Regulations; Decision of the Management Board laying down general provisions for implementing Article 43 of the Staff Regulations and implementing the first paragraph of Article 44 of the Staff Regulations for officials and temporary staff) should apply to the designation of the RO for the probationary period. This competence shall be exercised by the person in the corresponding post at the time the probation report is drawn up.



PROCEDURE	
	Previous SOPs in the process: SOP_043_Recruitment and selection of statutory staff
Step 1	1.0 Probationary Period start
JH, TL, RO, HuCap, ED	<p>1.1 Before the JH takes up duties, RO and, when applicable, TL⁴ are notified by HuCap about the relevant steps to start the PP of the newcomer.</p> <p>1.2 The 'taking up duty dialogue' meeting is scheduled by the relevant RO and TL within the first 15 days of the starting date of the JH. During the dialogue, line managers share and discuss with the JH the JP and relevant PP Goals and performance indicators (KPIs).</p> <p>1.3 The PP Goals are set in the course of the dialogue with the JH and are inserted and validated in the electronic tool, covering the 6 or 9 months of PP (as applicable⁵).</p> <p>1.4 Where a newly appointed member of statutory staff serving a PP is prevented from performing his/her duties for a continuous period of at least one month, the AA/AACC may extend⁶ his/her PP for the corresponding length of time. The RO, before recommending to the Appointing Authority the extension of the PP should request HuCap to confirm the grounds for extension. HuCap replies to the RO.</p> <p>1.5 HuCap reminds the relevant staff of the mandatory deadline by the end of the 1st month of PP.</p> <p>1.6 Regular check-up dialogues are set by the RO to ensure monitoring of the progress of the JH in terms of performance and development, through mutual feedback exchange in an open dialogue.</p> <p>1.7 A PP report on the probationer may be made at any time, by RO, before the end of the PP, if his/her work is proving obviously inadequate. That report shall be communicated to the probationer concerned, who shall have the right to submit his/her comments in writing (RTBH) within 8 working days. The report and the comments shall be transmitted by RO to the AA/AACC, who, following a review of the report and comments, will take a decision on the action to be taken. The AA/AACC may decide to dismiss the probationer before the end of the PP, giving him/her one month's notice, or to assign the probationer to another department for the remaining time of the PP.</p>
Step 2	2.0 Probationary Period Mid-Term

⁴ Team Leaders support the Reporting Officer (HoU) in preparing and drafting the probationary objectives, providing feedback on the probationer during the mid-term review and drafting the final report. The final responsibility remains on the Reporting Officer and Countersigning Officer.

⁵ All Officials and TAs shall serve a nine-month Probationary Period. For CAs: A contract staff member whose contract is concluded for a duration of at least one year shall serve a Probationary Period for the first six months of his/her period of employment if he is in function group I and the first nine months if he is in any other function group. Where an initial contract is shorter than the probationary period and the contract is renewed, the period worked during the initial contract shall be included in the total probationary period.

⁶ Extension of the Probationary Period is limited to cases of absences. The normal PPs may be extended where the Probationer is prevented by sickness, maternity leave under article 58 of the Staff Regulations, or accident from performing his duties for a continuous period of at least one month. The AA/AACC may extend his Probationary Period by the corresponding length of time. The total length of the Probationary Period cannot exceed 15 months.



<p>JH, TL, RO, HuCap, ED</p>	<p>2.1 To ensure continuous assessment and successful on boarding and integration of the JH, at the start of the 4th month of PP (or after 2 months when a 6-month PP is applicable) a mid-term review dialogue takes place. RO and, when applicable, TL provide feedback to the JH on performance and the feedback comments are discussed between the Managers and JH.</p> <p>2.2 The outcome of this dialogue will be completed and registered in the mid-term report in the electronic tool by the RO and TL. The JH will have 5 working days to insert final feedback. In the absence of any response within the time limit referred to above of 5 days, the mid-term report is closed.</p> <p>2.3 Where deficiencies are flagged in the mid-term, the RO should identify the specific areas of concern and enhance support to the probationer.</p> <p>2.4 The mid-term review process should be completed by the end of the 5th month at the latest (or 3rd month when a 6-month PP is applicable).</p> <p>2.5 HuCap reminds the relevant staff of the mandatory deadline by the end of the 4th month of PP.</p>
<p>Step 3</p>	<p>3.0 Probationary Period End</p>
<p>JH, TL, RO, CO, HuCap, ED</p>	<p>3.1 No later than 2.5 months before the end of the PP, the Probation Period Report is kicked off in the electronic tool. The JH is requested to draw up a self-assessment considering the following categories: i.) efficiency; ii.) the ability demonstrated to perform the duties pertaining to his post and iii.) his/her conduct, in the service during the PP taking into consideration established PP Goals and performance indicators, and submits it to the RO within 10 working days from reception of the notifications. If the JH does not finalise his/her self-assessment within the above time-limit, without having been prevented from doing so by a justified absence, the RO may decide to hold the dialogue referred to in point 3.2 in the absence of a self-assessment.</p> <p>3.2 Within 5 working days after receiving the self-assessment or lapse of the period to finalise the self-assessment, RO and TL⁷ hold a formal meeting (dialogue) with the JH to discuss abilities of the JH to perform his/her duties, efficiency and conduct in the service.</p> <p>3.3 No later than 10 working days after holding the dialogue, the TL and RO draw up the Report in the electronic tool and the RO and CO⁸ officially approve and submit or reject the assessment, providing justification for their decision (comment on the Report).</p> <p>3.4 The PP Report, which has to be made available to the Probationer at the latest one month before the expiry of the PP, shall indicate whether to:</p> <ul style="list-style-type: none"> I. Confirm the engagement (JH is retained) II. Not confirm the engagement (JH is dismissed) III. Exceptionally extend the PP

⁷ In preparation to this discussion, the HoUs receive input from Tls to whom preparatory work has been assigned

⁸ In case the ED is the RO, confirmation by the CO is not required



	<p>IV. Re-assign the probationer to lower function (applicable to CAsonly)</p> <p>The Probation Period Report is shared with the JH who shall have 8 working days in which to insert comments (RTBH)⁹, if any, in the electronic tool, on the evaluation made by the RO, and CO where applicable.</p> <p>3.5 HuCap reminds the relevant staff of the mandatory deadlines by the end of the 6th month of PP.</p> <p>3.6 The Final Probation Period Report, approved by the RO and the CO, also contains a recommendation for the ED: to confirm the JH; not confirm the JH; exceptionally extend the PP or reassign the CA to a lower function, when applicable¹⁰. Should the report recommend dismissal or, in exceptional circumstances, extension of the PP, the report and the comments should be transmitted immediately by RO to the ED¹¹. The ED will take a final decision based on the final report, the comments of the JH and the elements available to him relating to the probationer's conduct.</p> <p>3.7 Should the JH's engagement be confirmed based on the Final Probation Period Report, an e-mail confirmation with the confirmation letter approved by the ED in the electronic tool is sent by HuCap to the JH, with his RO in cc. Instructions on how to proceed with the opening of the Annual Goals are included in the mail. In case the Final Probation Period Report does not confirm JH's engagement, previously mentioned point 1.7 and point 3.9 further on shall be applied accordingly.</p> <p>3.8 In case of a reassignment, the ED shall propose, subject to establishment plan availabilities and the technical profile of the CA Probationer, reassignment within the agency corresponding to the previous function group.</p> <p>3.9 In case of a non-confirmation of the JH's engagement (dismissal) based on the Final Probation Period Report, a meeting is held between HuCap, the HoU and the JH to communicate the final outcome and to provide the non-confirmation letter signed by the ED signature together with a copy of the Final Probation Period Report. The completed Final Probation Period Report is placed in the JH's personal file in the electronic tool¹².</p>
--	---

⁹ In the absence of any response by the deadline, it will be assumed that the Jobholder does not have any comments and the report has been accepted.

¹⁰ For CAs: If the outcome of the probationary period in a new function group immediately following a previous contract in a lower function group is unsatisfactory, the ED should endeavour to identify vacant posts within the Agency corresponding to the previous function group and to the contract staff member's profile. If such vacant posts are identified, the ED may re-employ the staff member in his or her previous function group. The new contract should be concluded in the grade, step and seniority that the staff member previously had in that function group.

¹¹ Only for Officials: the ED should, within three weeks, consult the Joint Reports Committee on the action to be taken

¹² For Officials: except where he is in a position forthwith to resume employment elsewhere, a dismissed probationer shall receive compensation equal to three months' basic salary if he has completed more than one year's service, two months' basic salary if he has completed at least six months' service and one month's basic salary if he has completed



Step 4	4.0 Specific to Middle Managers – Probationary Period/Trial Period Middle Manager start ¹³ - newly recruited MM following an open competition/external selection procedure
Probationer MM, RO, HuCap, ED	<p>4.1 Newly appointed and newly recruited MM should serve a 9 month Management Trial Period, embedded in his/her PP, as a Probationer Middle Manager¹⁴. The 'taking up duty dialogue' meeting between the MM and the RO should focus on both: (i) the PP objectives and performance indicators, and (ii) the Management Trial Period objectives linked to standard managerial tasks and skills for the individual and/or the unit which she/he is managing.</p> <p>4.2 Newly appointed/recruited MM should complete a management induction course at the latest 3 months after having taken up their duties¹⁵.</p> <p>4.3 Where during the PP/Trial period, the Probationer MM is prevented from performing his/her duties for a continuous period of at least 1 month, the ED may, after hearing the MM, extend the PP/Management Trial Period for the corresponding length of time¹⁶. The RO, before recommending to the Appointing Authority the extension of the MM's PP/Management Trial Period should request HuCap to confirm the grounds for extension. HuCap replies to the RO.</p> <p>4.4 Regular check-up dialogues are set by the RO to ensure monitoring of the progress of the probationer MM in terms of performance and development, through mutual feedback exchange in an open dialogue.</p> <p>4.5 A report¹⁷ on the probationer MM may be made at any time, by the RO, before the end of the PP/Trial period if his/her work is proving obviously inadequate. Point 2.1 should be applied accordingly.</p>
Step 5	5.0 Specific to Middle Managers – Probationary Period Middle Manager – Mid Term - newly recruited MM following an open/external selection procedure
Probationer MM, HuCap, RO, CO ED	5.1 At the start of the 4 th month of the PP/Trial period, the mid-term review dialogue shall take place. The RO provides feedback to the newly appointed/recruited MM on

less than six months' service; for TAs and CAs: A dismissed member of the temporary/contract staff shall be entitled to compensation equal to one-third of his basic salary per month of probation completed.

¹³ All newly appointed MMs (including Head of Unit and Head of Department) shall serve a management trial period of nine months as a "probationer middle manager", even if they are already in service, unless they have already successfully passed such a management trial period in a previous function in the EU institutions/EU Agencies.

¹⁴ Unless they have already successfully passed such a management trial period in a previous function in the EU institutions as referred in the Article 1(a) paragraph 2 of the Staff Regulations.

¹⁵ Management courses listed in the Commission's/Agency's training catalogue or offered by the European School of Administration and followed by an applicant during the five years prior to the appointment may be validated by the appointing authority as management induction courses.

¹⁶ Extension of the Probationary Period is limited to cases of absences. The normal PPs may be extended where the Probationer is prevented by sickness, maternity leave under article 58 of the Staff Regulations, or accident from performing his duties for a continuous period of at least one month. The AA/AACC may extend his Probationary Period by the corresponding length of time. The total length of the Probationary Period cannot exceed 15 months.

¹⁷ Where a mid-term report has been established, it is advisable that a reasonable period of time (e.g., 2-3 months) be accorded to the probationer before establishing the report on the basis of obvious inadequacy, unless this clearly goes against the interest of the service (e.g., in cases of serious behavioural issues potentially affecting other colleagues).



	<p>performance and the feedback comments are discussed between the RO and MM. The mid-term review should be conducted on the basis of the previously agreed objectives and performance indicators (linked to standard management tasks/skills) for the individual and/or the unit which he is managing. Based on the outcome of the feedback discussion, the mid-term report is drawn up by the RO and shared with the JH who acknowledges receipt of the report in the electronic tool within 5 working days from reception of the notifications.</p> <p>5.2 In case of unsatisfactory mid-term review, the report shall be approved by a CO, unless the RO is the ED. Where the RO is the ED, there shall be no CO. If there is disagreement between the CO and RO, the CO shall bear final responsibility for this report.</p> <p>5.3 If there is disagreement on the conclusions of the mid-term report, within 5 working days of receipt of the report, the Probationer MM may request the ED to designate two heads of unit in the Agency who are the most senior in the highest grade to give their opinions to the ED:</p> <ol style="list-style-type: none"> I. In such case, within 5 working days from receipt of the mid-term report the Probationer MM shall send an email to the ED, cc the RO and HuCap, stating the reason for disagreement and request the ED to designate two HoUs in the Agency to give their opinions to the ED. II. Within 5 working days from reception of the Probationer MM email the ED takes note of the Probationer MM reasons for disagreement and designates the two HoUs who shall give their opinions to the ED. III. Within 10 working days from reception of the ED nomination, the designated HoUs will review the mid-term report, meet with the parties concerned, and provide their opinion to the ED on the Probationer MM mid-term report. The mid-term report is sent by the designated HoUs to the ED. IV. Within 5 working days from the opinion of the designated HoUs the ED shall take a final decision based on the mid-term report, the Probationer MM's reasoning and the opinions of the designated HoUs. V. The mid-term report, as confirmed or modified by the ED, shall be communicated to the Probationer MM and as such shall be considered final. <p>5.4 The timelines above are indicative without prejudicing the procedure. The procedure should be completed by the end of the 5th month at the latest.</p> <p>5.5 In the absence of any response within the time limit referred to above of 5 days, the report is closed.</p> <p>5.6 Where the outcome of the mid-term report is unsatisfactory,</p>
--	---



	<p>the RO should identify the specific areas of concern and enhance support to the Probationer MM, as appropriate related to the deficiencies identified in management ability: provide more comprehensive guidance, could offer additional trainings, mentor etc.</p>
<p>Step 6</p>	<p>6.0 Specific to Middle Managers – Probationary Period Middle Manager end - newly recruited MM following an open/external selection procedure</p>
<p>Probationer MM, HuCap, RO, CO ED</p>	<p>6.1 No later than 2.5 months before the end of the PP/Trial period, the “Probationary Period Final Report – Middle Managers” is kicked off. The Probationer MM is requested to draw up a self-assessment considering the following categories, i.) efficiency, ii.) the ability demonstrated to perform the duties pertaining to his post and iii.) his/her conduct, linked to the set PP Objectives and standard managerial tasks and skills, in the service during the probation period and submits it to the RO within 10 working days via the electronic tool from reception of the notifications.</p> <p>6.2 After receiving the self-assessment the RO follows the usual procedure and time-lines for PP described in the steps above, within 5 working days from reception of the report, the formal dialogue meeting is held with the Probationer MM, after which the RO has 10 working days to prepare the Final PP/Trial period report shall indicate whether to:</p> <ul style="list-style-type: none"> I. Confirm the engagement II. Not confirm the engagement III. Exceptionally extend the PP <p>In case of unsatisfactory assessment, the report shall be approved by a CO, unless the RO is the ED. Where the RO is the ED, there shall be no CO. If there is disagreement between the CO and RO, the CO shall bear final responsibility for this report.</p> <p>The RO submits the assessment in the electronic tool and shares it with the CO where applicable, that officially approve and submit or reject the report, providing justification for their decision.</p> <p>6.3 The final assessment is shared with the probationer MM no later than one month before the expiry of the trial period, who shall have 8 working days in which to insert comments (RTBH), if any, in the electronic tool, on the evaluation made by the RO, and CO where applicable. Comments provided by the Probationer MM when the outcome is positive can be discussed during the opening of the Annual Goals.</p> <p>6.4 The completed report also contains a recommendation for the ED to confirm, not confirm, or exceptionally extend the Final Managerial report for the MM¹⁸. The decision of the ED</p>

¹⁸ As regards officials, if it recommends dismissal or, in exceptional circumstances, extension of the management trial period, the ED should within three weeks, consult the Joint Reports Committee on the



	<p>should be taken on the basis of this assessment as well as on the basis of elements at his disposal relating to the MM's conduct.</p> <p>6.5 In case of a recommended non-confirmation of the contract, the ED shall organise a meeting with the Probationer MM within 5 working days from receiving the managerial report and shall take the final decision within 5 working days after hearing the Probationer MM concerned. The timelines above are indicative without prejudicing the procedure. The process should be completed by the end of the 8th month at the latest.</p> <p>6.6 In case of a non-confirmation of the Probationer MM's engagement (dismissal) based on the Final managerial report a meeting is held between HuCap HoU and the Probationer MM to communicate the final outcome and to provide the non-confirmation letter signed by the ED together with a copy of the Final PP and the Management Trial Period Report.</p> <p>6.7 For Probationer MM, should the outcome be positive, an e-mail confirmation with the confirmation letter approved by the ED in the electronic tool is forwarded from HuCap to the successful MM, with his/her RO in cc. Instructions on how to proceed with the opening of the PD are included in the mail.</p>
<p>Step 7</p>	<p>7.0 Specific to Middle Managers – Managerial Trial Period Start - <u>Officials/TAs</u> already in service</p>
<p>MM, HuCap, RO, ED</p>	<p>7.1 Newly appointed MM should serve a 9-month Management Trial Period as a Probationer Middle Manager¹⁹. The 'taking up duty dialogue' meeting between the MM and the RO should focus on the objectives and performance indicators linked to standard managerial tasks and skills for the individual and/or the unit which she/he is managing .</p> <p>7.2 The RO opens objectives for the MM on the Management Trial Period for the remaining months of the calendar year. The RO and MM meet to agree and set MM objectives with corresponding KPIs and JP aligned with Dept/Unit goals and EFSA strategy. The performance indicators should include management tasks/competencies for the individual and/or the unit which he is managing.</p> <p>7.3 The MM objectives and JP are formalised in the electronic tool and accepted by the RO and MM.</p> <p>7.4 The newly appointed MM should complete a management induction course at the latest 3 months after having taken up their duties²⁰.</p> <p>7.5 Where during the Managerial Trial Period, the MM is prevented from performing his/her duties for a continuous period of at least 1 month, the Appointing Authority may, after hearing the MM, extend the Management Trial Period for</p>

action to be taken.

¹⁹ Unless they have already successfully passed such a management trial period in a previous function in the EU institutions as referred in the Article 1(a) paragraph 2 of the Staff Regulations

²⁰ Management courses listed in the Commission's/Agency's training catalogue or offered by the European School of Administration and followed by an applicant during the five years prior to the appointment may be validated by the appointing authority as management induction courses.



	<p>the corresponding length of time ²¹ . The RO before recommending the Appointing Authority the extension of the MM’s Trial Period should request HuCap to confirm the grounds for extension. HuCap replies to the RO with the HRBPs in cc.</p> <p>7.6 Regular check-up dialogues are set by the RO to ensure monitoring of the progress of the MM in terms of performance and development, through mutual feedbackexchange in an open dialogue.</p>
Step 8	8.0 Specific to Middle Managers –Managerial Trial Period Mid Term - Officials/TAs already in service
MM, HuCap, RO, CO, ED	<p>8.1 At the start of the 4th month a Management Trial Period mid-term dialogue takes place. The RO report provides feedback tothe MM on performance to date of the Management Trial Period. Feedback comments are discussed between the RO and MM on trial. The mid-term review should be conducted on thebasis of the previously agreed objectives and performance indicators (linked to standard management tasks/skills) for the individual and/or the unit which he is managing. Based on the outcome of the feedback discussion, the MM on trial mid-term report is drawn up by the RO and shared with the JH who acknowledges receipt of the report by signing within 5 working days from reception of the notification.</p> <p>8.2 In case of unsatisfactory mid-term Management Trial Period Report, the report shall be countersigned by a CO, unless the RO is the ED. Where the RO is the ED, there shall be no CO. If there is disagreement between the CO and RO, the CO shall bear final responsibility for this report.</p> <p>8.3 If there is disagreement on the conclusions of the mid-term Management Trial Period Report, within 5 working days of receipt of the report, the MM may request the ED to designate two heads of unit in the Agency who are the most senior in the highest grade to give their opinions to the ED.</p> <p>I. In such case, within 5 working days from receipt of the mid-term Management Trial Period report the MM shall send an email to the ED, cc the RO and HuCap, stating the reason for disagreement and request the ED to designate two heads of unit in the Agency to give their opinions to the ED.</p> <p>II. Within 5 working days from reception of the email, the ED takes note of the MM reasons for disagreement and designates the two HoUs who shall give their opinions to the ED.</p> <p>III. Within 10 working days from reception of the ED nomination, the designated HoUs will review the mid-term Management Trial Period report, meet with the parties concerned, and provide their opinion to the ED in MM mid-term Management Trial Period report. The</p>

²¹ Extension of the Trial Period is limited to cases of absences. The normal trial period may be extended where the Probationer is prevented by sickness, maternity leave under article 58 of the Staff Regulations, or accident from performing his duties for a continuous period of at least one month. The ED may extend his Trial Period by the corresponding length of time. The total length of the Trial Period cannot exceed 15 months.



	<p>mid- term Management Trial Period report is sent by the designated HoUs to the ED.</p> <p>IV. Within 5 working days from the opinion of the designated HoUs the ED shall take a final decision based on the mid-term Management Trial Period report the MM reasoning and the opinions of the designated HoUs.</p> <p>V. The mid-term Management Trial Period report, as confirmed or modified by the ED, shall be communicated to the MM and as such shall be considered final.</p> <p>The timelines above are indicative without prejudicing the procedure. The procedure should be completed by the end of the 5th month at the latest.</p> <p>8.4 In the absence of any response within the time limit referred to above of 5 days, the report is closed.</p> <p>8.5 Where the outcome of the mid-term Management Trial Period report is unsatisfactory, the RO should identify the specific areas of concern and enhance support to the MM, as appropriate related to the deficiencies identified in management ability: provide more comprehensive guidance, could offer additional trainings, mentor etc. The original documents are placed in the MM’s personal file in the electronic tool.</p>
<p>Step 9</p>	<p>9.0 Specific to Middle Managers – Managerial Trial Period End - Officials/TAs already in service</p>
<p>MM, HuCap, RO, CO, ED</p>	<p>9.1 No later than 2.5 months before the end of the Management Trial Period, the Final Management Trial Period Report is kicked off.</p> <p>9.2 The RO draws up the final assessment considering, the management competencies, linked to standard managerial tasks and skills, in the service during the annual appraisal and middle manager trial period and gives his opinion on whether the MM has the managerial ability necessary to remain in the function or not. In case of unsatisfactory final assessment, the report shall be approved by a CO, unless the RO is the ED. Where the RO is the ED, there shall be no CO. If there is disagreement between the CO and RO, the CO shall bear final responsibility for this report.</p> <p>9.3 The Final Management Trial Report, which has to be made available to the MM at the latest one month before the expiry of the Management Trial Period, shall indicate whether the MM on trial is successful or not in his role. The report is approved in the electronic tool by the RO and by the CO, only if the assessment is unsatisfactory.</p> <p>9.4 The final assessment and outcome is shared by the RO and discussed with the MM on trial, who shall have 8 working days from reception of the notification in which to acknowledge the comments made by the RO and, where applicable, comments made by the CO and to provide his/her comments, if any (RTBH). Comments provided by the MM when the outcome is positive can be discussed during the opening of the next PD</p>



	<p>objectives. Where the outcome is negative, HuCap facilitates the RTBH with the ED, respecting deadlines.</p> <p>9.5 The file is circulated to the ED for decision. The finalised report also contains a recommendation of the ED to confirm or reassign.</p> <p>9.6 For MM, should negative opinions be expressed by the RO and CO with regards to the managerial ability necessary to remain in the function, the ED designates a Rapporteur and organises a meeting with the MM within 5 working days of receipt of the file.</p> <p>9.7 The Rapporteur shall, after reviewing the mid-term managerial report and the final managerial report, verify whether the assessment procedure has been respected and whether the Final Managerial report has been drafted in a coherent manner and shall provide his opinion to the ED within 5 working days from reception of the report, which may:</p> <ul style="list-style-type: none">I. Propose the MM be offered another management function, in this case additional training and support could be offered to the MM, as appropriate related to the deficiencies in management abilityII. Confirm that the temporary staff be reassigned to a non-management function. <p>9.8 The ED shall take the final decision, within 5 working days from reception of the report based on the Final Management Trial Period Report, the opinion of the Rapporteur and after hearing the MM concerned.</p> <p>9.9 In case of a reassignment, (an internal or an inter-agency mobility) if the trial management period is deemed to have been unsuccessful, the ED, shall propose, subject to establishment plan availabilities and the technical profile for the MM reassigned to a non-management function.</p> <p>9.10 If at the end of the process the management trial period is deemed to have been unsuccessful a meeting is held between HuCap HoU and MM to communicate the final outcome and to provide the non-confirmation letter signed by the ED together with a copy of the Final managerial report.</p> <p>9.11 For MM should the outcome of the management trial period be positive, an e-mail confirmation with the confirmation letter approved by the ED in the electronic tool is forwarded to the successful MM from HuCap, with his/her RO in cc. Instructions on how to proceed with the opening of the PD are included in the mail.</p> <p>The original signed documents related to Management Trial Period are kept in the MM's personal file in the electronic tool.</p>
--	---



ANNEXES

Note on the processing of personal data in the context of staff performance management.