



European Securities and
Markets Authority

Guidelines

Candidates guidelines - recruitment

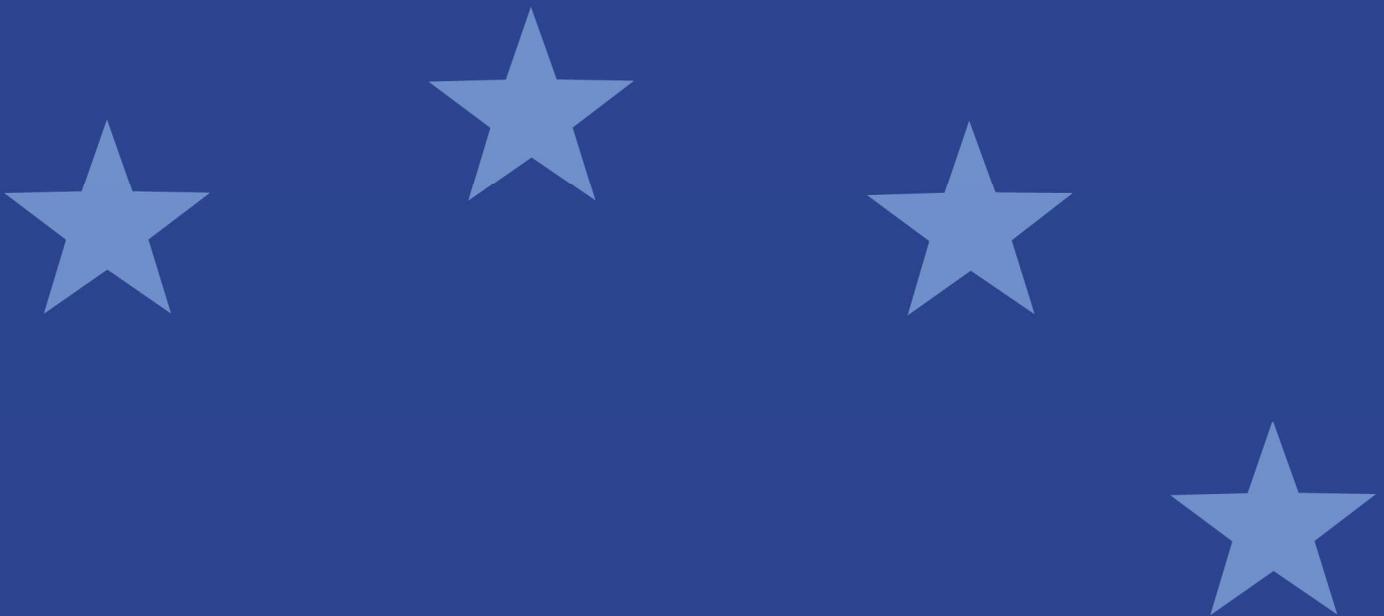




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1. INTRODUCTION

As a potential candidate for any type of position (temporary agent, contract agent and seconded national expert) launched by ESMA, you will find below information to facilitate your application and guide you through the recruitment process. You will also learn how your application will be treated and which kind of communication you can expect from us.

The legal basis for recruitments is set out in the Staff Regulations (SR) and the Conditions of Employment for Other Servants of the European Union (CEOS)¹. ESMA recruits its employees under two types of contract, that of temporary agent (TA) on the basis of Article 2(f) of CEOS and contract agent (CA) on the basis of Article 3(a) of the CEOS.

Trainees programme and Seconded National Experts' rules are governed by the ESMA Management Board Decision, also published on our website.

Applicants interested in traineeships should consult our website www.esma.europa.eu for more information on the procedure to follow.

2. PRINCIPLES OF SELECTION

Our aim is to ensure that the recruitment is based on the principles of competence, transparency and equal treatment.

- **Competence**

Technical and behavioural competences will be assessed according to the specific requirements listed in the vacancy notice (VN).

- **Transparency**

Each recruitment process will be documented. As a candidate you will have access to your relevant assessment, upon request and within a reasonable timeframe. See further information under 5.1 "Feedback information".

Upon recruitment, the selected candidate will be required to make a declaration of commitment to act independently in the public interest and to make a declaration in relation to the interests that might be considered prejudicial to his/her independence.

- **Equal Treatment**

The selection process will be non-discriminatory and will be based upon a **comparison of the merits of all candidates**. The most suitable candidates will be selected in line with the criteria outlined in the VN. ESMA applies a policy of equal opportunities and accepts applications without bias on the grounds of gender, race, colour, ethnic or social origin, genetic characteristics, language, religion or belief, political or any other opinion, belonging to a national minority, financial situation, birth, disability, age, sexual orientation, marital status or family situation.

The selection process will be directed towards achieving the broadest possible range of nationalities from among EU Member States and the countries in the European Economic Area (EEA). No nationality quota will apply. A balanced representation of men and women among ESMA staff is considered to be desirable.

¹ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CONSLEG:1962R0031:20140101:EN:PDF>



In the event that candidates have equal qualifications, gender and/or nationality may be used as additional criteria for the selection decision. Applicants and selected candidates who may have special requirements, (e.g. for reasons of disability) will be reasonably accommodated.

3. ELIGIBILITY CRITERIA – WHO CAN APPLY?

The ESMA vacancies are open to applicants who satisfy all eligibility criteria by the closing date for the submission of applications.

The eligibility criteria comprise a set of formal requirements which applicants **must fulfil** in order to be eligible for a specific selection procedure. These criteria are listed in part “A” of each vacancy notice.

3.1. Professional qualifications

The eligibility criteria regarding education and work experience are **variable** and depend on the function group, grade and profile of the specific selection procedure.

In order to be eligible for a specific selection procedure, applicants must have the required level of education and, if applicable, the duration of professional experience as set out in the VN.

The duration of professional experience required in the VN will be counted from the date on which the applicant acquired the **minimum qualification**² granting admittance to the profile in question/given recruitment function group (e.g. secondary certificate or post-secondary diploma for AST profiles, university degree for AD profiles or if applicable, professional training in a relevant technical domain).

When calculating professional experience, only duly documented professional activities³ can be taken into account. Details of experience and of any work placements, training, research or studies must be given in the CV. Moreover, the exact dates (day/month/year) of obtaining any diploma(s) and exact start and end dates (day/month/year) of any professional experience claimed must be indicated. In case of part-time professional experience, the number of hours worked per week should be indicated.

If a candidate worked at the university (e.g. teaching assistant) while studying towards PhD, this period can be taken into account for calculation of work experience. The candidate needs to provide a proof (a certificate/work contract) of PhD studies. The period is subject to an upper limit of three (3) years, on the condition that PhD studies have been completed and a diploma was awarded.

Free-lance or self-employed applicants must provide either a practicing certificate (or equivalent), or a copy of the entry in the relevant trade register, or any other official document (for example a tax document) showing clearly the length of the relevant work experience.

Compulsory military service shall also be counted as work experience, and should likewise be documented.

Only education certificates issued by competent authorities of an EU Member State, or recognised as equivalent by those authorities, are accepted. If studies took place outside the European Union, the applicant's qualification must have been recognised by a body officially delegated for this purpose by one of the EU Member States (such as a national Ministry of Education) and a document attesting so must also be submitted. At any stage of the selection procedure, applicants may be required to provide documents in support of claimed educational certificates and/or work experience.

² See Annex 1 for more information.

³ Supporting documents to be provided (attestations, work contracts with start/end end dates).

3.2. Other eligibility requirements

The other eligibility criteria⁴, apart from education and experience requirements, which are mentioned in part "A" of VN, are **fixed** and identical for all selection procedures.

The applicant must:

- Be a national of a Member State of the European Union or the EEA, unless otherwise indicated in the specific VN;
- Enjoy full rights as a citizen⁵;
- Have fulfilled any obligations imposed by the laws concerning military service⁶;
- Produce the appropriate character references as to their suitability for the performance of their duties;
- Be physically fit to perform duties⁷;
- Have a thorough knowledge of one of the official languages of the European Union and a satisfactory⁸ knowledge of another official language of the European Union⁹.

Failure to comply with one or more of the eligibility criteria will result in disqualification of the concerned applicant.

4. OVERVIEW OF SELECTION PROCEDURE

4.1. How to apply

For any open position at ESMA, candidates are advised to check our website www.esma.europa.eu. All VNs are published on ESMA's website for a period of at least 4 weeks. They are also published on European Personnel Selection Officer's (EPSO) website www.epso.europa.eu and may be published on other relevant websites and/or magazines/newspapers, as appropriate.

Candidates must submit their application via email to vacancies@esma.europa.eu, clearly stating in the subject the VN reference number they are applying for. For each sent applications, candidates will receive an automatic acknowledgement of receipt. It is important that the application will be sent before the application deadline which is clearly stated in the VN. Applications sent after the application deadline will not be considered. Only electronic applications submitted via email will be accepted. Applications emailed to any other email addresses will not be considered.

The application must include CV and letter of motivation in English (working language of ESMA) or as otherwise stated in the vacancy notice. The application documents must be named accordingly to the reference number of the vacancy notice (see templates below). English is ESMA's working language for

⁴ According to the Article 12, 13 and Article 82(3), 83 of the CEOS

⁵ Prior to the appointment, the successful candidate will be required to provide a police certificate confirming the absence of any criminal record.

⁶ If applicable.

⁷ Before the appointment, the successful candidate shall be examined in a medical centre indicated by ESMA in order to confirm that the requirements of Article 12(2) (d) of the CEOS of EU are met.

⁸ At least at the level of B2, according to the Common European Framework of Reference for Languages

http://www.coe.int/t/dg4/education/elp/elp-reg/Source/Key_reference/CEFR_EN.pdf

http://www.coe.int/t/dg4/education/elp/elp-reg/cefr_EN.asp

⁹ In addition, in order to be eligible for their first promotion, staff members have to have a working knowledge of a third EU language, as described in the applicable Staff Regulations and Implementing Rules (Article 45 (2) of the Staff Regulations).



internal and external communication; therefore, the ability to communicate in that language is an essential requirement in all profiles.

1. a detailed curriculum vitae in European format, saved as follows:
ESMA_201Y_VACx_ADx_FAMILY NAME_First name_CV

2. a motivation letter¹⁰ (maximum of 2 pages), saved as follows:
ESMA_201Y_VACx_ADx_FAMILY NAME_First name_Motivation

Subject: **ESMA_201Y_VACx_ADx_FAMILY NAME_First name**

Applications for previous selection procedures will not be considered; therefore, you need to provide your updated application for each specific vacancy notice you intend to apply to.

Be aware that we are unable to consider any unsolicited application whether received by post or by e-mail. Only applications sent in response to a specific vacancy notice will be considered. Application incomplete, without CV or motivation letter, will not be accepted.

As a candidate you are invited to assess and check before submitting your application whether you fulfil all the conditions for admission laid down in the VN, particularly in terms of eligibility criteria, qualifications required and relevant professional experience.

In order to facilitate the evaluation of applications, all candidates are strongly advised to indicate in their application documents (CV/motivation letter) the detailed information on their professional/educational experience (start/end dates).

Applicants may withdraw their application at any time.

The selection procedure may take up to several months from the date on which a vacancy notice is first advertised to the final offer being made. Please note that no information will be released during this period. All queries or requests for information in relation to a selection procedure should be addressed to the ESMA HR team at vacancies@esma.europa.eu

In order to check the status of the selection procedure, applicants are invited to consult regularly the follow up table "Status of ESMA vacancies" under <http://www.esma.europa.eu/page/Vacancies-0>

4.2. Selection Committee

For each selection procedure, ESMA Executive Director appoints a Selection Committee consisting of minimum four members (Chair, Member, Staff Committee Representative and HR representative). The Selection Committee members will evaluate each application in accordance with the requirements outlined in the VN.

One or more observers/external experts (outside/ from EU bodies) may also be appointed to the Selection Committee, and in that case can also be present at the Selection Committee meetings.

In order to comply with the European Ombudsman's guidelines, the composition of the Selection Committee members and their alternates will be published on ESMA's website sufficiently in advance of interviews, to the public knowledge and also to the candidates' information. Any attempt made by a candidate or third parties to contact or influence a Selection Committee member/alternate, will result in disqualification of the candidate from the selection procedure.

¹⁰ Candidate should explain why is interested in the post and what her/his added value would be to the Authority, if selected

The principle of confidentiality is embedded in Article 6 of Annex III to the Staff Regulations, which states that the proceedings of the Selection Committee must be secret. It works in two ways: first, it imposes obligations to ensure equal treatment for candidates; and second, it seeks to protect the Selection Committee to ensure that its decisions are totally impartial. For this reason, applicants are strictly forbidden to contact members of the Selection Committee.

4.3. Evaluation of applications

Applications are evaluated against the requirements listed under the part 3 “Professional qualifications and other requirements” of the VN (part A & B) and the **comparative assessment** of applications is performed in two stages:

4.3.1. Pre-screening phase (eligibility criteria check)

After the closing date for application, each application received within the published deadline is checked and it's verified whether the applicant meets the eligibility criteria (part “A” of the VN). Depending on the VN published (function group and grade of the position), a set of professional qualifications and fixed criteria must be met. For more information on pre-screening process, please check the paragraph 3. “Eligibility criteria” of this guideline document.

4.3.2. Screening phase (selection criteria check)

Only these applications (CVs/motivation letters) which fulfil all eligibility criteria, by the deadline specified in the VN, are then further assessed and scored against the selection criteria (part “B” of the VN).

The part “B” of the VN is made out of 3 types of selection criteria:

(B.1) – Essential requirements: these are the criteria which list core requirements for the position published (e.g. specialised education/training, years of relevant work experience in a specific function and any other specific requirements etc.). Moreover, the fixed criterion “Excellent command of both oral and written English” is listed in all VNs.

(B.2) – Advantageous requirements: these are any additional requirements, which are not core for the post published (e.g. knowledge or experience in a specific field, multicultural experience, good command of French etc.). Moreover, the fixed criterion “Motivation for applying for the advertised position” is listed in all VNs.

(B.3) – Supplementary requirements: these are any behavioural competences needed for the post published (e.g. organisation skills, dynamic and proactive personality, sense of initiative and ability to work independently, team work attitude, communication skills etc.).

The goal of the Selection Committee is to evaluate applications, in an objective, impartial and transparent manner, and identify the shortlisted candidates to be invited for interviews and test.

The screening and evaluation is done in two parts:

4.3.2.1. Screening of applications: Essentials (B.1) & Advantageous¹¹ (B.2) selection criteria

The ways of evaluation can vary and depend on the information stated in the respective VN. Candidates are advised to check carefully the information stated in VN on the assessment of selection criteria.

¹¹ Constitute additional assets and will not result in exclusion, if not fulfilled

Essentials criteria (B.1) may be indicated in the VN as obligatory requirements, which means that non-compliance with at least one of the Essentials will result in the exclusion of the candidate from the selection process. Only those candidates who fulfil all Essential criteria will then be further evaluated against Advantageous criteria (B.2).

In some VNs the above mentioned requirement may not be requested, and eligible candidates will then be scored both against Essentials (B.1) and Advantageous (B.2) criteria.

In overall, as a result, candidates who reached at least 65% of the maximum points and obtained the highest number of points within this evaluation will be then shortlisted and invited for interviews and written tests. Generally, the VN includes the indication of the number of candidates that is envisaged to be invited for interviews and tests.

4.3.2.2. Interview/written test phase: Essentials (B.1) & Advantageous (B.2) & Supplementary (B.3) selection criteria

Candidates invited to the interviews and written test will be assessed against the selection criteria (part “B” of the VN).

The supplementary requirements (B.3) aim to assess (mainly through oral interview) the behavioural competences (soft skills) of a candidate needed for the published position.

Candidates who receive at least 65% of the maximum points for both the interview and the written test will be included in the reserve list of suitable candidates. Please note that inclusion in the reserve list does not guarantee recruitment.

4.4. Interviews and written tests

During the interview, the Selection Committee assesses the adequacy of the applicants’ skills to the post in question according to the selection criteria (part B) published in the vacancy notice (the interview will be marked out of 100; pass mark: 65).

The selected candidates are required to sit a written test¹², related to the job profile and the selection criteria (part B). Written tests are designed to test technical knowledge of candidates, as well as their ability to understand, analyse, summarise and draft in English, or in other languages if appropriate (this test will be marked out of 100; pass mark: 65). Candidates who don’t pass the written test, will not be evaluated via oral interview.

The interviews will be held in English. Please note that second language of the applicant may be tested during the interviews¹³.

At any time of the selection procedure, it is possible for the Selection Committee and/or Executive Director of ESMA to contact candidates or schedule additional interviews/phone interviews/tests.

4.5. Supporting documents

Applicants invited to interviews are requested to present, on the day of the interview, originals of their diploma(s) and evidence of their professional experience¹⁴, clearly indicating the starting and finishing

¹² The written test will be assessed in an anonymous way by the Selection Board Members.

¹³ In order to comply with the eligibility criterion on satisfactory level of 2nd language (see the footnote 6).

¹⁴ In order to verify the eligibility check.



dates, and the working regime. If, at any stage in the procedure, it is found that information provided by a candidate is incorrect, that candidate shall be disqualified.

4.6. Reserve list and appointment

Interviewed candidates are ranked by the Selection Committee by order of merit. Candidates who don't reach the pass mark 65/100 in either oral or written test cannot be placed on the reserve list of successful candidates. As a result of the interviews, the Selection Committee proposes the reserve list of successful candidates.

The Appointing Authority (ESMA Executive Director) takes the decision on the establishment of the reserve list of successful candidates, and on the offer of contract of employment to candidates included in the reserve list. **Candidates should note that the inclusion on the reserve list does not guarantee recruitment.**

The validity of the reserve list is indicated in the vacancy notice (as a rule valid until the end of the following year, from the date of the signature of the decision - 31st December n+1). The validity of the reserve list may be extended if deemed necessary. To check the validity of a reserve list or current status of selection procedure, applicants are invited to consult the following document at the ESMA vacancies website "Status of ESMA vacancies".

The established reserve list may be used later on for the recruitment of a similar post depending on the needs of ESMA. Where a similar post becomes available, the Authority may select applicants from the list according to their profile in relation to the specific requirements of the post to be filled.

5. GENERAL INFORMATION

5.1. Feedback information

Applicants receive all communications and notices concerning the selection procedure they have applied for via email. Applicants are advised to check their mail regularly to see whether they have received any communication and also to notify ESMA in the event of any change in their contact details. Moreover, the status of each vacancy is published also on our website.

Different types of communication letters are sent to the candidates (offer letter, reserve list letter, not placed on the reserve list letter, general no letter/not invited for interviews/not eligible).

The candidates who after the screening phase are not shortlisted for interview and written test (see paragraph 4.3.2.1) will be notified about it via email during the course of selection procedure.

The candidates invited for interviews are informed about the status of their own application only once the reserve list is established (individual assessment, written exercises as produced, if applicable, or other selection tools which were part of the recruitment procedure).

Applicants will not have access to the assessment and recommendations which relate to the comparative elements of the selection procedure.

All enquiries or requests for further information or documentation in relation to a selection procedure should be addressed to ESMA HR team at vacancies@esma.europa.eu

5.2. Approximate timing of each selection procedure



As a rough guide only, the recruitment procedure can take up to 3-4 months from the date on which a position is first advertised to the final offer being made.

After the deadline for submitting application, candidates may expect the following timing, unless exceptional circumstances will require a delay:

1. Assessment of applications and shortlisting will happen within two-three weeks after application deadline;
2. Interviews/written tests will normally happen two-three weeks after the assessment;
3. Evaluation meeting will normally take place few days after the interviews/written tests.

In order to continue providing this timely outcome, we rely on candidates' availability and flexibility to come to Paris for interviews. Candidates invited for interviews are given normally 2 weeks prior notice. In order to facilitate this, candidates are reminded to provide us with up-to-date contact details (mobile phone number, email address, etc.). As much as possible, we will try to accommodate candidates' requirements, though we ask for understanding when it is not possible to offer another slot for interviews, due to the difficulty of finding alternative slots with the Selection Committee at short notice.

5.3. Reimbursement of travel expenses

Travel expenses incurred for interviews and pre-employment medical examinations will be reimbursed accordingly to ESMA travel expenses reimbursement rules. Applicants are kindly requested to take careful note of these provisions and provide HR team with all necessary forms (legal and bank forms - LEF/BAF) and supporting travel documents. Incomplete travel documents/forms may result in a delay in reimbursement of travel costs.

5.4. Conditions of employment

➤ Contract

ESMA can offer temporary agent's contracts for up to three years with possibility of extension if stated in the vacancy announcement, contract agent's contracts up to three years with possibility of extension if stated in the vacancy announcement and seconded national expert agreements up to 24 months with possibility of extension. The length of the contract will be specified in the VN.

If you are among successful candidates, you may receive the offer of a contract as described in the VN. After receiving the offer, the candidate should provide HR with all necessary documentation proving his/her eligibility (as stated in the VN: education, work certificates etc.) and undergo the pre-employment medical check (the results of the medical check can be received within 2 weeks). Once all the documents are provided, the contract of employment can be prepared.

If a candidate rejects the offer, s/he will be removed from the reserve list.

➤ Probationary period

If you accept the offer you will undergo an initial probationary period of 9 months (for temporary and contract agents). Seconded national experts have no probation period.

➤ Pay and welfare benefits for temporary and contract agents

If you are recruited as a temporary or contract agent, your remuneration will consist of a basic salary supplemented with various allowances, including family allowances if applicable.



Basic Salary: there is a basic salary scale for each grade, divided into a number of seniority steps. Staff members progress automatically to the next seniority step every two years until they reach the top of the scale for that grade.

Allowances: In addition to their basic salary, staff members may be entitled to various allowances, in particular an expatriation allowance, and family allowances, including household allowance, dependent child allowance, pre-school allowance and an education allowance.

Under certain circumstances, in particular where staff members are obliged to change their place of residence in order to take up employment, ESMA may also reimburse various expenses incurred on recruitment, notably removal expenses.

You may be entitled to receive an installation allowance upon proof of moving to Paris. This is corresponding to the amount of 1 month of basic salary (doubled if you move with your family). Furthermore, you may be entitled to receiving a daily subsistence allowance for the first 4/7/10 months after taking up duty in Paris. The travel costs for taking up duty at ESMA will be reimbursed if the requested documentation (tickets, etc.) is provided.

For further information on the respective conditions, please consult the ESMA website www.esma.europa.eu and/or the EC website http://ec.europa.eu/dgs/human-resources/publications_en.htm

5.5. Protection of personal data

ESMA will ensure on its part that applicants' personal data are processed as required by Regulation (EC) No. 45/2001¹⁵ of the European Parliament and of the Council of 18 December 2000, on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. This applies in particular to the confidentiality and security of such data.

Applicants' application and supporting documents will not be returned. They will be kept on file by ESMA for limited period of time. For more information please consult "privacy policy notice" published on the ESMA website.

5.6. Appeal procedure

If, at any stage of the selection procedure, an applicant considers that his/her interests have been prejudiced by a particular decision, s/he can take the following action:

- Lodge an **administrative complaint** under Article 90(2) of the Staff Regulations of Officials of the European Union, by sending it to ESMA address/HR and quoting the job title and reference number of the selection procedure;
- Make a complaint to the **European Ombudsman**:

European Ombudsman
1 avenue du President Robert Schuman
CS 30403
67001 Strasbourg CEDEX
France
<https://www.ombudsman.europa.eu>

¹⁵ http://eur-lex.europa.eu/smartapi/cgi/sga_doc?smartapi!celexplus!prod!CELEXnumdoc&numdoc=32002D1247&lg=en

Please note that complaints made to the Ombudsman have no suspensive effect on the period laid down in Articles 90(2) and 91 of the Staff Regulations for lodging complaints or for submitting appeals to the Civil Service Tribunal under Article 270 of the Treaty establishing the European Union. Please note also that, under Article 2(4) of the general conditions governing the performance of the Ombudsman's duties, any complaint lodged with the Ombudsman must be preceded by the appropriate administrative approaches to the institutions and bodies concerned.

In case of any questions, please contact vacancies@esma.europa.eu or consult our website.

6. DISCLAIMER

This document has been produced for information purposes only. It is not legally binding. Only published VNs may be considered definitive.

7. ANNEX 1 – Minimum eligibility requirement for recruitment grades

Function group	Level	Recruitment grade	Eligibility requirement
Administrators (AD)	Officers	AD5	3-year degree
		AD6	3-year degree + 3 years' professional experience
	Senior Officers/Experts (AD7-AD8)	AD7	4-year degree + 6 years' professional experience OR 3 year degree + 7 years' professional experience
		AD8	4-year degree + 9 years' professional experience OR 3-year degree + 10 years' professional experience
	Senior Officers/ Expert	AD9	4-year degree + 12 years' professional experience OR 3-year degree + 13 years' professional experience
	Heads of Division/Unit	AD10	4-year degree + 12 years' professional experience OR 3-year degree + 13 years' professional experience
		AD11	4-year degree + 15 years' professional experience OR 3-year degree + 16 years' professional experience
		AD12	4-year degree + 15 years' professional experience OR 3-year degree + 16 years' professional experience

Function group	Level	Recruitment grade	Eligibility requirement
Assistants (AST)	Assistants (carrying out administrative, technical or training activities requiring a certain degree of autonomy, in particular with regards to the implementation of rules and regulations or as personal assistant (equivalent of senior manager))	AST1	Post-secondary education OR Secondary education + 3 years' professional experience
		AST2	Post-secondary education + 1 year professional experience OR Secondary education + 4 years' professional experience
		AST3	Post-secondary education + 3 years' professional experience OR Secondary education + 6 years' professional experience
		AST4	Post-secondary education + 6 years' professional experience OR Secondary education + 9 years' professional experience

Function group	Level	Recruitment grade	Eligibility requirement
Secretary/ Clerk (SC)	Secretaries/clerks (carrying out clerical and secretarial tasks, office management and other equivalent tasks requiring a certain degree of autonomy)	SC 1	Post-secondary education OR Secondary education + 3 years' professional experience
		SC 2	Post-secondary education + 1 year professional experience OR Secondary education + 4 years' professional experience

Recruitment function group	Level	Grade	Eligibility requirement	
FGI	Junior Assistants (manual and administrative support service tasks, performed under the supervision)	1	Compulsory education	
FGII	Assistants (clerical and secretarial tasks, office management and other equivalent tasks, performed under the supervision)	4	Post-secondary education	Up to 7 years' professional experience
		5		More than 7 years' professional experience
FGIII	Assistants ¹⁶ (executive tasks, drafting, accountancy and other equivalent technical tasks, performed under the supervision)	8	OR Secondary education + 3 years professional experience	Up to 8 years' professional experience
		9		More than 8 years' professional experience
		10		More than 15 years' professional experience
FGIV	Officers ¹⁷ (administrative, advisory, linguistic and equivalent technical tasks, performed under the supervision)	13	University studies of at least 3 years + 1 year professional experience	Up to 7 years' professional experience
		14		More than 7 years' professional experience
		16		More than 20 years' professional experience

¹⁶ Comparable to the level of AST1-AST3 posts.

¹⁷ Comparable to the level of AD5-AD7 posts.