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ANNEX 1

ANNEX

Innovation and Networks Executive Agency – Annual Work Programme 2016

to the

COMMISSION DECISION

Approving the 2016 Work Programme for the Innovation and Networks Executive Agency

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1. PART 1. MESSAGE FROM THE EXECUTIVE DIRECTOR

2016 will be a year of consolidation for INEA. After two transitional years where new programmes were integrated into the existing organisation and new tasks were progressively delegated by the Commission in 2016, the Agency will start to build on the established processes and further develop them, taking into consideration the experience and lessons learned so far.

Coordination will continue with the Agency's four parent Directorate-Generals (Mobility and Transport; Energy; Research and Innovation; Communication Networks, Content and Technology) so as to ensure the best planning of priorities and allocation of resources throughout the year, taking into account the needs for each programme. Furthermore, close cooperation with the Directorate-General for Regional and Urban Policy (DG REGIO) will be needed to ensure an appropriate level of complementarity and consistency in approach in the deployment of EU support through CEF and the European Structural and Investment Funds (ESIF).

With the expected arrival of more staff throughout the year, it is hoped that the shortage of necessary resources experienced in the past will be alleviated. This should allow some internal reflection on how the call, project and financial management practices in the Agency could be further developed, simplified or improved. In addition, further in depth analysis of the Programmes and projects will allow INEA to start identifying synergies at both the administrative and the technical level.

The main challenges for 2016 for the CEF-programme will be to manage the calls and evaluations for all three CEF-sectors and to prepare and sign the grant agreements for all selected projects by the time-to-grant deadline. Efforts will be made to simplify, harmonise and automatise the procedures taking into account lessons learned during the first CEF calls. Particular attention will be given to the smooth transition between the outgoing TEN-T legacy projects and the incoming CEF transport projects.

The main challenges for Horizon 2020 will be the managing of the evaluations, given the large number of proposals expected under the 2016 calls. In addition the support role of INEA in achieving and monitoring the Horizon 2020 objectives set by the Commission is becoming fundamental. The collaboration with the parent DGs will continue to grow and more effective mechanisms for policy feedback will be developed based on the initiatives started in 2015.

The main challenges for the programme support activities will be to further adapt the planning, coordination and reporting tasks in order to fulfil the programme requirements, such as to report on the implementation of the CEF programme entrusted to the Agency in the framework of the CEF mid-term review exercise to be launched by the Commission.

INEA has selected the following five key performance indicators (KPIs) for its delegated tasks:

Table 1. INEA Annual Work Programme 2016 Key Performance Indicators

Key performance indicators	Target
The rate of execution of C1 commitment appropriation <ul style="list-style-type: none"> • C1 commitment • Individualisation of 2015 remaining global commitment 	100%
The rate of execution of C1 payment appropriations	100%
The time to grant (TTG)¹	CEF: 9 months (276 days) Horizon 2020: 8 months (245 days) ²
The net time to pay	30 days for pre-financing 60 days for further pre-financing 90 days for interim/final payments
The residual multi-annual error rate identified at ex post control	Error rate below 2%

1. PART 2. MISSION STATEMENT

The Innovation and Networks Executive Agency's (hereafter 'INEA' or 'the Agency') mission is to support the Commission, project promoters and stakeholders by providing expertise and high quality programme management to infrastructure, research and innovation projects in the fields of transport, energy and telecommunications, and to promote synergies between these activities, to benefit economic growth and EU citizens.

The Commission has delegated to INEA the task of executing the operational budget and performing tasks linked to the implementation of Union programmes in the field of transport, energy and telecommunications infrastructure and in the field of transport and energy research and innovation. The Agency's mandate covers in particular the management of parts of the following programmes:

Parts³ of the Connecting Europe Facility (CEF);

Parts of Part III⁴ Societal Challenges of the Horizon 2020 Specific Programme;

The legacy of the Trans-European Transport Network Programme under the 2000-2006 Multiannual Financial Framework (MFF) and the 2007-2013 MFF;

The legacy of the Marco Polo Programme under the 2007-2013 MFF;

INEA works under the supervision of four parent Directorates-General (DGs):

(1) Directorate-General for Mobility and Transport (DG MOVE);

¹ The time to grant is measured and reported in days in line with Horizon 2020 practices

² Time-to-grant target for CEF is based on Regulation (EU, EURATOM) No 966/2012 on the financial rules applicable to the general budget of the Union. Time-to-grant target for Horizon 2020 is based on Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in 'Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)' and repealing Regulation (EC) No 1906/2006.

³ Transport, Energy and Telecommunications.

⁴ 'Smart, green and integrated transport' and 'Secure, clean and efficient energy'.

- (2) Directorate-General for Energy (DG ENER);
- (3) Directorate-General for Research and Innovation (DG RTD);
- (4) Directorate-General for Communication Networks, Content and Technology (DG CNECT).

The Commission provides the political direction and takes the appropriate political decisions regarding the programmes. It is therefore the Commission that defines the policy, strategy, objectives and priorities. Through the four Directorates-General, the Commission is also responsible for supervising and monitoring the Agency's activities. INEA is responsible for monitoring the projects benefitting from TEN-T, Marco Polo, CEF and Horizon 2020 funding, for making the necessary checks (including ex-post audits for CEF, TEN-T and Marco Polo) and recovery procedures, for performing budget implementation tasks covering revenue and expenditure within the meaning of Regulation (EU, Euratom) No 966/2012, and for assisting the Commission in certain programme- and project-related tasks which are reserved for the Commission under Decision C(2013)9235 final⁵ and as set by the Memorandum of Understanding (MoU) between INEA and its four parent DGs, as appropriate.

In particular INEA aims to:

- ensure the efficient and transparent technical and financial management of projects and events co-financed under the various programmes and budget lines that have been delegated, for a better use of EU funds and maximised programme efficiency;
- provide information and insight to the Commission in support of the programme planning and implementation including highlighting the projects that have high relevance for policy making, dissemination and exploitation;
- deliver expert technical support and services to enable project promoters to improve their project management;
- promote the project results and achievements to raise the visibility and opportunities of the EU programmes and funding;
- carry out programme reviews and offer high-quality technical and administrative support, as requested by the Commission;
- ensure coordination of the different sectors and programmes managed, deriving benefits from synergies between them.

2. PART 3. OVERVIEW OF OUTPUTS FOR THE YEAR

The **general objectives** of INEA are in line with the Commission's objectives to ensure an efficient implementation of the delegated programmes: the Connecting Europe Facility which

⁵ Decision C(2013) 9235 of 23 December 2013 delegating powers to the Innovation and Networks Executive Agency with a view to the performance of tasks linked to the implementation of Union programmes in the field of transport, energy and telecommunications infrastructure and in the field of transport and energy research and innovation comprising, in particular, implementation of appropriations entered in the general budget of the Union

supports the development of high-performing sustainable and efficiently interconnected trans-European networks in the fields of transport, energy and digital services; parts of the specific objectives 'Smart, green and integrated transport' and 'Secure, clean and efficient energy' of Part III – Societal challenges of the Horizon 2020 Specific Programme; and the completion of the Trans-European Transport Network and Marco Polo Programmes. The detailed general objectives for each programme and sector can be found under each specific objective later in the document.

INEA aims at contributing to the following general objectives of the Commission⁶, as established in the parent DGs Strategic Plans for 2016:

- 'A new boost for jobs, growth and investment';
- 'A Connected digital single market';
- 'A resilient Energy Union with a forward-looking climate change policy';
- 'A deeper and fairer internal market with a strengthened industrial base'.

In the context of its general objectives, and in conjunction with the parent DGs, the Agency has established **seven specific operational objectives and one specific horizontal objective for 2016 as follows:**

Operational specific objectives (corresponding to specific programme parts):

- Support for the development and implementation of a performing Trans-European Transport Network, through the effective and efficient technical and financial management of the TEN-T Programme 2007-2013 legacy;
- Promote greater use of low-carbon transport modes and promote multi-modality via the efficient and effective technical and financial management of the Marco Polo legacy programme and projects;
- Support to the development of a core European Transport network by 2030, through the effective and efficient technical and financial management of the CEF Transport Programme and projects;
- Support for the strengthening of EU energy infrastructure, through the effective and efficient technical and financial management of the CEF Energy Programme, the contribution to monitoring all Projects of Common Interest (PCI);
- Support for the deployment and promotion of interconnected and interoperable European Digital services through the effective and efficient technical and financial management of the part of the CEF Telecoms Programme related to generic services;
- Support for secure, clean and efficient energy by the effective and efficient implementation of the Horizon 2020 Specific Programme Societal challenge related to energy - including its digital technology aspects;

⁶ 10 long-term political priorities defined by President Juncker in the Political Guidelines that have been endorsed by the European Parliament and have been emphasised in his mission letters addressed to the Commissioners

- Support for smart, green and integrated transport through the effective and efficient implementation of the Horizon 2020 Specific Programme Societal challenge related to transport - including its digital technology aspects.

Horizontal specific objective:

- Maximise the efficiency of INEA's resources, programme support and administrative support so as to help the Agency achieve its objectives.

The above specific objectives will be described in the following sections and are based on the specific tasks delegated to the Agency by the Commission in the Agency's establishment and delegation acts.

Creating and maximising synergies between the programmes

The current delegation framework mandates the Agency to manage parts of different EU spending programmes, which puts INEA in an advantageous position to identify potential synergies between these programmes and encourage their continuous development. Synergies can adopt multiple forms and materialise at different levels, and shall always take into consideration the nature of each programme. When requested by the Commission services, the Agency will provide data and synthesised information to enable synergies between Horizon 2020, the ESIF, the European Fund for Strategic Investments (EFSI) and CEF.

Concerning the Call for Proposals management process, the Agency will continue to identify and assess possible synergies in all aspects of the process. This includes identifying practices that are most appropriate for increasing the efficiency of Call for Proposals and evaluation management, and in particular IT tools and actions to simplify and harmonise the process.

Further synergies at project management level between sectors and programmes will be explored.

In close cooperation with the relevant Commission services, INEA may provide suggestions for an optimal utilisation of EU funding.

However, since INEA only started to manage Horizon 2020 and CEF projects in 2015, the identification of synergies and complementarities will not become mature until mid-2016, after having completed the 2015 evaluation exercises for both programmes, and this action will become more important from 2017 onwards.

2.1. The Connecting Europe Facility (CEF) and the legacy Programmes TEN-T and Marco Polo

2.1.1. CEF Horizontal Activities

Support to the Commission in achieving and monitoring achievement of its objectives for CEF

The main priority of the CEF horizontal activities for 2016 will be linked to consolidating the evaluation and call-related procedures following the 2014 and 2015 calls in the three sectors and the successful technical and financial management of the first grant agreements concluded by the Agency.

INEA will continue to increase coordination with the parent DGs on the basis of the lessons learnt, so that INEA's human resources are used in the most efficient way. INEA will continue

to increase its efficiency with a wider use of IT tools for the entire project cycle, from submission of the proposals to the monitoring and reporting of projects - but also for exchange of information with the project promoters and beneficiaries. In this respect, TENtec will be further updated in order to ensure its optimal functionalities as effective planning, information and reporting tool.

Particular attention will be given to the smooth transition of the out-going legacy and the incoming CEF projects for the transport sector in the interest of optimal use of EU co-funding. In relation with the use of cost benefit analysis (CBA) for CEF Transport projects, the Agency will develop internal guidelines, provide internal training and presentations.

INEA will explore in coordination with the Parent DGs the possibility of setting up specific working groups with different actors within the CEF programme such as Joint Assistance to Support Projects in European Regions (JASPERS), European Investment Bank (EIB) and Digital Service Infrastructures (DSIs) in order to pull joint efforts towards the efficient and effective implementation of the CEF Programme sectors.

Feedback as input to policy-making, follow-up of programme implementation and to corrective measures and reporting

INEA will continue its feedback into policy-making by further developing and improving reporting mechanisms for all three sectors in close cooperation with the concerned parent DGs.

For CEF Transport, INEA will continue to adapt its programme reporting to the CEF environment and legal basis, in particular through CEF corridor reports - including the horizontal priorities Motorways of the Sea (MoS) and European Railway Traffic Management System (ERTMS) - in addition to the Member State country reports. Reporting on the implementation of the programme sector will contribute to the work on the nine Core Network Corridors, MoS and ERTMS, including the corridor work plans. As part of INEA's delegated tasks, the Agency will actively contribute to the parent DG's biennial report on the development and implementation of the Trans-European transport network, including the use of various forms of financial assistance (CEF, Cohesion Funds, in particular the European Regional Development Fund (ERDF), Horizon 2020 and financial instruments). This information will also contribute to the programme evaluation carried out by the parent DG.

For CEF Energy, INEA in close cooperation with DG ENER will provide feedback and adequate reporting on the implementation of the CEF Energy project portfolio, in the context of their contribution to PCI monitoring as outlined above.

For CEF Telecommunications, INEA will establish monitoring and reporting tools and mechanisms, in consultation with the parent DG, and taking into account existing activities per DSI (e.g. DIGIT's activities). These tools and mechanisms will be tailored to the CEF environment and legal basis obligations, with a priority to programme evaluation.

As regards performance measurement of the programmes, the Agency will give feedback to the Commission on the performance of the Marco Polo programme in terms of tonne/kilometres shifted into environmentally friendly modes of transport or avoided in order to assess the achievements of the Programme's objectives. INEA will continue to further develop the performance framework for the CEF Transport sector in order to assess the impact of the CEF financing towards the completion of the TEN-T and the developments of the nine TEN-T corridors. The results of the performance framework pilot test carried out for the CEF Transport Call 2015 will be analysed after the Call closure and the next steps to monitor the data will be internally agreed, taking into account DG MOVE's reporting needs.

Based on the results of the pilot test, INEA will consider expanding and adapting the performance framework to the other CEF sectors following requests received from other parent DGs.

In 2016, INEA will assist - on terms to be agreed with the parent DGs - in the mid-term review exercise of the CEF programme that will be conducted by DG MOVE, DG ENER and DG CNECT in 2016-2017 with a final report to be presented to the European Parliament and the Council by the end of 2017. Among others, INEA will report on the implementation of the CEF programme through the calls for proposals, on the success rate of the calls, the number and type of projects selected and the allocation of CEF funds through grants. INEA will also agree with DG CNECT about data to be collected from the running projects (e.g. through surveys and reviews).

Assistance in the management of Financial Instruments

The Commission aims at developing the use of innovative financial instruments in order to maximise the use of the EU Budget. In this context, under the policy guidance of the Commission and in the framework of its relations with its financial partners such as the EIB, there is an active role for INEA in encouraging the use of financial instruments, including in combination with grants, and determining how to finance sustainable projects.

In the context of the evaluation of proposals for grant co-funding, INEA will develop appropriate guidance for the provision of cost-benefit analysis in order to assess the need for CEF co-funding and to identify the necessary co-funding to address a funding gap for revenue-generating projects.

Project promoters will be encouraged by the parent DG, when appropriate, to use grants from the CEF to study the possibility for project financial engineering, for instance through feasibility studies necessary for value-for-money assessment and preparation of business cases, or for studies supporting projects in the last phases towards the use of financial instruments, such as support for the preparation of draft Public Private Partnership (PPP) contracts or of procurement documentation. When those projects are considered as a priority by the parent DGs, INEA will cooperate closely with project promoters to accompany the study and give appropriate advice.

Upon request of the parent DGs, INEA will participate in working groups established by the Commission to develop tailor-made financial instruments that could meet financing needs in priorities such as new technologies and innovation, and related modal sectors such as (in transport) ERTMS, inland and maritime navigation and MoS. For CEF Energy, INEA will develop the screening of PCIs with regard to their financing needs and their suitability for financial instruments. In this perspective, INEA will also analyse its project portfolio and identify projects that could benefit from greater understanding of EU financial instruments and how they can be used. Synergies between the CEF and the European Structural and Investment Funds and also CEF and Horizon 2020 should be ensured and as far as possible complementarity should be actively promoted.

Communication

In 2016, INEA will continue to implement its multi-annual communication strategy with objectives and actions under three pillars – 'Promoting, Engaging and Innovating' - designed to raise awareness about the CEF programme, and encourage the necessary action by beneficiaries and stakeholders. INEA's strategy is guided by the corporate themes of the

Commission, the priorities of the Agency's parent DGs, the separate communication approaches for each of the three CEF programme fields, and INEA's own strategic objectives. The Agency will work in collaboration with the Commission according to the specific communication responsibilities, and the division of tasks between INEA and the responsible Commission services, as defined in the MoU.

To address the three pillars or priorities, INEA will continue to work towards seven external communication objectives that will all be supported and implemented by a realistic range of specific actions and services using various channels, tools and resources. In particular, an ongoing concerted effort is needed to continue opening up the funding possibilities and process - making it more and more accessible and transparent, and to encourage current and potential beneficiaries to get involved in preparing and delivering projects that are an essential element in achieving EU policy priorities and objectives.

INEA communication activities will therefore support the whole CEF project lifecycle during 2016. In particular the Agency will continue to focus on promoting the visibility of the Calls for Proposals, Info Days, and the role of the Agency, as part of the efforts to continue opening up the funding possibilities and process. INEA will support communication on project results and successes and also aim to create future communication synergies between CEF, Horizon 2020 and cohesion policy/ESIF.

Communication objectives

- Promoting funding opportunities by raising visibility and awareness for Calls for Proposals;
- Promoting achievements, project results and successes in order to increase EU and programme visibility;
- Engaging with beneficiaries by supporting them in the process of submitting proposals and during the grant management process;
- Engaging with beneficiaries by providing technical support and facilitating network building between stakeholders;
- Contributing to synergies and economies of scale on specific communication messages relating to common activities and initiatives (calls, project results) and support (publicity);
- Contributing to supporting the link between research and innovation results and infrastructure development;
- Raising the visibility of INEA's added value, and highlighting results in programme efficiency.

INEA will continue the previous dissemination activities associated with the legacy programmes – TEN-T and Marco Polo to highlight implementation achievements and the Agency's added value in monitoring the projects.

Financial Management and Audit

The Agency's internal guidelines on ex-ante controls will be enlarged to all three CEF sectors (Transport, Energy and Telecommunications). For this purpose, a first memo document was produced in 2015, on how the ex-ante controls will be implemented for CEF which is expected to be transposed to an ex-ante controls methodology paper in 2016.

Following positive conclusions on the analysis of the existing ex-ante controls under the TEN-T in 2015, the impact and reliability of such controls as well as the use of Certified Financial Statements (CFS) applicable to CEF will be assessed in the light of the first interim payment claims expected in 2016. A continuous impact analysis on INEA's ex-ante control strategy will be assured to actively integrate any conclusions thereby further enhancing and improving the efficiency and effectiveness of INEA's controls.

In 2016 the CEF Multi-Annual Audit strategy for 2014-2020 will be finalised. The multi-annual audit strategy will be developed in agreement with the parent DG's and will result in a specific strategy for each CEF sub-programme (Transport, Energy and ICT), designed to provide assurance on a multi-annual basis over the programme lifetime. A key indicator will be a multi-annual residual error rate calculation per sub-programme. The audits performed will also support the Annual Activity Report declaration year by year regarding CEF expenditure.

CEF Business processes

After one year of full responsibility of CEF Programme implementation, clear business processes for the CEF programme should be documented and included in a CEF Vademecum that will be developed in 2016.

Legal support to the Programme

In the light of the experience gained in 2015 with the preparation of the first grant agreements for the three sectors of CEF, the Agency will examine if there is a need to clarify / amend provisions of the CEF model grant agreement. In addition, a guidelines document on the CEF grant agreement amendment will be developed.

IT tools development

The extension of the TENtec functionality to CEF Transport, Energy and Telecommunications processes and information exchange with beneficiaries will continue in 2016 aiming at strengthening TENtec as an interactive beneficiary platform but also as the main project and financial management and reporting system for CEF programme. IT development and support will continue for the implementation of the entire project cycle this year, from submission of the proposals to the monitoring and reporting of projects, aligned with the call management deadlines agreed between INEA and the parent DGs. Particular attention will be paid to the timely generation of CEF grant agreements, through an easy to use interface for project managers, in order to respect the deadlines for their adoption. The use of electronic signature for CEF documents as well as the possibility for electronic validation of the grant agreements will be investigated in compliance with the Commission legal framework.

The eASR submission module will be adapted to the CEF environment and a more user friendly interface will be provided to the beneficiaries to ease the submission of ASRs. Internal project management processes with a harmonised approach across all CEF sectors will be implemented in the respective TENtec module used by the Agency.

The CEF regulation stipulates that policy indicators need to be collected for CEF projects to assess their contribution to the overall CEF programme objectives. TENtec will be tailored to

enable this requirement according to the modalities agreed between the Agency and the parent DG, starting with the transport sector.

Further expansion of the Geographic Information Systems (GIS) will occur, providing added-value services for data analysis and project visualisation. The GIS interactive viewer available to CEF Transport applicants through the e-Submission module of TENtec will be further enhanced based on the experience gained from the first 2015 CEF-Transport Call for Proposals. The target remains the extension of the interactive viewer to CEF Energy calls in 2016.

2.1.2. CEF Transport and Legacy of the TEN-T and Marco Polo Programmes

In addition to the implementation of the transport part of the CEF programme, INEA will continue to work on the completion of the technical and financial management of two transport legacy programmes which are its predecessors: TEN-T and Marco Polo II. The results of implementation of the legacies will be taken into account for the preparation of the project pipeline for the current Multi-Annual Financial Framework 2014-2020. The implementation of the transport legacy and the successor programme by INEA will contribute to DG MOVE specific objective 'A modern European transport infrastructure: Ensure the effective implementation of funding for the Trans-European Transport Network under the Connecting Europe Facility and under the innovative financial instruments (EFSI)⁷. This will ultimately contribute to the following Commission general objectives⁸:

- 'A New Boost for Jobs, Growth and Investment'
- 'A Connected Digital Single Market'
- 'A Resilient Energy Union with a Forward-Looking Climate Change Policy'
- 'A Deeper and Fairer Internal Market with a Strengthened Industrial Base'

Legacy of the TEN-T Programme

The TEN-T programme is actively contributing to a European transport system that is resource-efficient, environmentally friendly, safe and seamless for the benefit of citizens, the economy and society. For instance, the construction of new transport infrastructure aims at removing bottlenecks and bridging missing links, while at the same time the integration of the different modes of transport is improved with a view to optimising the efficiency of the different modes of transport in combination. These investments together with targeted actions in new technologies improve competitiveness, reduce the environmental impact of transportation and contribute to a more environmentally friendly transport system and hence the EU 2020 targets.

Specific Objective 1:

Support for the development and implementation of a performing Trans-European Transport Network, through the effective and efficient technical and financial management of the TEN-T Programme 2007-2013 legacy.

⁷ As per information available on 11/03/2016

⁸ Apart from these four general objectives, DG MOVE also contributes to the general objective 'A Stronger Global Actor'. This fifth objective is not referred to by INEA as no projects in the neighbouring countries are managed by the Agency.

Technical and Financial Management

INEA will continue the successful approach followed in the past years to manage the project portfolio and the close monitoring of the programme so as to ensure the adequate budgetary execution and to achieve the planned objectives and implementation.

By the end of 2015, the remaining TEN-T legacy projects have all come to the end of their eligibility period so that the corresponding final reports and final financial statements will have to be submitted within 12 months, i.e. at the latest by the end of 2016. Pro-active measures will be taken to encourage the beneficiaries to deliver their final report in due time.

The direct contact with beneficiaries remains the main channel to follow-up on individual projects. In addition INEA will continue to organise regular meetings at national level in order to examine and discuss project portfolios. The focus of these contacts will significantly shift towards the CEF Transport projects as the TEN-T projects are being closed.

The Agency will implement the 2016 operational budget for the TEN-T programme in accordance with the principle of sound financial management. The submission of the final reports will be closely monitored so that an optimal use of available payment credits is ensured for the years 2016-2017.

Particular attention will be paid to avoid any possible risk of project double funding from TEN-T, CEF Transport programmes or the European Structural and Investment Funds, as well as the potential overlapping in the implementation of consecutively co-financed projects.

Table 2. TEN-T outputs in 2016

Relevant general objective(s): A new boost for jobs, growth and investment, A Connected digital single market, A resilient Energy Union with a forward-looking climate change policy, A deeper and fairer internal market with a strengthened industrial base.			
Specific objective: Support for the development and implementation of a performing Trans-European Transport Network, through the effective and efficient technical and financial management of the TEN-T Programme 2007-2013 legacy			Related to spending programme(s) : TEN-T 2007-2013
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: Operational expenditure	
Description	Number of outputs	Budget line	EUR million
Final payments	172	06 02 51	576.00
KEY ACTIONS	Number / %	Estimated deadline	Responsible Unit / Remarks
Receipt and evaluation of final report	280	90 days after reception	C1, C2, C3 , R1,R3
Execution of final payments	172	90 days after reception	C1, C2, C3 , R1, R3

2.1.2.1. Legacy of the Marco Polo II Programme

By promoting the use of alternative modes to road and avoiding road transport, the Marco Polo programme contributes to achieving a resource-efficient and environmentally friendly European transport system, optimising the integration and interconnection of transport modes and ensuring smarter and greener mobility.

Specific Objective 2:

Promote greater use of low-carbon transport modes and promote multi-modality via the efficient and effective technical and financial management of the Marco Polo legacy programme and projects.

Technical and financial management

The implementation strategy for the TEN-T programme has been extended to the Marco Polo II portfolio of projects which involves the close technical follow-up of projects, on site visits and continuous liaison with EU funds beneficiaries. Additionally, the strict reminder policy that has been put in place will continue to allow INEA to close projects efficiently or to terminate those that are not performing. All of the above efforts will allow the Agency to optimise the use of the payment credits by aligning them as closely as possible to the progressive reduction of the project portfolio, which is expected to decrease by one third during 2016.

The ex-ante control method for final and interim payments under the Marco Polo II programme put in place in 2014 will continue to be implemented in 2016. This approach and a close monitoring will contribute to accelerating the closing of the Marco Polo II programme. It is expected that the closure for some projects will result in recovery orders as was already the case with several projects in 2015.

Table 3. Marco Polo outputs in 2016

Relevant general objective(s): A new boost for jobs, growth and investment, A Connected digital single market, A resilient Energy Union with a forward-looking climate change policy, A deeper and fairer internal market with a strengthened industrial base.			
Specific objective: Promote greater use of low-carbon transport modes and promote multi-modality		Related to spending programme(s) Marco Polo	
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: Operational expenditure	
Description	Number of outputs	Budget line	EUR million
Interim payments	7	06 02 52	1.60
Final payments	23		15.60
KEY ACTIONS	Number / %	Estimated deadline	Responsible Unit / Remarks
Receipt and evaluation of progress report	7	60 days after reception	C2, R3
Execution of interim payment	7	90 days after reception	C2, R3
Receipt and evaluation of final report	23	90 days after reception	C2, R3
Execution of final payment	23	90 days after reception	C2, R3

CEF Transport

The effective and efficient technical and financial management of the CEF-T programme and projects will contribute to the delivery of a modern, performing and fully interconnected trans-European transport system that is resource-efficient, environmentally friendly, safe and

seamless for the benefit of citizens, the economy and society, which will also contribute to a smart, sustainable and inclusive growth and to the achievement of the 20/20/20 targets.

Specific Objective 3:

Support to the development of a core European Transport network by 2030, through the effective and efficient technical and financial management of the CEF Transport Programme and projects.

Technical and financial management

Following the selection of projects under the CEF Transport Call 2015 launched in November 2015 with a total available budget of €7.56 billion, INEA will prepare and sign the grant agreements for all selected projects by mid-November 2016. This is a major operational challenge because of the expected high number of proposals that have to be contracted within a very short period of time. The Agency will verify in consultation with DG MOVE and DG REGIO that retained proposals under the 2015 Calls do not represent a risk of double funding with projects funded under the 2014 Call or under any other EU programmes, in particular the ESIF. At the same time, potential synergies between on-going projects and newly selected proposals under the CEF Call 2015 will be examined. Furthermore, potential synergies between CEF and ESIF will also be examined.

INEA will also continue to provide technical assistance to the EU Coordinators, thus effectively supporting the update of the work plans for the nine Core Network Corridors as well as for MoS and the timely deployment of ERTMS. INEA's Technical Advisors will continue to provide project-related information, contribute to the preparation of reports, and participate in missions and meetings as required to support the EU Coordinators in fulfilling their mandate.

As regards financial management, the CEF Transport 2015 Calls will trigger initial pre-financings in 2016.

Regarding the implementation of the CEF Transport 2014 calls, 2016 will be the year where many beneficiaries will submit their first Action Status Reports (ASR), for the actions which started before 1 July 2015 (198 of the projects co-funded are concerned). Certain beneficiaries may also submit a request for further pre-financing payments together with the ASR, which INEA will process.

Call management

Based on the experience gained from the management of the calls for proposals under the TEN-T programme and the first CEF Transport call, in 2016 the Agency will organise and manage the technical evaluation of proposals under the CEF Transport 2015 calls and support the Commission in the internal evaluation phase and the final selection of proposals.

Efforts will be made to simplify, harmonise and automatise the procedures via the use of IT systems adjusted in line with the lessons learned of the first CEF Call. Special attention will be paid to incorporate lessons learned during the 2014 calls exercise and relevant experiences of other CEF sectors. INEA will undertake efforts to identify and select qualified experts with financial analysis expertise.

Furthermore, the Agency will contribute to the preparation of the 2016 CEF Annual Work Programme (General and Cohesion envelopes). It will also contribute to the 2016 Annual

Work Programme concerning synergies of transport and energy. In this respect the Agency will prepare the launch of the calls for proposals under these Work Programmes, as well as of a 2016 call for proposals under the MAP 2014-2020 for Cohesion Member States.

Table 4. CEF Transport Call Planning 2016

Title	Call reference	Publication date	Deadline for submission	Time to grant	Estimated budget (EUR million)
2015 CEF Transport Cohesion Call (9 priorities)	CEF-Transport-2015-Cohesion	05/11/2015	16/02/2016	16/11/2016	6,470
2015 CEF Transport General Call (9 priorities)	CEF-Transport-2015-General	05/11/2015	16/02/2016	16/11/2016	1,090
2016 CEF Transport Annual Synergies Call	CEF-Transport-2016-Synergy	September 2016	End 2016	September 2017	40
2016 CEF Transport Annual Cohesion Call	CEF-Transport-2016-Cohesion-AP	September 2016	Early 2017	October 2017	50
2016 CEF Transport General Annual Call	CEF-Transport-2016-General-AP	September 2016	Early 2017	October 2017	40
2016 CEF Transport MAP Cohesion Call	CEF-Transport-2016-Cohesion-MAP	September 2016	Early 2017	October 2017	tbd

Dialogue with stakeholders

INEA will continue its cooperation with existing beneficiaries, including in Cohesion countries, and focus on growing contacts with potential applicants mainly during information days and other public events to which the Agency is invited and contributes.

The Agency will continue to utilise the informal Advisory Group composed of representatives from Member States, beneficiaries and other organisations to seek the advice of stakeholders on the possible simplification and improvement of the technical and financial management of CEF transport projects. The Agency will convene up to two meetings of the Advisory Group in 2016 to discuss further ways to improve the efficient administration and management of the projects. An extension of this Advisory Group to the two other CEF sectors will also be explored in agreement with the parent DGs.

Table 5. CEF Transport outputs in 2016

Relevant general objective(s): A new boost for jobs, growth and investment, A Connected digital single market, A resilient Energy Union with a forward-looking climate change policy, A deeper and fairer internal market with a strengthened industrial base.			
Specific objective: Support to the development of a core European Transport network by 2030, through the effective and efficient technical and financial management of the CEF Transport Programme, and projects		Related to spending programme(s) CEF Transport	
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: Operational expenditure	
Description	Number of outputs	Budget line	EUR million
Payment of experts	50	06 02 01 01 06 02 01 02 06 02 01 03 06 02 01 04	0.4
Pre-financing	150		440.50
Further pre-financing	60		203.00
Interim payments	90		405.00
Final payments	0		0.00
KEY ACTIONS	Number / %	Estimated deadline	Responsible Unit / Remarks
Publication of Annual and Multi-annual Calls 2016	1 ⁹	November 2016	R1
Establishment of helpdesk Calls for Proposals 2015/2016	1 ¹⁰	Active year-round	R1
Receipt of proposals Calls for Proposals 2015	427	16 February 2016	R1
Evaluation of the proposals under Calls 2015	100% of admissible and eligible proposals	March - May 2016	R1, R2, R3, C1, C2, C3
Commission Selection Decision on grants adopted for 2015 Calls	1	June 2016	Commission
Preparation and signature of the grant agreements selected under Call 2015	150 ¹¹	July - November 2016	C1, C2, C3
Making of individual commitment of projects selected under 2015 Calls	150	October 2016	R3, C1, C2, C3
Execution of pre-financing payment for projects selected under 2015 Calls	150	November - December 2016	R3, C1, C2, C3
Receipt and analysis of ASRs regarding projects co-financed under 2014 Calls	189	31 March 2016	R3, C1, C2, C3
Execution of further pre-financing	60	June 2016	R3, C1, C2, C3
Execution of interim payments	90	90 days after reception	R3, C1, C2, C3

⁹ It concerns one single publication but it might include several calls.

¹⁰ It is a permanent open helpdesk.

¹¹ Rough estimate based on the number of expected proposals.

2.1.3. CEF Energy

Specific Objective 4:

Support for the strengthening of EU energy infrastructure, through the effective and efficient technical and financial management of the CEF Energy Programme

The effective and efficient technical and financial management of the CEF Energy Programme and projects will contribute to achieving the Energy Union policy objectives, in particular by enabling the development of energy infrastructure that will contribute to the completion of the internal energy market, to the Union's energy security and to the sustainability of the energy system, in particular by a better integration of renewable energy into the network. In particular, INEA will contribute to DG ENER specific objective 'Further work towards a well-functioning and fully integrated internal energy market, including with interconnections'¹², contributing to the Commission general objective 'A resilient Energy Union with a forward looking climate policy'.

Technical and financial management

Following the first Calls for Proposals launched in 2014 and 2015, the Agency will ensure the follow-up of 67 actions. The preparation and signature of the Grant Agreements resulting from the 2015 second Call will be completed during the first semester 2016. Two new Calls for Proposals will be launched and evaluated in 2016.

For the ongoing actions selected under the 2014 and the first 2015 Call, INEA will receive and examine the first ASRs due by March 2016. This concerns 33 actions. A few beneficiaries may also submit a request for further pre-financing payments together with the ASR.

For the second call launched in 2015, INEA will manage the subsequent preparation and signature of the grant agreements with beneficiaries. The related first pre-financing payments are expected for the first semester of 2016.

Finally, INEA will support DG ENER as regards the monitoring of all PCIs on the second Union list of projects of common interest, notably in relation with the Progress Watch put in place by ENER, the monitoring tool to be developed by ACER in 2016 and the Transparency Platform available via DG ENER's website. This monitoring will inter alia allow for the early identification of potential delays and the adoption of preventive measures as well as for identifying possible applicants for CEF support.

Call management

In 2016, INEA will assist in the preparation of the amendment of the Multi-annual Work Programme and prepare the new Calls for Proposals - first ones under the second PCI list. The Agency will organise and manage the technical evaluation of proposals and support the Commission in the internal evaluation phase and the final selection of proposals. At all steps, attention will be paid to incorporate lessons learned from previous CEF Energy evaluations as well as relevant experiences of other CEF sectors including on the use of relevant IT tools. In order to ensure the balance of experienced and new experts in evaluations INEA will also continue efforts to identify new qualified experts for evaluations. INEA will assist in

¹² As per information available on 11/03/2016

preparation of the 2016 Work Programme, contributing with relevant feedback from the conducted evaluations.

An info day for the first call of 2016 will be organised.

Table 6. CEF Energy Call Planning 2016

Title	Call reference	Publication date	Deadline for submission	Time to grant	Estimated budget (million)
2016-1 CEF Energy	CEF-Energy-2016-1	Q1 2016	Q2 2016	Q4 2016	200
2016-2 CEF Energy	CEF-Energy-2016-2	Q2 2016	Q4 2016	Q2 2017	600

Dialogue with stakeholders

The Agency will further develop dialogue and continuous communication with the relevant stakeholders such as project promoters, Transmission System Operators (TSOs) and their European networks, ACER and EU Member States. This dialogue will in particular focus on contacts with potential applicants for calls for proposals (TSOs and other project promoters) mainly during information days, but also extend to promoters of all PCIs in support of DG ENER's dialogue with them.

Table 7. CEF Energy outputs in 2016

Relevant general objective(s): A resilient Energy Union with a forward-looking climate change policy			
Specific objective: Support for the strengthening of EU energy infrastructure, through the effective and efficient technical and financial management of the CEF Energy Programme		Related to spending programme(s) CEF Energy	
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: Operational expenditure	
Description	Number of outputs	Budget line	EUR million
Payment of experts	15	32 02 01 01	0.25
Pre-financing	19	32 02 01 02	115.00
Further pre-financing	4	32 02 01 03	9.00
Interim payments	0		0.00
Final payments	3		2.00
KEY ACTIONS	Number / %	Estimated deadline	Responsible Unit / Remarks
Commission Selection Decision on grants adopted for the second 2015 Call	1	January 2016	Commission
Preparation and signature of grant agreements under Calls 2015	15	January - July 2016	C4
Making of individual commitment for selected projects under 2015 Calls	15	May - July 2016	R3, C4
Execution of pre-financing payment	19	May - July 2016	R3, C4
Receipt and analysis of ASRs regarding projects co-financed under 2014 and 2015 Calls	33	31 March 2016	R3, C4

Execution of further pre-financing	4	June 2016	R3, C4
Publication of call for proposals 2016-1	1	March – April 2016	R1
Publication of call for proposals 2016-2	1	June - October 2016	R1
Establishment of contact helpdesk 2016 Calls	1 ¹³	Active year-round	R1
Evaluation of proposals under Call 2016-1	Not available	May-July 2016	
Evaluation of proposals under Call 2016-2	Not available ¹⁴	October 2016 - January 2017	R1
Commission Selection Decision on grants adopted for the first 2016 Call	1	July 2016	Commission
Commission Selection Decision on grants adopted for the second 2016 Call	1	January 2017	Commission
Execution of interim payment	0	-	R3, C4
Receipt and evaluation of final report	3	December 2016	R3, C4
Execution of final payment	3	December 2016	R3, C4

2.1.4. CEF Telecommunications

Specific Objective 5:

Support for the deployment and promotion of Digital Service Infrastructure Generic Services through the effective and efficient technical and financial management of the part of the CEF Telecoms Programme related to generic services.

The effective and efficient technical and financial management of the CEF Telecommunications Programme and projects will contribute to the Digital Single Market by fostering the development of Digital Service Infrastructure across Europe, facilitating the active involvement of the public sector and achieving cross-border technical interoperability. More specifically, INEA will contribute to DG CNECT specific objective 'The digital economy can develop to its full potential underpinned by initiatives enabling full growth of digital and data technologies'. This will ultimately contribute to Commission general objective 'A connected Digital Single Market'.

Technical and Financial management

During 2016, INEA will be monitoring the ongoing actions stemming from the 2014 Work Programme for which grant agreements were signed in 2015: Safer Internet (29 grants all ending mid-2016) and eID: 19 lump-sum grants (of which one should end in 2016). As regards the execution of payments, the Agency should receive the final payment claims for all the actions selected under the 2014 Safer Internet.

For actions launched under the 2015 Work Programme, INEA will ensure the evaluation of the proposals which are going to be received following Call 1 and Call 2 and the preparation of the grant agreements of the selected proposals within the Time to Grant (TTG) deadlines. The first pre-financings related to these Calls will be made during the year 2016 taking into

¹³ Helpdesk is open on a permanent basis.

¹⁴ As the estimated budget for the 2016 Call has not been determined yet, number of expected proposals cannot be estimated yet.

account the need of concluding the individual commitment before the end of the year without authorised delays.

The Work Programme for 2016 adopted in March 2016 with eleven DSIs calls for generic services planned in 2016: eID & eSignature, eDelivery, eInvoicing, Public Open Data, Cyber Security, Automated Translation, eProcurement, Business Registers (BRIS), Electronic Exchange of Social Security Information (EESSI), Europeana and e-Justice portal for a total estimated budget of at least 78M€. Call batches covering these areas will be launched in 2016, according to a schedule to be agreed with DG CNECT and in the light of INEA's resources.

INEA will pursue discussions with DG DIGIT/CNECT and relevant DSIs owners in order to agree on methods and modalities of receiving assurance that the services implemented through the CEF Telecommunications actions are indeed up and running before disbursing payment of the balance.

Call management

In 2016, INEA will manage the evaluation of the two batches of 2015 calls for proposals, launched in October and November. INEA will organise the evaluation of the proposals submitted in response to these Calls as well as prepare and launch three batches of Calls for Proposals on the basis of the 2016 Work Programme.

The Agency will organise and manage the technical evaluation of proposals and support the Commission and the final selection of proposals. At all steps, attention will be paid to incorporate lessons learned from previous CEF Telecommunications evaluations as well as relevant experiences of other CEF sectors. INEA will continue to grow its knowledge of the various DSIs, in order to ensure that any specificities are properly reflected at all stages of the Calls for Proposals process. Information dissemination actions on the calls will continue and be increased in 2016. INEA will also carry on identifying additional qualified experts for evaluations, in order to ensure the balance of experienced and new experts in evaluations as well as a sufficient gender and geographical balance.

INEA will assist in the preparation of the 2017 Work Programme, contributing with relevant feedback from the conducted evaluations.

Table 8. CEF Telecommunications Call Planning 2016¹⁵

Title	Call reference	Publication date	Deadline for submission	Time to grant	Estimated budget (EUR million)
2015 CEF Telecom (4 DSIs)	CEF-TC-2015-1	30/10/2015	19/01/2016	19/10/2016	28.7
2015 CEF Telecom (4 DSIs)	CEF-TC-2015-2	17/11/2015	15/03/2016	15/12/2016	16.9
2016 CEF Telecom (3 DSIs)	CEF-TC-2016-1	Q1 2016	Q2 2016	Q1 2017	32
2016 CEF Telecom	CEF-TC-2016-2	Q2 2016	Q3 2016	Q2 2017	10.5

¹⁵ The list of DSIs covered by the Calls 2016 can be found in the 2016 Work Programme: Commission Implementing Decision C(2016)1225 of 3 March 2016.

(5 DSIs)					
2016 CEF Telecom (2 DSIs)	CEF-TC-2016-3	Q3 2016	Q4 2016	Q3 2017	27.5

Dialogue with stakeholders

INEA will focus on getting to know its stakeholders, in order to define the means for developing synergies, enhancing cooperation and raising visibility of the programme, in full coordination with the responsible Commission services. In this regard, INEA will continue to participate, as requested, in DSI- specific events and meetings, and focus on growing contacts with potential applicants mainly during information days. INEA will also be proactive in proposing suitable actions to improve the call visibility.

Table 9. CEF Telecommunications output in 2016

Relevant general objective(s): A Connected Digital Single Market			
Specific objective: Support for the deployment and promotion of interconnected and interoperable national public services on-line through the effective and efficient technical and financial management of the part of the CEF Digital Programme related to generic services		Related to spending programme(s) CEF Telecommunications	
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: Operational expenditure	
Description	Number of outputs	Budget line	EUR million
Payment of experts	50	09 03 03	0.45
Pre-financing	110		11.65
Final payments	28		6.80
KEY ACTIONS	Number / %	Estimated Deadline	Responsible Unit / Remarks
Receipt of proposals 2015 Calls	295	January - March 2016	R1
Evaluation of the proposals 2015 Calls	295	February - April 2016	R1, C4
Commission Selection Decision on grants adopted for 2015 Calls	2	May - July 2016	Commission
Preparation and signature of grant agreements selected under 2015 Calls	178	June - August 2016	C4
Making of individual commitment 2015 Calls	178	June - August 2016	R3, C4
Execution of pre-financing payment 2015 Calls	110	July - December 2016	R3, C4
Publication of calls for proposals 2016	3 ¹⁶	February - September 2016	R1
Establishment of contact helpdesk 2015/2016 Calls	1 ¹⁷	Active year-round	R1
Receipt of proposals 2016 Calls	Not available	May - December 2016	R1
Evaluation of the proposals 2016 Calls	Not available	June 2016 - January 2017	R1, C4
Preparation of grant agreements	Not	September 2016 -	C4

¹⁶ Each publication might include multiple calls.

¹⁷ Helpdesk is open on a permanent basis.

selected under 2016 Calls	available	March 2017	
Receipt and evaluation of final report	30	90 days after reception	R3, C4
Execution of final payment	28	90 days after reception	R3, C4

As presented in part 1 (see page 5), INEA has selected 5 KPIs common to all delegated Programmes in order to monitor and report throughout the year on the efficiency and effectiveness of the Programmes execution by INEA. The table below shows the latest performance data at 31 December 2015 for the three CEF sectors and the two legacy Programmes that will be used as a baseline for 2016.

Table 10. Overview of KPIs for CEF and legacy programmes (TEN-T and Marco Polo)

	Baseline 2015					Target
	CEF Transport	CEF Energy	CEF Telecoms	TEN-T	Marco Polo	
% of commitment execution						
- C1 commitment	100%	100%	100%	NA	NA	100%
- Individualisation of 2014 remaining global commitment	100%	100%	83.4%			
% of payment execution	100%	100%	99.9%	100%	100%	100%
Time to grant	264 days	230 days	231 days	NA	NA	276 days
Net time to pay	9.6 -	9.4 -	9.4 -	43.8 23.1	30.7 26.1	30 days 90 days
Residual multi-annual ex-post error rate	NA	NA	NA	0,78%	0,97%	< 2%

2.2. Horizon 2020 – Framework Programme for Research and Innovation 2014-2020¹⁸

Horizon 2020 is the EU's biggest ever programme for research and innovation with the general objective of contributing to building a society and an economy based on knowledge and innovation across the Union by leveraging additional research, development and innovation funding and by contributing to attaining research and development targets, including the target of 3 % of GDP for research and development across the Union by 2020. It shall thereby support the implementation of the Europe 2020 strategy and other Union policies, as well as the achievement and functioning of the European Research Area (ERA). INEA manages parts of the programme related to transport and energy research: 'Smart green and integrated transport', and 'Secure, clean and efficient energy.'

2.2.1. Horizon 2020 Horizontal Activities

Support to the Commission in achieving and monitoring its objectives for Horizon 2020

After the first two years, the support role of INEA to the achievement and monitoring of the objectives set by the European Commission for Horizon 2020 is becoming fundamental. In 2016 INEA will continue to work in close cooperation with the parent DGs to ensure that the implementation of its delegated programmes contributes to the objectives and priorities set out in the respective work programmes. Since the ESIF provide considerable support to research, technical development, and innovation activities, INEA will continue liaising with relevant DG RTD services (in charge of coordination between Horizon 2020 and the ESIF) so that synergies between Horizon 2020 and ESIF can be further encouraged. Particular attention will continue to be paid to the organisation of the Horizon 2020 calls under Agency's responsibility for 2016, as well as the Time-to-Grant, Time-to-Pay and project monitoring. With its involvement in the execution of 2016/2017 Horizon 2020 planning as well as participation in monitoring and reporting working groups set up within the Commission, the Agency will ensure an efficient Call Management, contribute, when requested by the parent DGs, to the definition of the requirements for programme implementation, and ensure the availability of appropriate data and structured information to support the monitoring activities of the relevant services of the Commission.

Feedback to the Commission for policy-making and programme implementation

In 2016, the Agency will manage Horizon 2020 indirect actions and will therefore be in position to provide project feed-back for the policy activities of the Research family DGs of the Commission.

INEA will continue to provide regular feedback to the Commission at different levels and to report regularly to provide elements needed to reply to policy requests. INEA will notably give feedback on its experience in the organisation of the calls, the management of Horizon 2020 in general, and on individual projects. INEA will maintain the circular flow of information that allows the Commission to keep the Agency informed of developments and thematic issues which are relevant to the implementation of Horizon 2020.

INEA will continue implementing the Horizon 2020 grant agreements. The first reports from the projects with request for payments will be received and reviewed in 2016. This input will

¹⁸ Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020) and repealing Decision No 1982/2006:EC, OJ L 347, 20.12.2013, p. 104.

enable the Agency to further assist the Research family DGs in the preparation of the forthcoming Horizon 2020 work programmes.

The Agency will contribute to the Horizon 2020 Mid-term evaluation exercise, in line with the MoU provisions, and as part of INEA's on-going communication activities as described below. The Agency will support the parent DGs with statistical data in order to bridge information gaps on calls and project data which are not already available in CORDA. Finally, INEA will support an effective knowledge exchange process to enable an effective and consistent policy-research projects' results feedback loop between INEA and the parent DGs throughout 2016. INEA will continue to develop an effective feedback from projects to policymaking. In general, project related information is available to policy officers through the Horizon 2020 dissemination tools such as CORDA and CORDIS and the initiatives of the Horizon 2020 Common Support Services. In addition, in response to a request from Parent DGs project related information can be identified and provided to policymakers on a case by case basis (e.g. workshops, clustering events, topic summaries, etc., depending on the request and available resources).

Coordination with research family services

The Agency will continue its active participation to the coordination groups and steering committees established by DG RTD for the improvement of Horizon 2020.

Communication

In 2016, INEA will continue to implement its multi-annual communication strategy designed to raise awareness about the Horizon 2020 programme, and encourage the necessary action by beneficiaries and stakeholders. INEA's strategy is guided by the corporate themes of the Commission, the priorities of the Research and Innovation DGs (which are jointly responsible for Horizon 2020 policy communication), the Common Communication Strategy for Horizon 2020, and INEA's own strategic objectives.

All external communication actions (excluding stakeholder events) relating to Horizon 2020 funded activities need to be coherent and coordinated across the Research and Innovation family and the agencies that support them. INEA will work in collaboration with the Commission according to the specific communication responsibilities and the division of tasks between the Agency and the responsible Commission services, as defined in the MoU.

INEA communication activities will support the whole Horizon 2020 project lifecycle during 2016. In particular the Agency will continue to focus on promoting the visibility of the Calls for Proposals, Info Days, and the role of the Agency, as part of the efforts to continue opening up the funding possibilities and process. Potential applicants need to be encouraged to get involved in preparing and delivering projects that are an essential element in achieving EU policy priorities and objectives.

INEA will also support communication on project results and impacts by identifying 'promising stories' for the annual monitoring reports and 'success stories' for the evaluation reports or the organisation of events. The Agency will work together with the parent DGs to integrate information regarding project results via the Horizon 2020 Participant Portal and other similar initiatives like the Transport Research and Innovation Portal (TRIP), the SET-Plan Information System (SETIS) including the Energy Research Knowledge Centre (ERKC)

and the Smart Specialisation Platform on energy¹⁹. INEA will liaise with the Common Support Centre and the parent DGs for the dissemination and exploitation of the programme results, and collaborate with the Research Enquiry Service (RES) for communication with the Horizon 2020 stakeholders. INEA will also aim to create future communication synergies between CEF, Horizon 2020 and ESIF.

The Agency will support the Research and Innovation DGs, in enlarging the dialogue with stakeholders, which include the research community and relevant EU bodies. This dialogue will include continuing to build trustful relationships and fruitful cooperation with the research interlocutors.

In this respect INEA will continue to work towards five external communication objectives that will all be supported and implemented by a realistic range of specific actions.

Communication objectives

- Promoting funding opportunities by raising visibility and awareness for Calls for Proposals;
- Promoting achievements, project results and successes in order to increase EU and programme visibility;
- Contributing to synergies and economies of scale on specific communication messages relating to common activities and initiatives (calls, project results) and support (publicity);
- Contributing to supporting the link between research and innovation results and infrastructure development;
- Raising the visibility of INEA's added value, and highlighting results in programme efficiency.

2.2.2. Horizon 2020 Energy

The Horizon 2020 Energy projects implemented by INEA contribute to:

- enabling the Union to achieve its targets of a 20% reduction of greenhouse gas emissions, a 20% increase in energy efficiency and raising the share of renewable energy to 20% by 2020, while ensuring greater solidarity among Member States;
- making the transition to a reliable, sustainable and competitive energy system, in the face of increasingly scarce resources, increasing energy needs and climate change;
- enhancing Union security of energy supply;
- building an economy based on knowledge and innovation across the whole Union, while contributing to sustainable development;
- creating and maximising synergies between EU programmes to ensure research and innovation activities are successively deployed;

¹⁹ S3P-Energy <http://s3platform.jrc.ec.europa.eu/s3p-energy>

- Blue Growth - the aim of harnessing the huge potential of Europe's oceans, seas and coasts for jobs and growth.

In particular, INEA will contribute to DG RTD specific objective 'To ensure an effective and efficient implementation of Horizon 2020 and other RTD programmes and maximise synergies' and indirectly to the objective 'To implement the Research, Innovation and Competitiveness dimension of the Energy Union, together with a forward-looking climate-change policy'. INEA will also contribute to DG ENER specific objectives 'Tapping the job and growth potential of the energy sector and further developing energy technologies (Horizon 2020), including ITER and the safe and secure use of nuclear energy'²⁰ - more specifically, to harness job and growth potential – and indirectly to 'Promoting the decarbonisation of the EU energy mix and the increase of energy production from low carbon energy sources, in particular renewables'. These specific objectives will ultimately contribute to the Commission general objective 'A Resilient Energy Union with a Forward-Looking Climate-Change Policy'.

Specific objective 6:

Support for secure, clean and efficient energy by the effective and efficient implementation of the Horizon 2020 Specific Programme Societal challenge related to energy – including its digital technology aspects.

Technical and financial management

The Agency continues to build on the experience gained for the operational management of the programme during the earlier Calls and now has full responsibility for the management and operation of the Horizon 2020 Calls delegated to the Agency.

The remaining pre-financing payments for the 2015 projects will be made in the first quarter of 2016. The Agency will also attend kick-off meetings for many of the 2015 projects.

All 113 projects will submit deliverables in 2016. One project will submit its final report in 2016 and 55 will submit their first periodic report. All will be accompanied by a request for payment, of which 34 are expected to be made in 2016.

Grant preparation for three projects from Competitive Low Carbon Energy (LCE) Calls 2015 will be finalised by March 2016 with pre-financing to follow.

INEA estimates that 45 proposals will be invited for Grant Agreement preparation, of which 33 will be signed and pre-financed in 2016. For the remaining 12 projects grant preparation is expected to start in 2017.

The experience from 2014 and 2015 shows that meeting the eight months deadline for signature of Grant Agreements will remain a significant challenge in 2016, particularly as this will now coincide with the submission of the first reporting of the running projects which will require careful planning of tasks and resources.

²⁰ As per information available on 11/03/2016.

Call management

In 2016, INEA will coordinate the evaluations of the activities delegated to the Agency in the context of the Energy Societal challenge. This will include the organisation of five Calls on LCE, Smart and Sustainable Cities (SCC). INEA will be actively involved in the organisation of the evaluations of the 'Blue Growth' focus area, coordinated by the Research Executive Agency (REA). INEA estimates that it will evaluate around 580 proposals in all 5 calls. The corresponding global commitments for 358.76 EUR million will be made in the first half of 2016.

In 2016, the activities related to call management have been spread throughout the year in order to make optimal use of the existing resources to perform the call management tasks and to ensure a more even spread of grant preparation and project reporting. This translates into an increased number of deadlines which have been set out in the Horizon 2020 Work Programme for 2016/2017.

INEA will continue to liaise with the relevant parent DGs, in particular with those retaining responsibility on some parts of the calls.

In peak moments, practical solutions to manage the workload shall be determined by the Agency in close collaboration with the parent DGs.

Building on its previous experience, and to maximise coherence and consistency in processes and procedures for call management, INEA will encourage as best practice the operational contacts with EASME that shares responsibility for managing the implementation of parts of the Horizon 2020 Energy Challenge.

Table 11. Horizon 2020 Energy Call Planning 2016²¹

Title	Call reference	Opening date	Deadline for submission	Time to grant	Topics for INEA	Estimated budget for INEA topics (EUR million) ²²	Parent DG
Competitive Low-Carbon Energy	Single Stage	27/10/2015	16/02/2016	16/10/2016	6	118.3	RTD
Blue Growth	Single Stage	27/10/2015	17/02/2016	17/10/2016	1	2	RTD
Competitive Low-Carbon Energy	Single Stage	08/12/2015	05/04/2016	05/12/2016	2	93.46	ENER
Smart Cities and Communities	Single Stage	08/12/2015	05/04/2016	05/12/2016	1	60	ENER
Competitive Low-Carbon Energy	Single Stage	11/05/2016	08/09/2016	08/05/2017	6	85	RTD

²¹ The detailed list of Call topics to be delegated to INEA can be found in the Horizon 2020 Work Programme 2016-2017.

²² The total Calls estimated budget does not match with the total budget as the parent DGs transferred additional commitment appropriations which will be used to finance additional projects on top of the calls budget

Table 12. Horizon 2020 Energy outputs in 2016

Relevant general objective(s): A resilient Energy Union with a forward-looking climate change policy,			
Specific objective: Support for secure, clean and efficient energy by the effective and efficient implementation of the Horizon 2020 Specific Programme Societal challenge related to energy - including its digital technology aspects		Related to spending programme(s) Horizon 2020 Energy	
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: Operational expenditure²³	
Description	Number of outputs	Budget line	EUR million
Pre-financing	40	32 04 03 01	244.00
Interim payments	26	06 03 03 01	45.00
Final payments	2	32 04 50 01 08 02 03 03 08 02 50 01 ²⁴	0.30
KEY ACTIONS	Number / %	Estimated deadline	Responsible Unit / Remarks
Opening of calls for proposals	100% ²⁵	See table 12 above	R1
Establishment of contact Calls helpdesk	1 ²⁶	Active year-round	R1
Receipt of proposals	581	See table 12 above	R1
Evaluation of the proposals	100% of admissible and eligible proposals	See table 12 above	H1, R1
Grant preparations	55 ²⁷	See table 12 above	H1
Signature of grant agreements	40 ²⁸	See table 12 above	H1
Making of individual commitment	40	Before end 2016	H1, R3
Execution of pre-financing payment	40	30 days after the entering into force of the grants.	H1, R3
Receipt and evaluation of progress report	26	Evaluation of the progress report: no later than 60 days after the end of the reporting period. Evaluation report: maximum 5 months after the end of the reporting period.	H1, R3
Execution of interim payment	26	Maximum 5 months after the end of the reporting period.	H1, R3
Receipt and evaluation of final report	2	Receipt of the reporting: no later than 60 days after the end of the reporting period.	H1, R3

²³ Including the contribution from DG MOVE for the 2014 and 2015 Smart Cities and Communities' projects (estimated at 7 EUR million on budget line 06.030301).

²⁴ This appropriation is intended to cover expenditure corresponding to revenue giving rise to the provision of additional appropriations from (non-European Economic Area) third parties or third countries participating in projects in the field of research and technological development, for the 2014-2020 period.

²⁵ All Horizon 2020 calls are published once the WP is adopted. All the calls managed by INEA will be open before the end of 2016.

²⁶ Helpdesk open on a permanent basis for the Horizon 2020 Societal Challenge.

²⁷ This includes a limited number of projects from 2015 calls.

²⁸ All grants whose grant agreement preparation starts in 2016 will be signed in 2016. Out of the 55 projects to be signed, 15 projects will be signed in 2017 because the TTG is in 2017.

		Evaluation report: maximum 6 months after the end of the reporting period.	
Execution of final payment	2	Maximum 6 months after the end of the reporting period.	H1, R3

2.2.3. *Horizon 2020 Transport*

The Agency has been entrusted with the efficient technical and financial management of projects co-financed under the Transport Societal Challenge of Horizon 2020.

The Horizon 2020 transport projects implemented by INEA contribute to address the objectives set out in the Transport Work programme, namely:

- a resource efficient transport that respects the environment by making aircraft, vehicles and vessels cleaner and quieter to minimise the transport system's impact on climate and the environment, by developing smart equipment, infrastructures and services and by improving transport and mobility in urban areas;
- better mobility, less congestion, more safety and security with a substantial reduction of traffic congestion; with a substantial improvement in the mobility of people and freight; by developing new concepts of freight transport and logistics and by reducing accident rates, fatalities and casualties and improving security;
- global leadership for the European transport industry by reinforcing the competitiveness and performance of European transport manufacturing industries and related services including logistic processes, and retaining areas of European leadership;
- socio-economic and behavioural research and forward looking activities for policy making. The aim is to support improved policy making which is necessary to promote innovation and meet the challenges raised by transport and the societal needs related to it.

In particular, INEA will contribute to DG RTD specific objective 'To ensure an effective and efficient implementation of Horizon 2020 and other RTD programmes and maximise synergies' and indirectly to the objective 'To implement the Research, Innovation and Competitiveness dimension of the Energy Union, together with a forward-looking climate-change policy'. In addition, INEA will contribute to DG MOVE specific objective 'An innovative transport sector: Ensure the effective implementation of funding for research and innovation activities in the transport area under Horizon 2020'²⁹. All these specific objectives will ultimately contribute to the following Commission general objectives:

- 'A New Boost for Jobs, Growth and Investment'
- 'A Connected Digital Single Market'
- 'A Resilient Energy Union with a Forward-Looking Climate Change Policy'
- 'A Deeper and Fairer Internal Market with a Strengthened Industrial Base'

²⁹ As per information available on 11/03/2016.

Specific Objective 7:

Support for smart, green and integrated transport through the effective and efficient implementation of the Horizon 2020 Specific Programme Societal challenge related to transport -including its digital technology aspects.

Technical and financial management

The Agency continues to build on the experience gained during the earlier Calls and has now assumed full responsibility for the management of the Horizon 2020 Calls delegated to it.

During 2016, first reviews, interim payments, grant signature of the 2015 calls and grant preparation of the 2016 calls will be carried out.

For the ongoing projects, some deliverables are scheduled for 2016. Additionally, the first reviews and interim payments are planned for 7 projects for Mobility for Growth and 3 in Blue Growth.

Grant preparation for one Blue Growth project under the 2015 Call will be finalised and signature is planned for February 2016 with the pre-financing to follow.

The three on-going evaluations for the 2015 Calls on Mobility for Growth and Green Vehicles will be concluded in March. It is envisaged that around 30 projects will be selected for funding thereby triggering the grant agreements preparation for these. The final signature for these grants is planned for September 2016 with pre-financings to follow.

The experience from 2014 and 2015 shows that meeting the eight months deadline for signature of grant agreement will remain a significant challenge. In particular, the overlap of grant preparation and evaluation in spring 2016 will be a challenge.

With the submission of the first interim reports in 2016, INEA will review its procedures for handling deliverables, ex ante desk checks and reports, working within the structures set up by the Common Support Service for Horizon 2020.

Call management

In 2016, INEA will coordinate the evaluations of the activities delegated to the Agency in the context of the Transport Societal challenge as included in the Horizon 2020 Mobility for Growth Work Programme for 2016-2017. This refers in particular to the calls "Mobility for Growth" and "Green Vehicles" together with the recently introduced call for "Automated Road Transport". INEA will in addition be actively involved in the organisation of the evaluations of the "Blue Growth" focus area, coordinated by REA. The total budget of the 2016 calls delegated to INEA is 329 EUR million. The global commitments will be created in the first semester of 2016.

In 2016, the activities related to call management have been organised to align with the deadlines which have been set out in the Horizon 2020 2016/2017 Work Programme. In close collaboration with the parent DGs, INEA will build from its increasing experience in the management of the programme taking into account lessons learned.

In addition, to achieve optimal use of existing resources and maximise coherence and consistency in processes and procedures for call management, INEA will closely liaise with the parent DGs which retain responsibility on some part of the calls and with EASME who are currently managing the legacy of the Intelligent Energy Europe programme which includes an important transport component.

Table 13. Horizon 2020 Transport Call Planning 2016³⁰

Title	Call reference	Opening date	Deadline for submission	Time to grant	Topics for INEA	Estimated budget for INEA topics (EUR million) ³¹	Parent DG
Mobility for Growth	Two Stages	15/10/2015	20/01/2016 (1 st stage) 29/09/2016 (2 nd stage)	29/05/2017	11 Topics	174	RTD/ MOVE
Automated Road Transport	Two Stages	15/10/2015	20/01/2016 (1 st stage) 29/09/2016 (2 nd stage)	29/05/2017	3 Topics	61	RTD/ MOVE
Mobility for Growth	Single Stage	15/10/2015	26/01/2016	26/09/2016	3 topics ³²	22	RTD
Green Vehicles	Single Stage	15/10/2015	26/01/2016	26/09/2016	2 topics	65	RTD
Blue Growth	Single Stage	27/10/2015	17/02/2016	17/10/2016	1 topic	7	RTD

Table 14. Horizon 2020 Transport outputs in 2016

Relevant general objective(s): A new boost for jobs, growth and investment, A Connected digital single market, A resilient Energy Union with a forward-looking climate change policy, A deeper and fairer internal market with a strengthened industrial base.			
Specific objective: Support for smart, green and integrated transport through the effective and efficient implementation of the Horizon 2020 Specific Programme Societal challenge related to transport – including its digital technology aspects		Related to spending programme(s) Horizon 2020 Transport	
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: Operational expenditure³³	
Description Milestone (per quarter/semester)	Number of outputs	Budget line	EUR million
Pre-financing	47	06 03 03 01	200.0
Interim payments	4	06 03 50 01 08 02 03 04	8.0

³⁰ The detailed list of Call topics to be delegated to INEA can be found in the Horizon 2020 Work Programme 2016-2017.

³¹ The total Calls estimated budget does not match with the total budget as the parent DGs transferred additional commitment appropriations which will be used to finance additional projects on top of the calls budget.

³² Including one Coordination and Support Action (CSA).

³³ 7 EUR million were transferred from Horizon 2020 Transport challenge to Horizon 2020 Energy challenge (budget line 06 03 03 01).

Final payments	0	08 02 50 01 ³⁴	0.00
KEY ACTIONS	Number / %	Estimated deadline	Responsible Unit / Remarks
Opening of call for proposals	100% ³⁵	See table 14 above	R1
Establishment of Calls helpdesk	1 ³⁶	Active year-round	R1
Receipt of proposals	757	See table 14 above	R1
Evaluation of the proposals	100% of admissible and eligible proposals	See table 14 above	R1, H2
Negotiation of the contracts	47 ³⁷	See table 14 above	H2
Grant preparation	47	See table 14 above	H2
Making of individual commitment	47	Before end 2016	H2, R3
Execution of pre-financing payment	47	Within 30 days after the entering into force of the grants.	H2, R3
Receipt and evaluation of progress report	4	Receipt of the reporting: no later than 60 days after the end of the reporting period. Evaluation of the progress report: maximum 5 months after the end of the reporting period.	H2, R3
Execution of interim payment	4	Maximum 5 months after the end of the reporting period.	H2, R3
Receipt and evaluation of final report	0	Receipt of the reporting: no later than 60 days after the end of the reporting period. Evaluation report: maximum 6 months after the end of the reporting period.	H2, R3
Execution of final payment	0	Maximum 6 months after the end of the reporting period.	H2, R3

As presented in part 1 (see page 5), INEA has selected 5 KPIs common to all delegated Programmes in order to monitor and report throughout the year on the efficiency and effectiveness of the Programmes execution by INEA. The table below shows the latest performance data at 31 December 2015 for Horizon 2020 Transport and Horizon 2020 Energy that will be used as a baseline for 2016.

³⁴ This appropriation is intended to cover expenditure corresponding to revenue giving rise to the provision of additional appropriations from (non-European Economic Area) third parties or third countries participating in projects in the field of research and technological development, for the 2014-2020 period.

³⁵ All Horizon 2020 calls are published once the WP is adopted. All the calls managed by INEA will be open before the end of 2016.

³⁶ Helpdesk open on a permanent basis for the Horizon 2020 Societal Challenge.

³⁷ This includes a significant number of projects from the 2015 calls.

Table 15. Overview of KPIs for Horizon 2020 Programmes

Baseline 2015			
	Horizon 2020 Transport	Horizon 2020 Energy	Target
% of commitment execution			
- C1 commitment	100%	100%	100%
- Individualisation of 2014 remaining global commitment	99.9%	99.8%	
% of payment execution			
	100%	100%	100%
Time to grant			
	232 days	216 days	245 days
Net time to pay			
	13.8	17.0	30 days
	-	-	90 days
Residual multi-annual ex-post error rate			
	NA	NA	< 2%

3. PART 4. ORGANISATIONAL MANAGEMENT

Specific Horizontal objective

Maximise the efficiency of INEA's resources, programme support and administrative support so as to help the Agency achieve its objectives.

INEA's horizontal Department will ensure the overall coordination and provide high level services for the effective and efficient implementation of CEF and Horizon 2020 programmes and the Agency's objectives laid down in the present AWP 2016. As an ultimate objective, the organisation of the whole external evaluation exercise for the CEF Programme will revolve around efforts to simplify, harmonise and digitalise the dedicated services, infrastructure and resources. Enhanced cooperation will be ensured in those shared tasks and services provided externally such as the Common Support Service and the Common Support Centre. In terms of communication, support will be provided throughout the project lifecycle and will include dissemination of call related information from the launch up to the final publication of Commission Framework Decisions. Regarding the co-financed on-going and successfully completed projects, new and innovative ways of increasing their visibility will be developed and a better understanding of their impact vis-à-vis policy objectives. Finally, 2016 will gather first best practices and meaningful project implementation data that can support future policy design.

INEA's 2016 draft operating budget is EUR 24,013,018 (plus an additional EUR 153,241 of EFTA credits and 108,137 of Third Party Credits) for a total staff of 247 and it has been divided between INEA's Annual Work Programme objectives. An additional four contract agents will be recruited on the basis of EFTA credits. The table below presents an overview of the staffing and operating costs per programme (including the staffing and costs of each specific operational objective and the staffing and costs of the horizontal objective split pro-rata across programmes).

Table 16. INEA Human Resources and related operating budget 2016

INEA Programmes	Requested in AWP 2016					
	TA (of which secondments)	CA	Total	Related admin budget (€)	EFTA credits (€)	Third Party credits (€)
TEN-T Legacy	12,5 (4)	38,5	51	4.961.191	-	-
Marco Polo Legacy	2 (0)	5	7	680.948	-	-
CEF-Transport (incl. Cohesion)	23,5 (8)	70,5	94	9.144.156	-	-
CEF-Energy	8,5 (2)	24,5	33	3.210.182	-	-
CEF-Telecoms	3 (1)	9	12	1.167.339	20.858	-
Horizon 2020 Energy	7 (5)	19	26	2.521.585	68.839	56.231
Horizon 2020 Transport	6,5 (4)	17,5	24	2.327.617	63.544	51.906
Total	63 (24)	184	247	24.013.018	153.241	108.137

Support to policy making

INEA will continue to focus on strengthening the links between sector policy-making and programme implementation, to enhance cross-sectorial expertise in reporting, to effectively contribute to the appropriate implementation of the parts of the programmes delegated to the Agency and to ensure an effective feedback loop from programme implementation and project results to policy. This will include providing feedback from the evaluation of calls for proposals, preparing reports on progress in projects, clusters of projects and programme implementation per sector, indicating the success and/or constraints in the implementation of future calls for proposals aligned with policy priorities.

Strategic Planning and Programming (SPP)

In the light of the overall revision of the Instructions for the Strategic Plans (2016-2020) and Management Plans undertaken by the Commission's central services in 2015, INEA will explore the opportunity to develop a multi-annual corporate strategy in collaboration with parent DGs. Potential links between an Agency's multiannual strategy and the on-going development of Programme performance indicators will be explored. Based on the communication activities carried out during 2015, a specific Communication Strategy on SPP will be developed. Finally, the use of a collaborative workspace (SharePoint) introduced in the Agency for the SPP exercises in 2015, will be further expanded within the Agency and the Commission services.

Legal affairs

Besides the work associated to the validation of new grant agreements, it is anticipated that in 2016 the workload associated to amending existing grant agreements will increase in proportion to the growing portfolio of grant agreements. The same tendency is expected for Horizon 2020. In this respect, guidelines on how to proceed with the CEF and Horizon 2020 grant agreement amendments should be prepared.

The Manual of Procedures will be further revised to align its content with the working methods established in 2015 for the management of the newly delegated activities. The ongoing exercise to keep models and guidelines updated will continue during 2016.

3.1. Relevant objectives and indicators

3.1.1. Human Resource Management

In 2016, Human Resource Management will be concentrated on filling the remaining posts allocated in 2015, recruiting for the additional positions for 2016 - as well as recruiting due to staff turnover and for external recruitments. The ultimate goal is to have all posts occupied and to keep the vacancy rate below 3%.

The multi-annual INEA HR Strategy prepared in 2015 will be implemented by addressing the issues that were raised in the Commission's staff survey and a subsequent follow up INEA survey. The strategy will be accompanied by a 2016 Action plan to target the issues related to staff motivation, staffing and workload, better career development, training and well-being. In order to ensure the efficient use of available resources within the agency the allocation of roles, responsibilities and workload will be periodically assessed. DG MOVE will be consulted in relation with the HR Strategy as to enable the development of further synergies. As a result of the detailed learning needs analysis, a Multi-Annual Learning and Development Framework will also be prepared to give rise to a number of training actions aiming at supporting the mission and core business of the Agency, focusing on training and development of newcomers, managers and existing staff.

Table 17. Indicators for Human Resources

Objective: The DG deploys effectively its resources in support of the delivery of the Commission's priorities and core business, has a competent and engaged workforce, which is driven by an effective and gender-balanced management and which can deploy its full potential within supportive and healthy working conditions.	
Indicator 1: Percentage of staff who feel that the Commission cares about their well-being ³⁸	
Source of data: Commission staff survey	
Baseline (2014)	Target
39%	50% through the implementation of the fit@work programme
Indicator 2: Staff engagement index	
Source of data: Commission staff survey	
Baseline (2014)	Target
63%	67% through all actions deriving from the HR strategy

In order to meet the target on well-being, INEA will make use of a large range of Well-being tools:

- Continue participation in the Fit@work network;
- Collaboration with the Staff Committee correspondent for well-being;
- Organisation of several social events for the staff and its family, sports activities (yoga, Pilates), team buildings, a Vitality Week etc.;

³⁸ This indicator may be replaced by a fit@work index on which DG HR is currently working.

- Existence of well-being facilities in-house;
- Organisation of ergonomic training;
- Assessment of the 2015 teleworking pilot exercise and implementation of the new regulation.

In order to meet the target for the staff engagement, INEA will make use of a wide range of tools such as:

- Initiatives to integrate existing with new staff such as the Coffee with the Director (informal meeting to discuss the improvement of working methods and workflows);
- To develop staff potential through Career Guidance Activities and Internal mobility exercises when needed;
- Organisation of Away Days or Workshop promoting synergies within the Agency;
- Continue the implementation of the Staff Retention policy, the Staff Engagement Policy and the application of the Learning and Development Strategy to boost special training and the career development for the staff;
- Existence of a Tutoring scheme and Mentoring scheme;
- Foster transparency and regular communication with all staff regarding new decisions;
- Development of the Inter-Agency Job Market for TA staff and future establishment of another one for CAs;
- Participation in the semi-permanent EPSO CAST to boost staff career;
- Implementation of an Action Plan deriving from the analysis of the Job Satisfaction Survey 2014 results.

Financial Management

The overall objective will be to plan, implement, monitor and report on the spending of financial resources in compliance with the sound financial management principle.

The Agency will document its procedure to ensure a coherent and transparent approach in the forecasting, implementation and monitoring of its operational budget. Taking into account the multiannual character of the CEF programme with its annual instalments, the current methodology used for budgetary planning will be further elaborated in the light of the first year of implementation of the CEF programme.

INEA will closely cooperate with its unit counterparts in the parent DGs to ensure optimal budget execution and to establish its operational draft budget for 2017.

Concerning the operating budget, following the successful testing of Speedwell - a paperless workflow web-based will be used for processing payments. In 2016 INEA will also test another web-based application called Bluebell, for the monitoring of its operating budget implementation.

3.1.2. Financial control: Internal Control and Risk Management

INEA will design and implement a control strategy for the CEF and Horizon 2020 programmes delegated to the Agency, in line with corporate guidance and with the common Horizon 2020 control and audit provisions including the CEF Multi-Annual Audit strategy for 2014-2020.

2016 will generate the first interim payments experience for CEF and Horizon 2020 allowing to fine-tune financial control mechanisms based on actual data, allowing to gather experience and improved working assumptions.

INEA has established a set of cost efficiency indicators in order to provide an overall assessment of the costs and benefits of controls. These indicators allow management to support their allocation of control resources, to adapt the frequency and intensity of controls taking into account the risk level and to draw a conclusion on the control cost-effectiveness and efficiency. Further fine-tuning of the indicators is expected based on experience gathered.

The Risk Management exercise for 2016 has been a bottom-up exercise establishing local Risk Registers at Unit and Department level, feeding the INEA Risk Register, as well as becoming a building block for the Authorising Officers by Sub-Delegation to provide their assurance to the Authorising Officer by Delegation.

The 2016 INEA Risk register holds four significant risks which will be closely monitored through the associated Action Plan and a mid-term revision process. No critical risks have been identified.

The current Internal Control Framework is in the process of being revised at the Commission level. The outcome will be reflected in the continuous efforts of INEA to maintain and further develop its processes and procedures used for the implementation and control of its activities and keep the related documentation up to date. This includes amongst others the updating of: the Manual of Procedures, INEANet, the roll-out of the updated Anti-Fraud Strategy and analysing data management needs at corporate level.

Table 18. Indicators for Internal Control and Risk Management

Overarching objective: The Authorising Officer by Delegation should have reasonable assurance that resources have been used in accordance with the principles of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions including prevention, detection, correction and follow-up of fraud and irregularities.	
Objective 1: Effective and reliable internal control system giving the necessary guarantees concerning the legality and the regularity of the underlying transactions	
Indicator 1: Estimated residual error rate³⁹	
Source of data: Residual Error rate calculations for TEN-T, Marco Polo legacy programmes ⁴⁰ .	
Baseline (Marco Polo and TEN-T residual error over 2007-2013 programme)	Target
<i>Below 2%</i>	<i>Maintain residual error rate below 2%</i>

³⁹ For the definition, see the first annex to the AAR instructions 2014 "Key definitions for determining amounts at risk" at <https://myintracomm.ec.europa.eu/budgweb/EN/rep/aar/Documents/aar-standing-instructions.pdf>.

⁴⁰ No residual error rate calculation will be available in 2016 for CEF/Horizon 2020 due to incomplete expenditure cycle.

Indicator 2: Estimated overall amount at risk for the year for the entire budget under INEA responsibility	
Source of data: total payment appropriations executed in 2016 by INEA (excluding pre-financings)	
Baseline 2016 payments (excluding initial and further pre-financings)	Target
<i>Not available</i>	<i>Below 2%⁴¹</i>
Indicator 3: Estimated future corrections	
Source of data: ABAC.	
Baseline (2015 payments (excluding initial and further pre-financings)	Target
<i>3,08 %</i>	<i>N/A</i>

Objective 2: Effective and reliable internal control system in line with <u>sound financial management</u>.	
Indicator 1: Conclusion reached on cost effectiveness of controls	
Source of data: Annual Activity Report 2015	
Baseline (2015)	Target
<i>Yes or No</i>	<i>Yes or No</i>
Indicator 2: Ratio between costs and benefits	
Source of data: Annual Activity Report 2015	
Baseline (2015 AAR)	Target
<i>Ratio 17.4 to 1</i>	<i>Quantifiable benefits outweigh the cost of controls</i>
Indicator 3: Percentage of Cost of controls over expenditure	
Source of data: Annual Activity Report 2015	
Baseline (2015 AAR)	Target
<i>0.9%</i>	<i>Costs of control represent a low percentage of the total expenditure.</i>

Objective 3: Minimisation of the risk of fraud through application of effective anti-fraud measures, integrated in all activities of the EA, based on the EA's anti-fraud strategy (AFS) aimed at the prevention, detection and reparation of fraud.		
Indicator : Updated anti-fraud strategy of INEA, elaborated on the basis of the methodology provided by OLAF⁴²		
Source of data: INEA' AFS		
Baseline (Last update)	Interim Milestone	Target
<i>2013</i>	<i>Revision of AFS 2015</i>	<i>Update every 2 years, as set out in the AFS</i>
Indicator 2: Fraud awareness is increased for target population(s) as identified in the EA's AFS		
Source of data: INEA' AFS		
Baseline (2016)	Interim Milestone	Target
<i>Not available</i>	<i>Not relevant</i>	<i>100% target population(s) reached</i>
Indicator 3: Regular monitoring of the implementation of the anti-fraud strategy and reporting on its result to management		

⁴¹ Based on the overall residual error rate for the TEN-T Programme 2007-2013, the overall amount at risk for the financial transactions should remain below 2% of the total 2016 payments for TEN-T and by analogy to CEF. The same target applies for Horizon 2020 payments.

⁴² The methodology can be found on the FPDNet website: <https://myintracom.ec.europa.eu/serv/en/fraud-prevention/ToolBox/Documents/Methodology%20and%20guidance%20for%20DGs%20anti-fraud%20strategies.pdf>. In particular paragraph 3 of the methodology is relevant.

Source of data: INEA' AFS		
Baseline (2016)	Interim Milestone	Target
<i>Not available</i>	<i>Reporting in Bi-annual Report and AAR</i>	<i>Twice per year</i>

3.1.3. IT, logistics and information management

IT Strategy

INEA will continue to develop and manage a reliable and secure IT infrastructure that provides a responsive set of comprehensive and user friendly information systems for the management of technical and financial data related to projects funded under the Agency's delegated programmes. The delivery of information services relies primarily on a solid IT governance structure where project prioritization and resource allocation are discussed leading to key IT decisions.

In 2016 INEA will explore the use of ITIC services. In light of the biennial progress report on the TEN-T implementation, the Agency should closely work with DG MOVE in order to ensure the integration of data stemming from the TENtec modules iReport and the ASR. For Horizon 2020, INEA uses the common IT tools.

INEA will focus on accommodating the hosting of 50 additional staff members in terms of infrastructure and providing efficient user support to all staff for the IT network. It will also be preparing the Agency's extension in the current building as of January 2016 and will continue to maintain the disaster recovery plan and other fall-back mechanisms. New videoconferencing and web-streaming services will be deployed in 2016 providing a flexible and cost-effective communication means to the Agency's staff. New working methods will be investigated and applied to increase the efficiency of internal staff or external stakeholders such as the 'bring-your-own-device' policy for external experts and the recourse to WiFi communications during evaluation periods.

Repetitive and time consuming processes will be automated as well, for example the compilation of project fiches at the end of evaluation exercises. Moreover, IT helpdesk services will be further enhanced and optimised by deploying new tools at the disposal of the Agency's users.

Efforts will also be made to ensure the reception, archiving and traceability of the files related to the Transport, Energy and Telecommunications calls for proposals scheduled in 2016.

Reporting

In 2016, INEA will make a particular effort to analyse and define the reporting needs of each sector/programme in close cooperation with INEA's managers and parent DGs. Activities will start as soon as possible to allow for a meaningful support to the Programmes' mid-term evaluations. A concept paper on INEA's internal and Programme reporting will be prepared. Also in order to improve the reporting methods and tools, INEA will phase in the new reporting and Business Intelligence tool QlikSense.

INEA will also follow the Common Support Center decisions and instructions related to reporting on Horizon 2020.

Table 19. Indicators for Information management

Objective: Information and knowledge in your DG is shared and reusable by other DGs. Important documents are registered, filed and retrievable	
Indicator 1: Percentage of registered documents that are not filed⁴³ (ratio)	
Source of data: Hermes-Ares-Nomcom (HAN) ⁴⁴ statistics	
Baseline (2014)	Target
2.68%	0%
Indicator 2: Number of HAN files readable/accessible by all units in the EA	
Source of data: HAN statistics	
Baseline (2014)	Target
84.68%	85%
Indicator 3: Number of HAN files shared with other DGs	
Source of data: HAN statistics	
Baseline (2014)	Target
14.67%	15 %

3.1.4. External Communication

In 2016, INEA will continue to implement its *multi-annual communication strategy*. The strategy integrates both external and internal communication aspects, including on the core values of INEA and the key messages to be transmitted by staff members in their external communication. INEA's external communication focuses on programme implementation – in particular the follow-up of the technical and financial management of the projects as well as any possible feedback to policy. Details on external communication objectives and actions can be found under CEF and Horizon 2020 horizontal activities.

In addition to providing high quality communication support and services *externally* to all stakeholders, project beneficiaries and parent DGs/Commission services, INEA also provides support and services *internally* for INEA staff.

The Agency's communication activities on Horizon 2020 will be in line with the MoU.

Table 20. Indicators for external communication activities:

Objective 1: Promoting funding opportunities	
Indicator 1: People reached	
Source of data: Web statistics, social media statistics, information day attendance, including web streaming, as well as statistics from participation to other events	
Baseline	Target
Not available	to be set for 2017
Indicator 2: % newcomers to the information days	
Source of data: Feedback forms	
Baseline (2015)	Target
64%	50 % ⁴⁵

⁴³ Each registered document must be filed in at least one official file of the *Chef de file*, as required by the [e-Domec policy rules](#) (and by ICS 11 requirements). The indicator is to be measured via reporting tools available in Ares.

⁴⁴ Suite of tools designed to implement the [e-Domec policy rules](#).

⁴⁵ This is valid only for Horizon 2020 - due to the nature of CEF +/- same stakeholders come back.

Objective 2: Promoting project results/successes	
Indicator 1: People reached	
Source of data: Web statistics, social media statistics, event statistics from parent DGs if available	
Baseline	Target
<i>Not available</i>	<i>to be set for 2017</i>

Objective 3: Engaging with beneficiaries	
Indicator 1: Satisfaction rate of participants for the information day	
Source of data: Feedback forms	
Baseline (2015)	Target
85%	75%
Indicator 2: Number of people retweeting the Info day tweets to their followers (total potential reach)	
Source of data: Twitter stats per call/ hashtag	
Baseline	Target
<i>Not available</i>	<i>to be set for 2017</i>
Indicator 3: Number of people finding content they were looking for on the website	
Source of data: Online survey	
Baseline	Target
<i>Not available</i>	<i>to be set for 2017</i>

Internal communication

Internal communication is focused on strengthening motivation and commitment and boosting team spirit – enabling everyone to feel they belong. The idea is to mobilise all staff as 'ambassadors' for enhanced communication towards EU stakeholders/external contacts and strengthen the Agency's image overall. It helps to maximise efficiency and effectiveness by supporting the delivery of INEA's objectives and should also enable the Agency's services to cooperate effectively and ultimately encourage synergies and economies of scale between programmes.

During 2016 internal communication will focus on measures to raise awareness and present the Agency's communication strategy to staff, including by encouraging implementation of best practice guidelines. It will also aim to give staff essential information and support for their role as ambassadors including training and establishment of an inventory of key briefing materials.

Table 21. Overview table of outputs for the specific horizontal objective

Specific objective: Maximise the efficiency of the Agency's resources, programme support and administrative support so as to help the Agency achieve its objectives.		Related to spending programme(s) TEN-T, Marco Polo, CEF Transport, CEF Energy, CEF Telecommunications, Horizon 2020 Energy, Horizon 2020 Transport.	
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: Operational expenditure	
Description	Number of outputs	Budget line	EUR million
See Operating budget page 45			
KEY ACTIONS	Number / %	Estimated deadline	Responsible Unit / Remarks
Effective recruitment of all the staff authorized for 2016 under EU budget.	100%	30/06/2016	R4
Effective and efficient establishment of the recruitment plan 2017	100%	31/12/2016	R4

Implementation of the annual Action Plan on learning and Developing Strategy	Not applicable	31/12/2016	R4
Adoption of the HR Strategy by the Management	Not applicable	30/06/2016	R4
Keep to the staffing plan 2016 with a vacancy rate below 3%	<3%	31/12/2016	R4
Upgrade the working methods to prepare, monitor and implement INEA's operating budget	Not applicable	31/12/2016	R2
Develop an INEA multi-annual Control Strategy	Not applicable	31/12/2016	D

Specific efforts to improve 'economy' and 'efficiency' of spending and non-spending activities.

According to the Financial Regulation (Art. 30), the principle of economy requires that the resources used by the Agency in the pursuit of its activities shall be made available in due time, in appropriate quantity and quality and at the best price. The principle of efficiency concerns the best relationship between resources employed and results achieved.

The respect of these principles is continuously pursued by INEA through the implementation of internal procedures and predefined practices. These procedures ensure that activities are executed in an efficient manner (e.g. the different workflows contribute to the efficient cooperation between staff, units, etc.) and according to the principle of economy (e.g. the procurement rules ensure procurement in optimal conditions).

INEA is continuously fine-tuning its internal arrangements in order to improve the efficiency and economy of its operations. The following two initiatives show how these principles are implemented in the Agency:

1. Further definition of internal business processes

As a result of the exercise in 2016 to further define the internal business processes and business owners, internal workflows for input validation will become more cost and time efficient and thus will contribute to the horizontal objective of the Agency to maximise the efficiency of INEA's resources, programme support and administrative support so as to help the Agency achieve its objectives.

2. Further development of internal and programme reporting

As part of the further development of the reporting services within the Agency, a concept note on internal and programme reporting will be developed in order to provide more efficient reporting services. The use of new IT tools will be enhanced in order to complement the existing in-house developed IT tools.

3.2. Operating budget, staff and operational appropriations

3.2.1. Operating budget

In line with HR methodology agreed by INEA with its parent DGs, the operating resources (in EUR million) of the Agency are split as follows:

Budget title		EU contribution	EFTA/EEA contribution	Third countries' Contributions	Total appropriations
Title 1	Staff expenditure	17.063.039	116.647	82.314	17.262.000
Title 2	Infrastructure and operating expenditure	5.352.979	36.594	25.823	5.415.396
Title 3	Programme support expenditure	1.597.000			1.597.000
Total		24.013.018	153.241	108.137	24.274.396

Programmes	Title 1			Title 2			Title 3			Total		
	EU Budget	EFTA/EEA	Third countries contrib.	EU Budget	EFTA/EEA	Third countries contrib.	EU Budget	EFTA/EEA	Third countries contrib.	EU Budget	EFTA/EEA	Third countries contrib.
TEN-T Legacy												
Operational	2,809,952			881,532			265,417			3,956,901		
Horizontal	713,186			223,739			67,365			1,004,290		
Marco Polo Legacy												
Operational	385,680			120,995			36,430			543,104		
Horizontal	97,888			30,709			9,246			137,844		
CEF Transport												
Operational	5,179,127			1,624,784			489,201			7,293,112		
Horizontal	1,314,499			412,382			124,163			1,851,044		
CEF Energy												
Operational	1,818,204			570,403			171,741			2,560,348		
Horizontal	461,473			144,772			43,589			649,834		
CEF Telecoms												
Operational	661,165	15,877		207,419	4,981		62,451			931,036	20,858	
Horizontal	167,808			52,644			15,851			236,303		
Horizon 2020 Energy												
ENER operational	574,070	20,999	17,153	180,096	6,588	5,381	51,780			805,945	27,587	22,534
ENER horizontal	145,703			45,710			13,142			204,555		
RTD operational	858,455	31,401	25,650	269,313	9,851	8,047	77,430			1,205,198	41,253	33,697
RTD horizontal	217,882			68,353			19,652			305,888		
Subtotal	1,796,109	52,400	42,803	563,471	16,439	13,428	162,004			2,521,585	68,839	56,231
Horizon 2020 Transport												
MOVE operational	292,048	10,683	8,726	91,621	3,351	2,738	26,342			410,011	14,034	11,464
MOVE - horizontal	74,124			23,254			6,686			104,064		
RTD - operational	1,030,282	37,687	30,784	323,218	11,823	9,658	92,929			1,446,428	49,510	40,442
RTD - horizontal	261,493			82,035			23,586			367,114		
Subtotal	1,657,947	48,370	39,511	520,127	15,174	12,395	149,543			2,327,617	63,544	51,906
Total per Source of Financing within each Title	17,063,039	116,647	82,314	5,352,979	36,594	25,823	1,597,000	-	-	24,013,018	153,241	108,137
Total per Budget Title	17,262,000			5,415,396			1,597,000			24,274,396		

3.2.2. Human Resources

Programmes	Staff (EU Budget)					
	TAs	Of which Seconded officials	CAs	SNEs	Total	Percentage
TEN-T Legacy						21%
operational	10,0	3	30,7		40,7	
horizontal	2,5	1	7,8		10,3	
Marco Polo Legacy						3%
operational	1,6		4,0		5,6	
horizontal	0,4		1,0		1,4	
CEF Transport						38%
operational	18,7	6	56,2		75,0	
horizontal	4,8	2	14,3		19,0	
CEF Energy						13%
operational	6,8	2	19,5		26,3	
horizontal	1,7		5,0		6,7	
CEF Telecom						5%
operational	2,4	1	7,2		9,6	
horizontal	0,6		1,8		2,4	
Horizon 2020 Energy						11%
ENER - operational	2,2	1	6,1		8,3	
CNECT - operational		1				
ENER - horizontal	0,6		1,5		2,1	
RTD - operational	3,3	3	9,1		12,4	
RTD - horizontal	0,8		2,3		3,2	
Subtotal	7	5	19		26	
Horizon 2020 Transport						10%
MOVE - operational	1,1	1	3,1		4,2	
MOVE - horizontal	0,3		0,8		1,1	
RTD - operational	4,0	1	10,9		14,9	
CNECT - operational		1				
RTD - horizontal	1,0	1	2,8		3,8	
Subtotal	6,5	4	17,5		24	
Total	63,0	24	184,0		247	100%

Staff financed by contributions from EFTA and/or third countries	CEF Telecoms	Horizon 2020 Energy	Horizon 2020 Transport
Staff allocated to operational activities	1	2	1
Staff allocated to management and administration	0	0	0
Total	1	2	1

3.2.3. Delegated Operational Appropriations

Budget line		2016	
		Commitment appropriations (in EUR) no EFTA credits authorised	Payment appropriations (in EUR) no EFTA credits authorised
Legacy programmes			
06 02 51	Completion of the Trans-European Network Programme	N.A	576,000,000
06 02 52	Completion of Marco Polo Programme	N.A	17,200,000
CEF Transport			
06 02 01 01	Removing bottlenecks and bridging missing links	1,090,639,777	568,250,000
06 02 01 02	Ensuring sustainable and efficient transport in the long-run	67,767,064	28,500,000
06 02 01 03	Optimising the integration and interconnection of transport modes and enhancing interoperability, safety and security of transport	175,191,042	77,500,000
06 02 01 04	Connecting Europe Facility – Cohesion Fund allocation	2,371,380,457	375,000,000
CEF Energy			
32 02 01 01	Promoting the integration of the internal energy market and the interoperability of networks through infrastructure	164,058,333	42,752,000
32 02 01 02	Enhancing Union security of supply, system resilience and security of system operations through infrastructure	165,058,334	43,223,000
32 02 01 03	Contributing to the sustainable development and protection of the environment through infrastructure	165,058,333	42,752,000

EFTA credits included (rate of 2.73%)

Budget line		2016					
		Commitment appropriations (in EUR)			Payment appropriations (in EUR)		
		EU Budget	EFTA	Total	EU Budget	EFTA	Total
CEF Telecom							
09 03 03 00	Promoting interoperability, sustainable deployment, operation and upgrading of trans-European digital service infrastructures, as well as coordination at European level	66,241,604	1,808,396	68,050,000	18,575,900	507,122	19,083,022
Horizon 2020 Societal challenge 3							
32 04 03 01	Research and Innovations related to energy – Societal Challenges - Making the transition to a reliable, sustainable and competitive energy system	149,654,434	4,085,566	153,740,000	120,947,824	3,301,876	124,249,700
08 02 03 03	Research - Making the transition to a reliable, sustainable and competitive energy system	208,861,920	5,701,930	214,563,850	153,452,947	4,189,265	157,642,212
Horizon 2020 Societal challenge 4							
06 03 03 01	Research and Innovations related to transport – Societal Challenges - Achieving a resource-efficient, environmentally friendly, safe and seamless European transport system	70,086,635	1,913,365	72,000,000	83000,000	2,265,900	85,265,900
08 02 03 04	Research - Achieving a European transport system that is resource-efficient, environmentally friendly, safe and seamless.	251,218,588	6,858,267	258,076,855	126,558,690	3,670,202	130,013,742