



Title of document: Checklist of non-mandatory input to annual management review		Annex III to SOP/EMA/0029: conducting the annual management review
Applies to: all EMA staff and management		Document ref.: EMA/6322/2006
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NON-MANDATORY REPORTING ELEMENTS TO FEED INTO THE MANAGEMENT REVIEW

- Non-mandatory elements are defined as reporting which is conducted as part of the ongoing monitoring of activities, but which are only required as input for the management review if there are issues/deviations that need reporting and which may result in action from top management, e.g. allocation of staff or other resources which will need to be taken into account in the budget and business planning process.
- The check-list below is intended to serve as a reminder. The list should be considered non-exhaustive. The relevant sector or unit is invited to complete the list by adding other reports that may need to feed into the management review to the checklist.
- It is recommended that an annual review of the checklist be carried out, to ensure that it is up-to-date and covers actual reporting carried out.
- The timing of the individual reporting element should be indicated in the column headed 'timing'. This should be set in view of the timing of the overall management review, as decided by top management at the beginning of each year; and other deadlines and tasks of the respective unit/sector.
- The responsible unit/sector is invited to use the checklist as part of their planning tools and indicate timings/deadlines as appropriate.
- One-page executive summaries of each of the various reporting elements should be prepared, to include suggested action and estimated resource implications.

	NON-MANDATORY REPORTING ELEMENTS	RESPONSIBILITY	TIMING
1	Conduct staff motivation questionnaire exercise. Report initial findings and outcomes. Conduct unit/sector-specific exercise. Include summary of feedback from previous actions, and suggestions for	ICOMS All units and sectors	SMQ in SEP/OCT.

	future actions to top management.		
2	Conduct industry survey (Human and Veterinary Units) Report main outcomes, feedback of previous actions, and suggestions for future actions to top management.	Human Units Veterinary Unit	
3	Conduct delegates survey Report main outcomes, feedback of previous actions, and suggestions for future actions to top management.	MM&C	
4	Other stakeholders surveys (physicians, patients, veterinary surgeons, etc) (e.g. press)	Human Units Veterinary Unit Directorate	
5	Conduct review of sensitive function (ref. ICS no. 5). Report main outcomes, feedback of previous actions, and suggestions for future actions to top management.	ARM co-ordinator Administration Unit	
6	Conduct <i>ex-post</i> and <i>ex-ante</i> evaluations (ref. ICS no. 23) Report main outcomes, feedback of previous actions, and suggestions for future actions to top management.	All sectors	Sectors to plan in function of other tasks
7	Conduct <i>ex-post</i> controls (ref. ICS no. 17) Report main outcomes, feedback of previous actions, and suggestions for future actions to top management.	All sectors	Sectors to plan in function of other tasks
8	Conduct <i>ex-ante</i> checks of all transactions with financial implications. Record exceptions (ICS no. 18) and internal control weaknesses (ICS no. 20). Report main outcomes from year N, feedback of previous actions, and suggestions for future actions to top management.	Verifying service	Ongoing Annual report in 1 st quarter of year N+1
9	Conduct various staff related surveys (e.g. absence, sick leave, mobility, staff turnover etc.). Report main outcomes, feedback of previous actions, and suggestions for future actions to top management.	Personnel and Budget Sector	
10	Establish mid-year report on orphan medicines. Report main outcomes, feedback of previous actions, and suggestions for future actions to top management.	SAOD Sector	Deadline: JUN(?)
11	Conduct health and safety audit in accordance with applicable legislation. Report main conclusions and suggestions to top management.	ISERV	
12	Budget monitoring reports Report main outcomes, feedback of previous actions, and suggestions for	Personnel and Budget Sector	Months APR, JUL, SEP, NOV

	future actions to top management.		
13	Report on any additional outcomes/matters which is deemed to require additional resources and/or budget allocations.	All sectors and units	In time for management review.
14	Add other/new items		
15	Add other/new items		