Annual Activity Report 2020

Annexes

RESEARCH EXECUTIVE AGENCY

Contents

ANNEX 1: Statement of the Head of Department in charge of Risk Management and Internal Control

"I declare that, in accordance with the Commission's communication on the internal control framework[1], I have reported my advice and recommendations on the overall state of internal control in the Executive Agency to the Director.

I hereby certify that the information provided in the present Annual Activity Report and in its annexes is, to the best of my knowledge, accurate and complete."

Date …

Marc Bellens
e-signed

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[1] C(2017)2373 of 19.04.2017.

ANNEX 2: Performance tables

Implementation by programme part

Table 1 - Implementation of key actions related to MSCA by 31.12.2020

Marie Skłodowska-Curie Actions (MSCA)	Specific objective: 1.7: to ensure optimum development and dynamic use of Europe's intellectual capital of researchers in order to generate new skills and innovation and, thus, to realise its full potential across all sectors and regions.			Parent DG: EAC Related to spending programmes FP7 & H2020
Main outputs in 2020:				
Output	**FP7**		**H2020**	
	AWP 2020 estimate	Final number	AWP 2020 estimate	Final number
Initiatives/events for the promotion of the programme (under full responsibility of REA)			14	4
Calls for proposals			6	6
Evaluation sessions			7	7
Number of individual proposals evaluated			12,335	13,540
Grant finalisation[2]			2,051	1,957
Procedures for selection by the Commission (where necessary)			21	17
Pre-financing payments			1,881	1,615
Payments (Interim/final)	28	28	1,734	1,734

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[2] Number of grants signed in 2020 (for 2019 and 2020 calls).

Table 2 - Implementation of key actions related to FET- Open by 31.12.2020

FET-Open	Specific objective: 2.2: Europe's research funds investment opportunities for potential technology breakthroughs and flagships, in particular through the Horizon 2020 programme and using Private Public Partnerships.			Parent DG: RTD Related to spending programmes H2020	
Main outputs in 2020:					
Output[3]	**FP7**		**H2020**		
	AWP 2020 estimate	Final number	AWP 2020 estimate	Final number	
Initiatives/events for the promotion of the programme (under full responsibility of REA)					
Calls for proposals					
Evaluation sessions					
Number of individual proposals evaluated					
Grant finalisation					
Procedures for selection by the Commission (where necessary)					
Pre-financing payments[4]			3	5	
Payments (Interim/ final)			131	121	

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[3] As explained in section 1.2 of the Annual Activity Report, REA implements the management activities of these calls under the responsibility of DG RTD as part of the Extended EIC Task Force.

[4] As explained in section 1.2 of the Annual Activity Report, these payments relate only to projects that remain under the responsibility of REA i.e. not included in the transfer of responsibility to DG RTD.

Table 3 - Implementation of key actions related to Space activities by 31.12.2020

Space	Specific objective: 1.2: To support research and innovation related to enterprises		Parent DG: DEFIS Related to spending programmes FP7 & H2020
Main outputs in 2020:			
Output	**FP7**		**H2020**
	AWP 2020 estimate	Final number	AWP 2020 estimate	Final number
Initiatives/events for the promotion of the programme (under full responsibility of REA)			6	0
Calls for proposals			2	2
Evaluation sessions			3	3
Number of individual proposals evaluated			194	200
Grant finalisation[5]			37	43
Procedures for selection by the Commission (where necessary)			2	1
Pre-financing payments			25	45
Payments (Interim/ final)	5	4[6]	74	68

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[5] Number of grants signed in 2020 (for 2019 and 2020 calls).

[6] Complementary payments resulting from positive audit findings

Table 4 - Implementation of key actions related to Societal Challenge 2 activities by 31.12.2020

Societal Challenge 2 - Food security, sustainable agriculture and forestry, marine, maritime and inland water research and the bioeconomy	• **Parent DG RTD:** Specific objective 1.3: To ensure an effective and efficient implementation of Horizon 2020 and other R&I programmes and maximise synergies. • **Parent DG AGRI**: Specific objective: To ensure an effective and efficient implementation of Horizon 2020, in particular with regard to Societal Challenge 2, which aims at securing sufficient supplies of safe and high quality food and other bio-based products, by developing productive and resource-efficient primary production systems, fostering related ecosystem services and the recovery of biological diversity, alongside competitive and low carbon supply, processing and marketing chains.	**Parent DGs: RTD & AGRI Related to spending programme H2020**

Main outputs in 2020:				
Output	**FP7**		**H2020**	
	AWP 2020 estimate	Final number	AWP 2020 estimate	Final number
Initiatives/events for the promotion of the programme (under full responsibility of REA)			5	5
Calls for proposals			4	4
Evaluation sessions			12	12
Number of individual proposals evaluated			626	612
Grant finalisation[7]			72	76
Procedures for selection by the Commission (where necessary)			12	18
Pre-financing payments			79	73
Payments (Interim/ final)			153	150

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[7] Number of grants signed in 2020 (for 2019 and 2020 calls).

Table 5 - Implementation of key actions related to Societal Challenge 6 activities by 31.12.2020

Societal Challenge 6 – Inclusive, Innovative and Reflective Societies	• **Parent DG RTD:** Specific objective 1.3: To ensure an effective and efficient implementation of Horizon 2020 and other R&I programmes and maximise synergies. • **Parent DG CNECT:** Specific Objective 2.2: Europe's research finds investment opportunities for potential technology breakthroughs and flagships, in particular through the Horizon 2020 programme and using Private Public Partnerships.	**Parent DGs: RTD & CNECT Related to spending programme H2020**

Main outputs in 2020:				
Output	**FP7**		**H2020**	
	AWP 2020 estimate	Final number	AWP 2020 estimate	Final number
Initiatives/events for the promotion of the programme (under full responsibility of REA)			2	0
Calls for proposals			4	4
Evaluation sessions			1	1
Number of individual proposals evaluated			750	518
Grant finalisation[8]			47	55
Procedures for selection by the Commission (where necessary)			12	7
Pre-financing payments			47	49
Payments (Interim/ final)			68	73[9]

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[8] Number of grants signed in 2020 (for 2019 and 2020 calls).

[9] Three of final payments carried out were complementary payments processed manually in ABAC.

Table 6 - Implementation of key actions related to Societal Challenge 7 activities by 31.12.2020

<table>
<tr>
<td rowspan="2">Societal Challenge 7 – Safeguarding Secure Society</td>
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Parent DG HOME :
Specific objectives under general objective 7:

A strong EU response to tackling terrorism and preventing radicalisation;
Increasing Europe's resilience to crises and disasters;
Protecting and improving the resilience of critical infrastructures, supply chains and transport modes;
Disrupt serious and organised cross border crime;
Fighting cybercrime.

Parent DG CNECT:
Specific Objective 2.2: Europe's research finds investment opportunities for potential technology breakthroughs and flagships, in particular through the Horizon 2020 programme and using Private Public Partnerships.

</td>
<td rowspan="2">Parent DGs: HOME & CNECT Related to spending programmes FP7 & H2020</td>
</tr>
</table>

Main outputs in 2020:				
Output	**FP7**		**H2020**	
	AWP 2020 estimate	Final number	AWP 2020 estimate	Final number
Initiatives/events for the promotion of the programme (under full responsibility of REA)			1	0
Calls for proposals			4	4
Evaluation sessions			1	1
Number of individual proposals evaluated			420	474
Grant finalisation[10]			40	43
Procedures for selection by the Commission (where necessary)			4	9
Pre-financing payments			40	42
Payments (Interim/ final)	2	2	69	69

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[10] Number of grants signed in 2020 (for 2019 and 2020 calls).

Table 7 - Implementation of key actions related to Spreading excellence and Widening Participation activities by 31.12.2020

Spreading Excellence and Widening Participation	Specific objective 1.3: To ensure an effective and efficient implementation of Horizon 2020 and other R&I programmes and maximise synergies.		Parent DG: RTD Related to spending programme H2020	
Main outputs in 2020:				
Output	**FP7**		**H2020**	
	AWP 2020 estimate	Final number	AWP 2020 estimate[11]	Final number
Initiatives/events for the promotion of the programme (under full responsibility of REA)			0	0
Calls for proposals			2	2
Evaluation sessions			2	2
Number of individual proposals evaluated			570	551
Grant finalisation[12]			97	97
Procedures for selection by the Commission (where necessary)			9	7
Pre-financing payments			84	97
Payments (Interim/ final)			63	54

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[11] Excluding Widening Fellowships, for which the data is included in the table above on the Marie Skłodowska-Curie Actions.

[12] Number of grants signed in 2020 (for 2019 and 2020 calls).

Table 8 - Implementation of key actions related to Science with and for Society activities by 31.12.2020

Science with and for Society	Specific objective 1.3: To ensure an effective and efficient implementation of Horizon 2020 and other R&I programmes and maximise synergies.		Parent DG: RTD Related to spending programme H2020	
Main outputs in 2020:				
Output	FP7		H2020	
	AWP 2020 estimate	Final number	AWP 2020 estimate[13]	Final number
Initiatives/events for the promotion of the programme (under full responsibility of REA)			2	3
Calls for proposals			2	5
Evaluation sessions			2	7
Number of individual proposals evaluated			475	409
Grant finalisation[14]			42	64
Procedures for selection by the Commission (where necessary)			5	7
Pre-financing payments			20	55
Payments (Interim/ final)			68	57

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[13] Estimates based only on calls H2020-SwafS-2020-1 (single stage) and H2020-SwafS-2020-2 (2-stage). In addition, call H2020-IBA-SwafS-Support-1-2020 was implemented (17 grants awarded).

[14] Number of grants signed in 2020 (for 2019 and 2020 calls).

Table 9 - Implementation of key actions related to FP7 research for the benefit of SME actions by 31.12.2020

FP7 Research for the benefit of SME actions	Specific objective 1.3: To ensure an effective and efficient implementation of Horizon 2020 and other R&I programmes and maximise synergies.		Parent DG: RTD Related to spending programme FP7	
Main outputs in 2020:				
Output	**FP7**		**H2020**	
	AWP 2020 estimate	Final number	AWP 2020 estimate	Final number
Interim payments/progress reports	0	1		
Final payments/final reports[15]	26	78		

Logistical and administrative support services

Evaluation support

Table 10 - Implementation of key actions related to evaluation support by 31.12.2020

	2019	**2020**			
	Total	**AWP**	**Semester 1**	**Semester 2**	**Total**
Number of calls finalised in CPS	419	450	151	72	223
Number of evaluations supported on-site	126	160	34	0	34
Number of proposals evaluated	53,847	30,000	26,352	28,714	55,066
Number of expected expert weeks on-site*	7,119	9,000	1,602	0	1,602

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[15] Including complementary payments resulting from Participant Guarantee Fund intervention.

Experts support, contracting and payments

Table 11 - Implementation of key actions related to expert support, contracting and payments, by 31.12.2020

	2019	2020			
	Total	AWP	Semester 1	Semester 2	Total
Number of expert contracts signed – expert evaluators	18,408	18,000	10,039	9,834	19,873
Number of expert contracts signed – expert monitors (only for actions managed by REA)	1,845	3,000	1,036	827	1,863
Number of payments	26,717	26,000	10,346	15,540	25,886
Number of LE/BA validations for experts	13,850	6,800	6,000	5,980	11,980
Number of Pool approvals	858	300	795	491	1,286
KPI 5- Expert contracts signed by REA in less than 10 calendar days (Target: 100%)	98.45%	100%	97.4%	98.6	97.8%[16]
KPI 5- Experts paid within 30 days (Target: 100%)	99.9%	100%	99.9%	99.5	99.7
Number of contracts countersigned	20,253	-	11,075	10,661	21,736
Estimated total value of contracts signed (€)	110,467,350	-	73,237,095	60,429,825	133,666,920

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[16] Due to a new way of working with MSCA-IF contracts, whereby contracts were dispatched up to two months early and not countersigned until the call closure (a measure designed to avoid overloading the IT systems), approximately 4,000 contracts were not signed within the time limit. These have, due to the exceptional circumstances, been excluded from the figures, which would otherwise be 77% for 2020.

Validation services

Table 12 - Implementation of key actions related to validation activities, by 31.12.2020

	2019	2020			
	Total	AWP	Semester 1	Semester 2	Total
Number of participants validated (for H2020 and other programmes)	7,735	10,000	3,882	4,887	8,769
Number of LEAR mandates validated	10,786	10,000	5,148	6,190	11,338
Number of UTRO validations and ICMs	547	550	277	216	493
Operational maintenance of database (number of change requests or additional corrections)	47,527	35,000	19,283	28,945	48,228
Number of validated and registered bank accounts	7,502	7,000	3,522	5,332	8,854
Number of SME validations performed	73	70	102	67	169
Number of financial capacity assessments performed	5,166	6,000	2,174	3,836	6,010
Number of answers given (directly by the RES team, the service provider (EDCC) and the local helpdesks)	9,826	10,000	6,238	5,264	11,502
Time to reply of the RES (15 working days)	93.60%	95.0%	97.5%	96.9%	97.2%
Number of questions approved and published	826	1,000	348	216	564
KPI 5- % of validations performed within 90 days from "raise priority" date (Target: 95%)	98.3%	95.0%	98.9%	98.4 %	98.6%

Overview of implementation of H2020 and predecessor actions under FP7 delegated to REA

Implementation of the H2020 calls

Table 13 - Implementation of calls charged to the 2019 and 2020 commitment budgets (Data source: Horizon 2020 dashboard]

Progr. Part	Parent DG	Call ID	Call Deadline(s)	Eligible Proposals – single stage calls	Eligible Proposals in Stage 1	Eligible Proposals in Stage 2	Retained Proposals	Call-specific Success Rate
SC2	RTD	H2020-BG-2019-1	2019-01-23	36	-	-	8	22.22%
SC2	RTD	H2020-BG-2019-2	2019-01-23 ; 2019-09-04	-	6	6	3	50.00%
SC2	RTD	H2020-BG-2020-1	2020-01-23	9	-	-	2	22.22%
SC2	RTD	H2020-BG-2020-2	2020-01-23 ; 2020-09-08	-	12	9	4	44.44%
FET-Open	RTD	H2020-FETOPEN-2018-2019-2020-01	2019-01-24	400	-	-	53	13.25%
SC2	AGRI/RTD	H2020-FNR-2020-1	2020-01-23	93	-	-	21	22.58%
SC2	AGRI/RTD	H2020-FNR-2020-2	2020-01-23 ; 2020-09-08	-	101	44	16	36.36%
MSCA	EAC	H2020-IBA-MSCA-SNLS-2019	2019-04-24	10	-	-	10	100.00%
MSCA	EAC	H2020-IBA-MSCA-SNLS-2019	2019-11-07	14	-	-	13	92.86%
MSCA	EAC	H2020-IBA-MSCA-SNLS-2020	2020-04-23	5	-	-	5	100.00%
SC6	RTD	H2020-IBA-SC6-CEBRABIC-2020	2020-03-12	1	-	-	1	100.00%
SC6	RTD	H2020-IBA-SC6-Near-2020	2020-03-12	1	-	-	1	100.00%
LEIT-Space	DEFIS	H2020-IBA-SPACE-CHE2-2019	2020-02-27	1	-	-	1	100.00%
SWFS	RTD	H2020-IBA-SwafS-EURAXESS-TN-2020	2020-10-29	1	-	-	1	100.00%
SWFS	RTD	H2020-IBA-SwafS-EURAXESS-Top-IV-2020	2020-10-29	1	-	-	1	100.00%
SWFS	RTD	H2020-IBA-SwafS-Support-1-2020	2020-06-18	17	-	-	17	100.00%
SWFS	RTD	H2020-IBA-SwafS-Support-2-2020	2020-11-10	24	-	-	22	91.67%
SWFS	RTD	H2020-IBA-SWFS-ESOF-2019	2019-08-27	1	-	-	1	100.00%
MSCA	EAC	H2020-MSCA-COFUND-2019	2019-09-26	119	-	-	27	22.69%
MSCA	EAC	H2020-MSCA-COFUND-2020	2020-09-29	148	-	-	43	29.05%
MSCA	EAC	H2020-MSCA-IF-2019	2019-09-11	9,709	-	-	1,476	15.20%
MSCA	EAC	H2020-MSCA-IF-2020	2020-09-09	11,382	-	-	1,630	14.32%
MSCA	EAC	H2020-MSCA-ITN-2019	2019-01-15	1,554	-	-	128	8.24%
MSCA	EAC	H2020-MSCA-ITN-2020	2020-01-14	1,503	-	-	148	9.85%
MSCA	EAC	H2020-MSCA-NIGHT-2020	2020-01-09	97	-	-	51	52.58%
MSCA	EAC	H2020-MSCA-RISE-2019	2019-04-02	305	-	-	67	21.97%
MSCA	EAC	H2020-MSCA-RISE-2020	2020-05-12	405	-	-	74	18.27%

Progr. Part	Parent DG	Call ID	Call Deadline(s)	Eligible Proposals – single stage calls	Eligible Proposals in Stage 1	Eligible Proposals in Stage 2	Retained Proposals	Call-specific Success Rate
SC2	AGRI/RTD	H2020-RUR-2019-1	2019-01-23	83	-	-	14	16.87%
SC2	AGRI	H2020-RUR-2019-2	2019-01-23 ; 2019-09-04	-	10	4	2	50.00%
SC2	AGRI	H2020-RUR-2020-1	2020-01-23	106	-	-	15	14.15%
SC2	AGRI/RTD	H2020-RUR-2020-2	2020-01-23 ; 2020-09-08	-	31	12	4	33.33%
SC6	CNECT/RTD	H2020-SC6-GOVERNANCE-2019	2019-03-14	83	-	-	15	18.07%
SC6	CNECT/RTD	H2020-SC6-GOVERNANCE-2020	2020-03-19	120	-	-	19	15.83%
SC6	CNECT/RTD	H2020-SC6-MIGRATION-2019	2019-03-14	102	-	-	11	10.78%
SC6	RTD	H2020-SC6-MIGRATION-2020	2020-03-19	156	-	-	10	6.41%
SC6	CNECT/RTD	H2020-SC6-TRANSFORMATIONS-2019	2019-03-14	282	-	-	20	7.09%
SC6	CNECT/RTD	H2020-SC6-TRANSFORMATIONS-2020	2020-03-19	239	-	-	21	8.79%
SC2	AGRI/RTD	H2020-SFS-2019-1	2019-01-23	106	-	-	15	14.15%
SC2	AGRI/RTD	H2020-SFS-2019-2	2019-01-23 ; 2019-09-04	-	164	75	21	28.00%
SC2	AGRI	H2020-SFS-2020-1	2020-01-23	30	-	-	8	26.67%
SC2	AGRI/RTD	H2020-SFS-2020-2	2020-01-23 ; 2020-09-08	-	114	51	17	33.33%
LEIT-Space	DEFIS	H2020-SGA-Space-SST-2019	2019-12-10	1	-	-	1	100.00%
LEIT-Space	DEFIS	H2020-SPACE-2019	2019-03-12	201	-	-	37	18.41%
LEIT-Space	DEFIS	H2020-SPACE-2020	2020-03-05	199	-	-	41	20.60%
SC7	CNECT/HOME	H2020-SU-AI-2020	2020-08-27	18	-	-	3	16.67%
SC7	CNECT	H2020-SU-DS-2019	2019-08-22	80	-	-	9	11.25%
SC7	CNECT	H2020-SU-DS-2020	2020-08-27	162	-	-	12	7.41%
SC7	CNECT/HOME	H2020-SU-INFRA-2019	2019-08-22	46	-	-	5	10.87%
SC7	CNECT/HOME	H2020-SU-INFRA-2020	2020-08-27	21	-	-	2	9.52%
SC7	HOME	H2020-SU-SEC-2019	2019-08-22	193	-	-	29	15.03%
SC7	HOME	H2020-SU-SEC-2020	2020-08-27	273	-	-	28	10.26%
SWFS	RTD	H2020-SwafS-2019-1	2019-04-02	170	-	-	21	12.35%
SWFS	RTD	H2020-SwafS-2019-2-two-stage	2019-04-02 ; 2019-11-07	-	91	21	8	38.10%
SWFS	RTD	H2020-SwafS-2020-1	2020-04-23	253	-	-	35	13.83%
SEWP	RTD	H2020-WF-02-2019	2019-09-11	65	-	-	39	60.00%
SEWP	RTD	H2020-WIDESPREAD-2018-2020-6	2019-11-14	114	-	-	20	17.54%
SEWP	RTD	H2020-WIDESPREAD-2020-5	2019-11-14	437	-	-	77	17.62%

Table 14 - Conclusion of grants charged to the 2019 and 2020 commitment budgets

Activity	Unit	Parent DG	Project Call Id	Project Call Deadline Date	#Grants Signed From MAIN List	#Grants Signed Within 245 days	% Main List Grants Signed Within 245 Days	Average TTI	Average TTG Main and Reserve	Max TTG	#Grants Signed Total (Incl. Reserve List)
LEIT - Space	REA/B/01	GROW	H2020-IBA-SPACE-CHE2-2019	27/02/2020	1	1	100.00%	41	139	139	1
LEIT - Space	REA/B/01	GROW	H2020-IBA-SPACE-SRC-2019	16/04/2019	2	1	50.00%	62	244	282	2
LEIT - Space	REA/B/01	GROW	H2020-SGA-Space-SST-2019	10/12/2019	1	0	0.00%	91	372	372	1
LEIT - Space	REA/B/01	GROW	H2020-SPACE-2019	12/03/2019	37	26	70.27%	126	257.622	528	37
LEIT - Space	REA/B/01	GROW	H2020-SPACE-2020	05/03/2020	41	41	100.00%	124	236.310	245	42
LEIT - Space					82	69	84.15%		246.458	528	83

Activity	Unit	Parent DG	Project Call Id	Project Call Deadline Date	#Grants Signed From MAIN List	#Grants Signed Within 245 days	% Main List Grants Signed Within 245 Days	Average TTI	Average TTG Main and Reserve	Max TTG	#Grants Signed Total (Incl. Reserve List)
MSCA	REA/A/01	EAC	H2020-IBA-MSCA-SNLS-2019	24/04/2019	2	2	100.00%	79	185.5	201	2
MSCA	REA/A/01	EAC	H2020-IBA-MSCA-SNLS-2019	07/11/2019	7	5	71.43%	118	208.29	285	7
MSCA	REA/A/01	EAC	H2020-MSCA-ITN-2019	15/01/2019	127	127	100.00%	120	266.30	240	166
MSCA	REA/A/01	EAC	H2020-MSCA-ITN-2020	14/01/2020	147	146	99.32%	133	218.29	300	147
MSCA	REA/A/02	EAC	H2020-IBA-MSCA-SNLS-2019	24/04/2019	3	3	100.00%	79	178.67	211	3
MSCA	REA/A/02	EAC	H2020-IBA-MSCA-SNLS-2019	07/11/2019	1	1	100.00%	118	195	195	1
MSCA	REA/A/02	EAC	H2020-IBA-MSCA-SNLS-2020	23/04/2020	1	1	100.00%	152	210	210	1
MSCA	REA/A/02	EAC	H2020-MSCA-IF-2019	11/09/2019	966	965	99.90%	146	208.63	441	1009
MSCA	REA/A/03	EAC	H2020-IBA-MSCA-SNLS-2019	24/04/2019	3	3	100.00%	79	190.33	193	3
MSCA	REA/A/03	EAC	H2020-IBA-MSCA-SNLS-2019	07/11/2019	1	1	100.00%	118	202	202	1
MSCA	REA/A/03	EAC	H2020-IBA-MSCA-SNLS-2020	23/04/2020	1	1	100.00%	152	215	215	1
MSCA	REA/A/03	EAC	H2020-MSCA-RISE-2019	02/04/2019	67	67	100.00%	90	235.37	244	73
MSCA	REA/A/03	EAC	H2020-MSCA-RISE-2020	12/05/2020	74	74	100.00%	113	184.07	218	74
MSCA	REA/A/04	EAC	H2020-IBA-MSCA-SNLS-2019	24/04/2019	2	2	100.00%	79	171	181	2
MSCA	REA/A/04	EAC	H2020-IBA-MSCA-SNLS-2019	07/11/2019	2	2	100.00%	118	175	181	2
MSCA	REA/A/04	EAC	H2020-IBA-MSCA-SNLS-2020	23/04/2020	3	3	100.00%	152	217	237	3
MSCA	REA/A/04	EAC	H2020-MSCA-COFUND-2019	26/09/2019	27	27	100.00%	130	221.33	242	30
MSCA	REA/A/04	EAC	H2020-MSCA-IF-2019	11/09/2019	464	463	99.78%	146	201.38	397	486
MSCA	REA/A/04	EAC	H2020-MSCA-NIGHT-2020	09/01/2020	51	51	100.00%	109	163.31	222	52
MSCA					1949	1944	99.74%		211.20	441	2063

Activity	Unit	Parent DG	Project Call Id	Project Call Deadline Date	#Grants Signed From MAIN List	#Grants Signed Within 245 days	% Main List Grants Signed Within 245 Days	Average TTI	Average TTG Main and Reserve	Max TTG	#Grants Signed Total (Incl. Reserve List)
SC2	REA/B/02	AGRI	H2020-FNR-2020-1	23/01/2020	9	9	100.00%	126	229.44	239	9
SC2	REA/B/02	AGRI	H2020-RUR-2019-1	23/01/2019	12	12	100.00%	120	222.17	240	12
SC2	REA/B/02	AGRI	H2020-RUR-2019-2	04/09/2019	2	2	100.00%	96	241	243	2
SC2	REA/B/02	AGRI	H2020-RUR-2020-1	23/01/2020	15	15	100.00%	126	234.67	243	15
SC2	REA/B/02	AGRI	H2020-SFS-2019-1	23/01/2019	12	11	91.67%	120	267.92	363	13
SC2	REA/B/02	AGRI	H2020-SFS-2019-2	04/09/2019	18	14	77.78%	113	252.89	300	19
SC2	REA/B/02	AGRI	H2020-SFS-2020-1	23/01/2020	8	8	100.00%	126	232.375	239	8
SC2	REA/B/02	RTD	H2020-BG-2019-1	23/01/2019	8	8	100.00%	120	232.125	240	8
SC2	REA/B/02	RTD	H2020-BG-2019-2	04/09/2019	3	3	100.00%	96	241.67	243	3
SC2	REA/B/02	RTD	H2020-BG-2020-1	23/01/2020	2	2	100.00%	126	233.5	242	2
SC2	REA/B/02	RTD	H2020-FNR-2020-1	23/01/2020	12	12	100.00%	126	228.83	242	12
SC2	REA/B/02	RTD	H2020-RUR-2019-1	23/01/2019	3	3	100.00%	120	219.33	224	3
SC2	REA/B/02	RTD	H2020-SFS-2019-1	23/01/2019	10	10	100.00%	120	232.6	243	10
SC2	REA/B/02	RTD	H2020-SFS-2019-2	04/09/2019	3	3	100.00%	96	241.33	243	3
SC2					109	104	95.41%		238.51	363	111

Activity	Unit	Parent DG	Project Call Id	Project Call Deadline Date	#Grants Signed From MAIN List	#Grants Signed Within 245 days	% Main List Grants Signed Within 245 Days	Average TTI	Average TTG Main and Reserve	Max TTG	#Grants Signed Total (Incl. Reserve List)
SC6	REA/B/03	CNECT	H2020-SC6-GOVERNANCE-2019	14/03/2019	3	3	100.00%	124	244	244	3
SC6	REA/B/03	CNECT	H2020-SC6-GOVERNANCE-2020	19/03/2020	8	8	100.00%	120	228.88	237	8
SC6	REA/B/03	CNECT	H2020-SC6-MIGRATION-2019	14/03/2019	2	2	100.00%	124	239	239	2
SC6	REA/B/03	CNECT	H2020-SC6-TRANSFORMATIONS-2019	14/03/2019	5	5	100.00%	124	280	244	7
SC6	REA/B/03	CNECT	H2020-SC6-TRANSFORMATIONS-2020	19/03/2020	7	7	100.00%	123	228	239	7
SC6	REA/B/03	RTD	H2020-IBA-SC6-CEBRABIC-2020	12/03/2020	1	1	100.00%	137	215	215	1
SC6	REA/B/03	RTD	H2020-IBA-SC6-Near-2020	12/03/2020	1	1	100.00%	137	215	215	1
SC6	REA/B/03	RTD	H2020-SC6-GOVERNANCE-2019	14/03/2019	13	12	92.31%	124	242.77	253	13
SC6	REA/B/03	RTD	H2020-SC6-GOVERNANCE-2020	19/03/2020	11	11	100.00%	120	233.36	239	11
SC6	REA/B/03	RTD	H2020-SC6-MIGRATION-2019	14/03/2019	9	9	100.00%	124	239.56	244	9
SC6	REA/B/03	RTD	H2020-SC6-MIGRATION-2020	19/03/2020	10	10	100.00%	123	227.1	236	10
SC6	REA/B/03	RTD	H2020-SC6-TRANSFORMATIONS-2019	14/03/2019	15	15	100.00%	124	249.69	244	16
SC6	REA/B/03	RTD	H2020-SC6-TRANSFORMATIONS-2020	19/03/2020	14	13	92.86%	123	233.07	246	14
SC6					99	97	97.98%		239.56	253	102

Activity	Unit	Parent DG	Project Call Id	Project Call Deadline Date	#Grants Signed From MAIN List	#Grants Signed Within 245 days	% Main List Grants Signed Within 245 Days	Average TTI	Average TTG Main and Reserve	Max TTG	#Grants Signed Total (Incl. Reserve List)
SC7	REA/B/04	CNECT	H2020-SU-DS-2019	22/08/2019	9	7	77.78%	151	245.22	256	9
SC7	REA/B/04	CNECT	H2020-SU-INFRA-2019	22/08/2019	5	4	80.00%	151	250.4	279	5
SC7	REA/B/04	HOME	H2020-SU-INFRA-2019	22/08/2019	5	4	80.00%	151	250.4	279	5
SC7	REA/B/04	HOME	H2020-SU-SEC-2019	22/08/2019	28	8	28.57%	151	268.07	312	29
SC7					42	19	45.24%		260.10	312	43

Activity	Unit	Parent DG	Project Call Id	Project Call Deadline Date	#Grants Signed From MAIN List	#Grants Signed Within 245 days	% Main List Grants Signed Within 245 Days	Average TTI	Average TTG Main and Reserve	Max TTG	#Grants Signed Total (Incl. Reserve List)
SEWP	REA/A/04	RTD	H2020-WF-02-2019	11/09/2019	38	38	100.00%	166	223.36	227	42
SEWP	REA/B/05	RTD	H2020-WIDESPREAD-2018-2020-6	14/11/2019	20	20	100.00%	130	214.05	230	20
SEWP	REA/B/05	RTD	H2020-WIDESPREAD-2020-5	14/11/2019	77	77	100.00%	130	220.91	238	77
SEWP					135	135	100.00%		220.66	238	139

Activity	Unit	Parent DG	Project Call Id	Project Call Deadline Date	#Grants Signed From MAIN List	#Grants Signed Within 245 days	% Main List Grants Signed Within 245 Days	Average TTI	Average TTG Main and Reserve	Max TTG	#Grants Signed Total (Incl. Reserve List)
Strengthening research in FET	REA/A/05	CNECT	H2020-FETOPEN-2018-2019-2020-01	24/01/2019	53	52	98.11%	147	227.51	326	53

Activity	Unit	Parent DG	Project Call Id	Project Call Deadline Date	#Grants Signed From MAIN List	#Grants Signed Within 245 days	% Main List Grants Signed Within 245 Days	Average TTI	Average TTG Main and Reserve	Max TTG	#Grants Signed Total (Incl. Reserve List)
SWFS	REA/B/05	RTD	H2020-IBA-SwafS-Support-1-2020	18/06/2020	17	17	100.00%	36	157.24	180	17
SWFS	REA/B/05	RTD	H2020-IBA-SWFS-ESOF-2019	27/08/2019	1	1	100.00%	58	94	94	1
SWFS	REA/B/05	RTD	H2020-SwafS-2019-1	02/04/2019	23	23	100.00%	100	263.96	238	27
SWFS	REA/B/05	RTD	H2020-SwafS-2019-2-two-stage	07/11/2019	8	8	100.00%	126	227	238	8
SWFS	REA/B/05	RTD	H2020-SwafS-2020-1	23/04/2020	35	35	100.00%	84	208.06	236	35
SWFS					84	84	100.00%		215.82	238	88

Grant portfolio (H2020 and predecessor actions under FP7)

Table 15 - Stocktaking/activities for the management of H2020 projects launched under previous years' budgets[17]

H2020 Activities		Parent DG	Running projects as of 01/01/2020		Running projects as of 31/12/2020	
			No.	Open balance – € million	No.	Open balance – € million
Excellent Science	Marie Skłodowska-Curie Actions	EAC	4,892	1,092,899,426	5,199	1,212,718,359
	Strengthening Research in FET	CNECT	244	193,241,690	200	133,262,861
Industrial Leadership	Leadership in Space	DEFIS/HOME	152	112,961,082	171	175,849,725
Societal Challenges	Societal Challenge 2	AGRI/RTD	283	567,898,138	309	653,110,004
	Societal Challenge 6	CNECT/RTD	161	183,767,730	184	218,327,418
	Societal Challenge 7	CNECT/HOME	118	124,336,929	132	159,829,021
Specific Objectives	Spreading Excellence and Widening Participation	RTD	133	277,401,398	225	287,593,342
	Science with and for Society	RTD	105	70,221,721	152	88,601,448
TOTAL			**6,088**	**2,622,728,115**	**6,572**	**2,929,292,178**

Table 16 - Stocktaking/activities for the management of FP7 projects launched under previous years' budgets[18]

FP7 Specific Programme	Parent DG	Running as of 01/01/2020		Running projects as of 31/12/2020	
		No.	Open balance – € million	No.	Open balance – € million
People	EAC	70	22.7	14	8.7
Cooperation - Space	DEFIS	7	0.8	1	0.3
Cooperation - Security	HOME	5	5.3	2	1.5
Capacities - SME actions*	RTD	26	5.0	6	2.5
TOTAL		**108**	**28.9**	**23**	**13.0**

* adjusted in order to take into account several manual transactions and projects already de-committed but not closed in CPM.

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[17] Source: ABAC

[18] Source: ABAC; CPM. Definition of a 'closed project': RAL=0 *and* contract closed in CPM (or in SYGMA/COMPASS for Space 2013).

Evaluation review (H2020)

Table 17 - Summary - Evaluation review process for calls WP 2019 and 2020 - Status by 31.12.2020

Evaluation review H2020 calls	WP 2019						WP 2020					
		No. of evaluation review cases						No. of evaluation review cases				
	Eligible	filed (all complaints received)** *	upheld (C and D cases)	re-evaluated (D cases)	Funded after re-evaluation	% upheld / eligible	Eligible	filed (all complaints received)** *	upheld (C and D cases)	re-evaluated (D cases)	Funded after re-evaluation	% upheld / eligible
H2020 – Excellent Science												
FETOPEN	400	4	2	0	0	0.50%	-					
MSCA	11,711	141	31	13	0	0.26%	2,021[19]	26	n/a	n/a	n/a	n/a
Industrial Leadership												
Industrial Leadership	201	5	0	0	0	0.00%	199	1	0	0	0	0.00%
H2020 – Societal Challenges												
SC2	578	10	0	0	0	0.00%	685	21	8	5	0	1.17%
SC6	468	4	0	0	0	0.00%	515	8	n/a	n/a	n/a	n/a
ISC7	319	5	0	0	0	0.00%	474	n/a	n/a	n/a	n/a	n/a
TOTAL Societal Challenges	1,365	19	0	0	0	0.00%	1,613	29	8	5	-	n/a
Specific Objectives												
SEWP	105	1	0	0	0	0.00%	551	10	2	1	0	0.36%
SWAFS	327	0	0	0	0	0.00%	414	12	1	0	0	0%
TOTAL Specific Objectives	432	1	0	0	0	0.00%	946	22	3	1	0	0.32%
GRAND TOTAL	14,109	170	33	13	0	0.23%	4,289	76	15	10	n/a	0.23%

* Call with multiple cut-off dates.

** n/a = the evaluation review was not yet finalised by the end of the reporting period.

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[19] The IF and COFUND calls did not have the deadline for submitting evaluation review requests expired before 31.12.2020.

Amendments of grant agreements (H2020 and predecessor actions under FP7)

Table 18 - H2020 - Amendment requests handled during 2020 & average Time-to-Amend (days)

H2020 Activities	Parent DG	Outstanding (ongoing) amendments at the beginning of 2020	Amendment requests received during 2020	Amendments implemented during 2020	Amendments outstanding (ongoing) at the end of 2020	Average Time To Amend (requests implemented during 2020, gross)
Marie Sklodowska-Curie Actions	EAC	28	1601	1600	29	11.37
Strengthening research in FET	CNECT / RTD	4	138	141	1	15.12
LEIT - Space	GROW	2	80	80	2	10.69
Societal Challenge 2	RTD / AGRI	6	154	154	6	16.84
Societal Challenge 6	RTD / CNECT	3	91	91	3	13.88
Societal Challenge 7	HOME / CNECT	3	78	79	2	14.78
Specific Objectives	RTD	4	97	100	1	10.30
Total REA - All H2020 activities		**50**	**2239**	**2245**	**44**	**12.13**

Table 19 - FP7 - Amendment requests handled during 2020 & average Time-to-Amend (days)

FP7 Specific Programme	Parent DG	Outstanding amendment requests at the beginning of 2020	Amendment requests received during 2020	Amendment requests implemented during 2020	Amendment requests outstanding at the end of 2020	Average Time To Amend (requests implemented during 2020, net)
People Programme	EAC	0	4	4	0	45
Capacities – SME actions	RTD	0	5	5	0	11
Cooperation – Space	GROW	0	0	0	0	-
Cooperation - Security	HOME	0	4	4	0	19
Total REA - all FP7 activities		**0**	**13**	**13**	**0**	**24**

ANNEX 3: Draft annual accounts and financial reports

Annex 3 Financial Reports – DG REA – Financial Year 2020

Table 1 : Commitments

Table 2 : Payments

Table 3 : Commitments to be settled

Table 4 : Balance Sheet

Table 5 : Statement of Financial Performance

Table 5 Bis: Off Balance Sheet

Table 6 : Average Payment Times

Table 7 : Income

Table 8 : Recovery of undue Payments

Table 9 : Ageing Balance of Recovery Orders

Table 10 : Waivers of Recovery Orders

Table 11 : Negotiated Procedures

Table 12 : Summary of Procedures

Table 13 : Building Contracts

Table 14 : Contracts declared Secret

Table 15 : FPA duration exceeds 4 years

Additional comments

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2020 (in Mio €) for DG REA			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 02 Internal market, industry, entrepreneurship and SMEs					
02	02 04	Horizon 2020 – Research relating to enterprises	184.38	184.34	99.98 %
Total Title 02			**184.38**	**184.34**	**99.98 %**
Title 05 Agriculture and rural development					
05	05 09	Horizon 2020 – Research and innovation related to agriculture	327.62	327.58	99.99 %
Total Title 05			**327.62**	**327.58**	**99.99 %**
Title 06 Mobility and transport					
06	06 03	Horizon 2020 – Research and innovation related to transport	0.14	0.14	100.00 %
Total Title 06			**0.14**	**0.14**	**100.00 %**
Title 08 Research and innovation					
08	08 02	Horizon 2020 – Research	784.22	780.97	99.59 %
Total Title 08			**784.22**	**780.97**	**99.59 %**
Title 09 Communications networks, content and technology					
09	09 04	Horizon 2020	134.51	133.51	99.26 %
Total Title 09			**134.51**	**133.51**	**99.26 %**
Title 15 Education and culture					
15	15 03	Horizon 2020	1,096.63	1,091.00	99.49 %
Total Title 15			**1,096.63**	**1,091.00**	**99.49 %**
Title 18 Migration and home affairs					
18	18 05	Horizon 2020 – Research related to security	214.82	213.59	99.43 %
Total Title 18			**214.82**	**213.59**	**99.43 %**
Total DG REA			**2,742.31**	**2,731.14**	**99.59 %**

* Commitment appropriations authorised include, in addition to the budget voted by the legislative authority, appropriations carried over from the previous exercise, budget amendments as well as miscellaneous commitment appropriations for the period (e.g. internal and external assigned revenue).
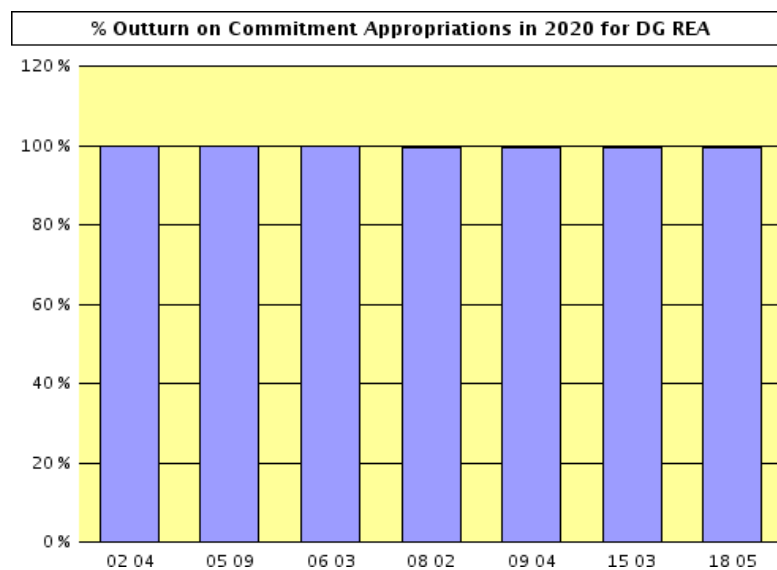

% Outturn on Commitment Appropriations in 2020 for DG REA

TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS in 2020 (in Mio €) for DG REA			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 02 Internal market, industry, entrepreneurship and SMEs					
02	02 04	Horizon 2020 - Research relating to enterprises	149.90	130.18	86.85 %
Total Title 02			**149.90**	**130.18**	**86.85%**
Title 05 Agriculture and rural development					
05	05 09	Horizon 2020 - Research and innovation related to agriculture	282.88	238.09	84.17 %
Total Title 05			**282.88**	**238.09**	**84.17%**
Title 06 Mobility and transport					
06	06 03	Horizon 2020 - Research and innovation related to transport	0.14	0.14	98.41 %
Total Title 06			**0.14**	**0.14**	**98.41%**
Title 08 Research and innovation					
08	08 02	Horizon 2020 - Research	757.66	522.47	68.96 %
Total Title 08			**757.66**	**522.47**	**68.96%**
Title 09 Communications networks, content and technology					
09	09 04	Horizon 2020	183.98	159.10	86.48 %
Total Title 09			**183.98**	**159.10**	**86.48%**
Title 15 Education and culture					
15	15 03	Horizon 2020	1,039.84	953.02	91.65 %
Total Title 15			**1,039.84**	**953.02**	**91.65%**
Title 18 Migration and home affairs					
18	18 05	Horizon 2020 - Research related to security	208.47	173.70	83.32 %
Total Title 18			**208.47**	**173.70**	**83.32%**
Total DG REA			**2,622.87**	**2,176.71**	**82.99 %**

Payment appropriations authorised include, in addition to the budget voted by the legislative authority, appropriations carried over from the previous exercise, budget amendments as well as miscellaneous payment appropriations for the period (e.g. internal and external assigned revenue).
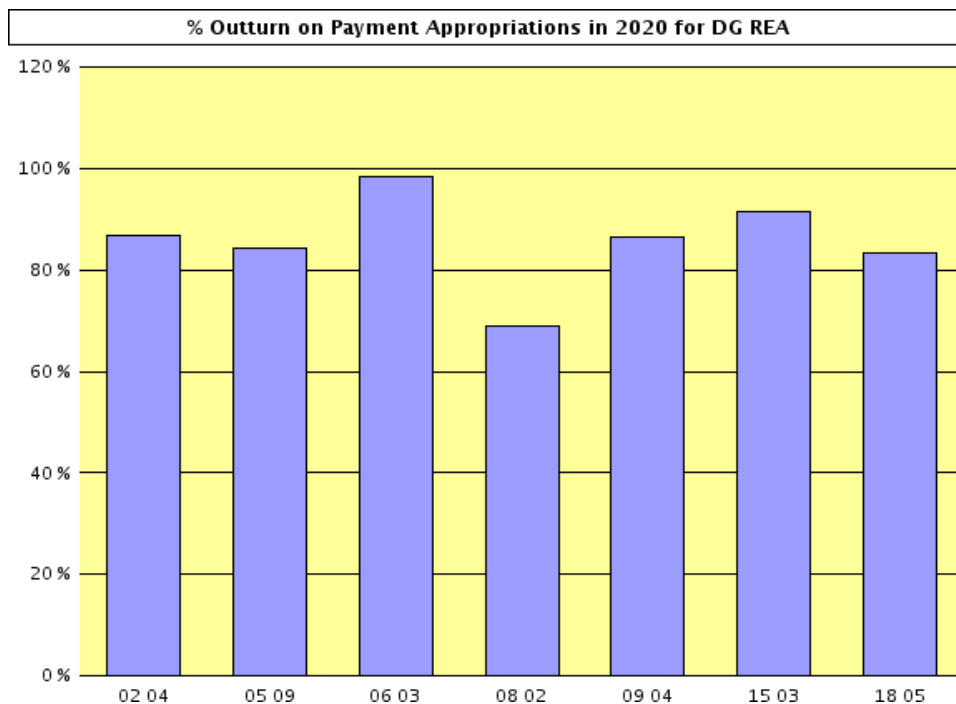

% Outturn on Payment Appropriations in 2020 for DG REA

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2020 (in Mio €) for DG REA								
			Commitments to be settled				Commitments to be settled from financial years previous to 2019	Total of commitments to be settled at end of financial year 2020	Total of commitments to be settled at end of financial year 2019
		Chapter	Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
02	02 04	Horizon 2020 – Research relating to enterprises	184.34	66.25	118.09	64.06%	70.88	188.97	137.04
Total Title 02			**184.34**	**66.25**	**118.09**	**64.06%**	**70.88**	**188.97**	**137.04**

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2020 (in Mio €) for DG REA								
			Commitments to be settled				Commitments to be settled from financial years previous to 2019	Total of commitments to be settled at end of financial year 2020	Total of commitments to be settled at end of financial year 2019
		Chapter	Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
05	05 09	Horizon 2020 – Research and innovation related to agriculture	327.58	61.82	265.76	81.13%	326.18	591.94	504.71
Total Title 05			**327.58**	**61.82**	**265.76**	**81.13%**	**326.18**	**591.94**	**504.71**

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2020 (in Mio €) for DG REA								
			Commitments to be settled				Commitments to be settled from financial years previous to 2019	Total of commitments to be settled at end of financial year 2020	Total of commitments to be settled at end of financial year 2019
		Chapter	Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
06	06 03	Horizon 2020 – Research and innovation related to transport	0.14	0.14	0.00	1.59%	0.00	0.00	0.07
Total Title 06			**0.14**	**0.14**	**0.00**	**1.59%**	**0.00**	**0.00**	**0.07**

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2020 (in Mio €) for DG REA								
			Commitments to be settled				Commitments to be settled from financial years previous to 2019	Total of commitments to be settled at end of financial year 2020	Total of commitments to be settled at end of financial year 2019
		Chapter	Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
08	08 02	Horizon 2020 – Research	780.97	241.75	539.22	69.04%	566.19	1,105.41	859.07
Total Title 08			**780.97**	**241.75**	**539.22**	**69.04%**	**566.19**	**1,105.41**	**859.07**

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2020 (in Mio €) for DG REA								
			Commitments to be settled				Commitments to be settled from financial years previous to 2019	Total of commitments to be settled at end of financial year 2020	Total of commitments to be settled at end of financial year 2019
		Chapter	Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
09	09 04	Horizon 2020	133.51	11.37	122.14	91.48%	189.94	312.08	343.09
Total Title 09			**133.51**	**11.37**	**122.14**	**91.48%**	**189.94**	**312.08**	**343.09**

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2020 (in Mio €) for DG REA								
			Commitments to be settled				Commitments to be settled from financial years previous to 2019	Total of commitments to be settled at end of financial year 2020	Total of commitments to be settled at end of financial year 2019
		Chapter	Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
15	15 03	Horizon 2020	1,091.00	292.19	798.81	73.22%	917.44	1,716.25	1,632.21
Total Title 15			**1,091.00**	**292.19**	**798.81**	**73.22%**	**917.44**	**1,716.25**	**1,632.21**

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2020 (in Mio €) for DG REA								
			Commitments to be settled				Commitments to be settled from financial years previous to 2019	Total of commitments to be settled at end of financial year 2020	Total of commitments to be settled at end of financial year 2019
		Chapter	Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
18	18 05	Horizon 2020 – Research related to security	213.59	8.11	205.48	96.20%	128.55	334.03	297.02
Total Title 18			**213.59**	**8.11**	**205.48**	**96.20%**	**128.55**	**334.03**	**297.02**

Total for DG REA	2731.136626	681.63	2049.501632	75.04 %	2199.187552	4248.689184	3773.222887

Breakdown of Commitments Remaining to be Settled (in Mio EUR) at 31/12/2019 for DG REA
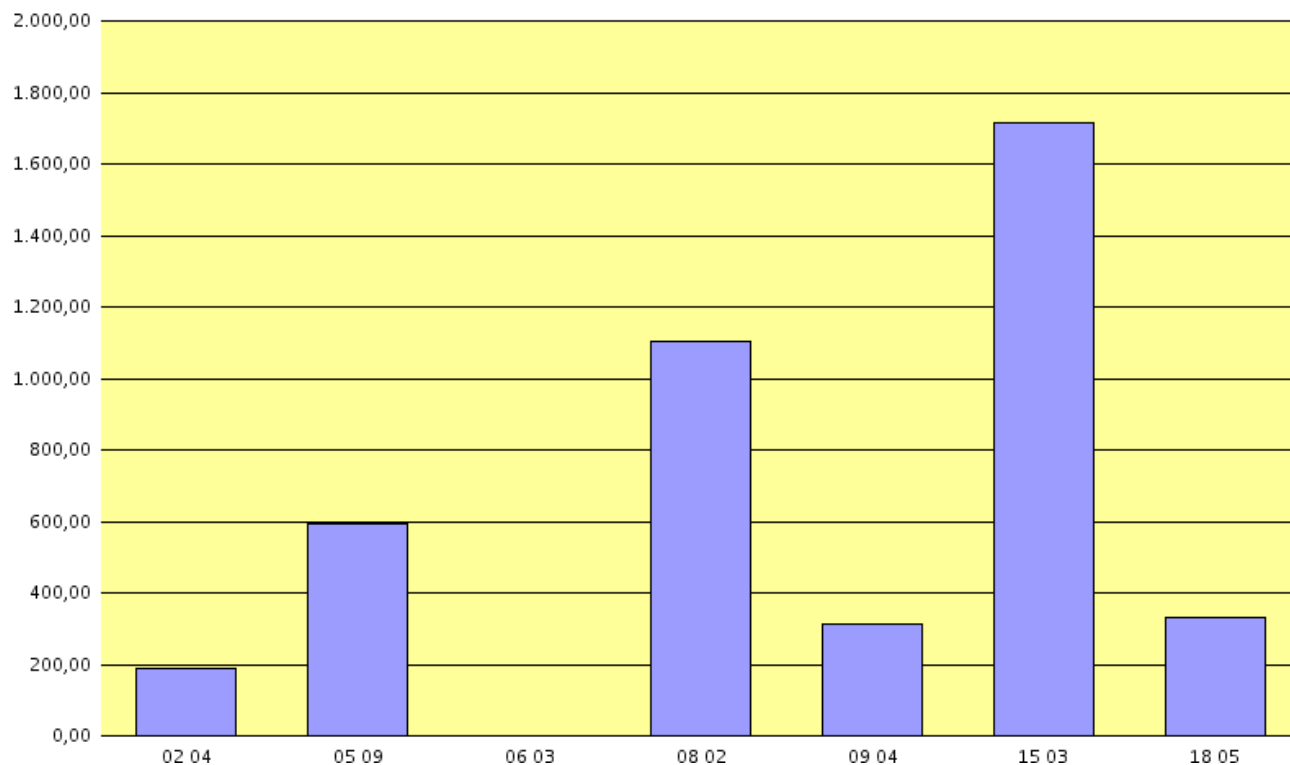
BALANCE SHEET	2020	2019
A.I. NON CURRENT ASSETS	973.704.265,62	834,542,549.66
A.I.5. Non-Current Pre-Financing	973.704.265,62	834,542,549.66
A.II. CURRENT ASSETS	1.620.756.173,53	1,422,492,280.40
A.II.2. Current Pre-Financing	1.608.003.749,91	1,408,285,131.68
A.II.3. Curr Exch Receiv &Non-Ex Recoverables	12.752.423,62	14,207,148.72
ASSETS	**2.594.460.439,1**	**2,257,034,830.0**
P.II. CURRENT LIABILITIES	-109.346.833,11	-146,357,206.87
P.II.4. Current Payables	-35.562.956,52	-48,551,044.10
P.II.5. Current Accrued Charges &Defrd Income	-73.783.876,59	-97,806,162.77
LIABILITIES	**-**	**-**
NET ASSETS (ASSETS less LIABILITIES)	**2.485.113.606,0**	**2,110,677,623.1**

P.III.2. Accumulated Surplus/Deficit	9,959,726,267.39	8,196,304,121.47

Non–allocated central (surplus)/deficit*	-12.444.839.873,43	-10,306,981,744.66

TOTAL DG REA	**0.00**	**0.00**

It should be noted that the balance sheet and statement of financial performance presented in Annex 3 to this Annual Activity Report, represent only the assets, liabilities, expenses and revenues that are under the control of this Directorate General. Significant amounts such as own resource revenues and cash held in Commission bank accounts are not included in this Directorate General's accounts since they are managed centrally by DG Budget, on whose balance sheet and statement of financial performance they appear. Furthermore, since the accumulated result of the Commission is not split amongst the various Directorates General, it can be seen that the balance sheet presented here is not in equilibrium.

Additionally, the figures included in tables 4 and 5 are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

TABLE 5 : STATEMENT OF FINANCIAL PERFORMANCE for DG REA		

STATEMENT OF FINANCIAL PERFORMANCE	2020	2019
II.1 REVENUES	-1.972.842,31	-251,485.98
II.1.1. NON-EXCHANGE REVENUES	-2.980.642,73	-1,399,404.56
II.1.1.5. RECOVERY OF EXPENSES	-2.878.531,10	-1,252,645.72
II.1.1.6. OTHER NON-EXCHANGE REVENUES	-102.111,63	-146,758.84
II.1.2. EXCHANGE REVENUES	1.007.800,42	1,147,918.58
II.1.2.1. FINANCIAL INCOME	-101,44	-2,356.39
II.1.2.2. OTHER EXCHANGE REVENUE	1.007.901,86	1,150,274.97
II.2. EXPENSES	1.774.331.966,13	1,763,673,631.90
II.2. EXPENSES	1.774.331.966,13	1,763,673,631.90
II.2.10.OTHER EXPENSES	462.260,98	0.00
II.2.2. EXP IMPLEM BY COMMISS&EX.AGENC. (DM)	1.773.868.089,07	1,763,665,112.11
STATEMENT OF FINANCIAL PERFORMANCE	**1.772.359.123,82**	**1,763,422,145.92**

It should be noted that the balance sheet and statement of financial performance presented in Annex 3 to this Annual Activity Report, represent only the assets, liabilities, expenses and revenues that are under the control of this Directorate General. Significant amounts such as own resource revenues and cash held in Commission bank accounts are not included in this Directorate General's accounts since they are managed centrally by DG Budget, on whose balance sheet and statement of financial performance they appear. Furthermore, since the accumulated result of the Commission is not split amongst the various Directorates General, it can be seen that the balance sheet presented here is not in equilibrium.

Additionally, the figures included in tables 4 and 5 are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

OFF BALANCE	2020	2019
TABLE 5bis : OFF BALANCE SHEET for DG REA		
OB.1. Contingent Assets	1,635,000.00	1,635,000.00
GR for pre-financing	1,635,000.00	1,635,000.00
OB.2. Contingent Liabilities	0.00	0.00
OB.2.7. CL Legal cases OTHER	0.00	0.00
OB.3. Other Significant Disclosures	-4.139.722.602,51	-3,626,881,183.38
OB.3.2. Comm against app. not yet consumed	-4.139.722.602,51	-3,626,881,183.38
OB.4. Balancing Accounts	4.138.087.602,51	3,625,246,183.38
OB.4. Balancing Accounts	4.138.087.602,51	3,625,246,183.38
OFF BALANCE	**0.00**	**0.00**

Amount under "OB.3. Other Significant Disclosures" for 2020, was calculated by REA and is pending confirmation by DG Budget.

It should be noted that the balance sheet and statement of financial performance presented in Annex 3 to this Annual Activity Report, represent only the assets, liabilities, expenses and revenues that are under the control of this Directorate General. Significant amounts such as own resource revenues and cash held in Commission bank accounts are not included in this Directorate General's accounts since they are managed centrally by DG Budget, on whose balance sheet and statement of financial performance they appear. Furthermore, since the accumulated result of the Commission is not split amongst the various Directorates General, it can be seen that the balance sheet presented here is not in equilibrium.

Additionally, the figures included in tables 4, 5 and 5bis. are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

TABLE 6: AVERAGE PAYMENT TIMES in 2020 for REA

Legal Times							
Maximum Payment Time (Days)	Total Number of Payments	Nbr of Payments within Time	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
30	27810	27727	99.70 %	7.26	83	0.30 %	59.05
60	3	3	100.00 %	29.00			
90	2422	2407	99.38 %	53.42	15	0.62 %	116.53

Total Number of Payments	30235	30137	99.68 %		98	0.32 %	
Average Net Payment Time	11.13			10.95			67.85
Average Gross Payment Time	14.54			14.21			114.18

Suspensions							
Average Report Approval Suspension	Average Payment Suspension	Number of Suspended Payments	% of Total Number	Total Number of Payments	Amount of Suspended Payments	% of Total Amount	Total Paid Amount
0	40	2545	8.42 %	30235	443,861,784.07	21.53 %	2,061,649,956.31

Late Interest paid in 2020			
DG	GL Account	Description	Amount (Eur)
REA	65010100	Interest on late payment of charges New F	1 616.08
			1 616.08

	Chapter	Revenue and income recognized			Revenue and income cashed from			Outstanding
		Current year RO	Carried over RO	Total	Current Year RO	Carried over RO	Total	
		1	2	3=1+2	4	5	6=4+5	7=3-6
52	REVENUE FROM INVESTMENTS OR LOANS GRANTED, BANK AND OTHER INTEREST		7,279.00	101.44	-7,177.56	7,279.00	101.44	0.00
57	OTHER CONTRIBUTIONS AND REFUNDS IN CONNECTION WITH THE ADMINISTRATIVE OPERATION OF THE INSTITUTION		0.00	0.00	0.00	0.00	0.00	0.00
66	OTHER CONTRIBUTIONS AND REFUNDS		8,642,281.08	34,947,539.31	22,714,537.63	6,664,652.42	29,379,190.05	5,568,349.26
71	FINES AND PENALTIES		37,730.00	37,730.00	0.00	0.00	0.00	37,730.00
90	MISCELLANEOUS REVENUE		363,842.36	445,262.59	-10,365.99	35,144.68	24,778.69	420,483.90
Total DG REA		**26,379,500.9**	**9,051,132.4**	**35,430,633.3**	**22,696,994.0**	**6,707,076.1**	**29,404,070.1**	**6,026,563.16**

TABLE 7 : SITUATION ON REVENUE AND INCOME in 2020 for DG REA

Columns 1, 2, 4 & 5 include amounts waived or cancelled in 2020 (–ive recovery orders)

TABLE 8 : RECOVERY OF PAYMENTS in 2020 for DG REA

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2020 Year of Origin (commitment)	Irregularity		OLAF notified		Total undue payments recovered		Total transactions in recovery context(incl. non-		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
2008	5	55119.98			5	55119.98	12	803626.77	41.67%	6.86%
2009	2	106038.06			2	106038.06	3	160187.61	66.67%	66.20%
2010	19	364855.53	1	209377.27	20	574232.8	30	787835.41	66.67%	72.89%
2011	15	494841.73	3	146224.77	18	641066.5	26	1364508.32	69.23%	46.98%
2012	9	144515.53			9	144515.53	20	1434865.16	45.00%	10.07%
2013	23	472099.39	1	107134.29	24	579233.68	53	6073365.53	45.28%	9.54%
2014	20	820072.32	2	452527.19	22	1272599.5	46	4898360.94	47.83%	25.98%
2015	18	95386.25	1	223259.73	19	318645.98	102	4997740.5	18.63%	6.38%
2016	3	184594.36			3	184594.36	33	1331649.84	9.09%	13.86%
2017							36	1102592.92		
2018	1	2173.28			1	2173.28	96	2563922.9	1.04%	0.08%
2019	4	4804.81			4	4804.81	76	2514323.2	5.26%	0.19%
2020	14	7618.35			14	7618.35	16	67618.35	87.50%	11.27%
No Link	1	301.8			1	301.8	7	262524.66	14.29%	0.11%
Sub-Total	134	2752421.3	8	1138523.2	142	3890944.6	556	28363122.1	25.54%	13.72%

EXPENSES BUDGET	Irregularity		OLAF Notified		Total undue payments recovered		Total transactions in recovery context(incl. non-		% Qualified/Total RC	
	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount
INCOME LINES IN INVOICES	20	336404.64			20	336404.64	21	337,528.61	95.24%	99.67%
NON ELIGIBLE IN COST CLAIMS	145	5918473.12	3	420643.88	148	6339117	303	25,186,748.35	48.84%	25.17%
CREDIT NOTES										
Sub-Total	165	6254877.7	3	420643.88	168	6675521.6	324	25524276.9	51.85%	26.15%

| GRAND TOTAL | 299 | 9007299.1 | 11 | 1559167.1 | 310 | 10566466.2 | 880 | 53887399.0 | 35.23% | 19.61% |

	Number at 1/01/2020	Number at 31/12/2020	Evolution	Open Amount (Eur) at 1/01/2020	Open Amount (Eur) at 31/12/2020	Evolution
2015	6	5	-16.67 %	64,797.19	52,262.54	-19.34 %
2016	3	2	-33.33 %	767,828.37	42,983.34	-94.40 %
2017	16	12	-25.00 %	2,167,698.58	1,556,545.90	-28.19 %
2018	10	7	-30.00 %	268,032.97	85,353.95	-68.16 %
2019	54	14	-74.07 %	6,920,520.66	1,736,968.93	-74.90 %
2020		58			3,685,102.17	
	89	98	10.11	10,188,877.7	7,159,216.83	-29.73

TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 31/12/2020 for DG REA

The total open amount on 31/12/2020 does not take into account partial cancellations of Recovery Orders. This explains the difference of +1.1 M€ compared to the amount reported under "Total Outstanding Balance" in Table 7.

The Open amount at 01/01/2020 differs from last year's Annex 3 amount by 7.973,04 (corresponding to one recovery order) due to the exclusion from the report of Financial Management Area CGUE.

	Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments
TABLE 10 :Recovery Order Waivers >= 60 000 € in 2020 for DG REA						
0	3233200168	3241704827	-384,219.85	International Organisations	C(2020)3364 of 29.05.2020	see justification below

Total DG REA	**-**

Number of RO waivers	**1**

There are 6 waivers below 60 000 € for a total amount of -

The European University Institute participated in 38 FP7 action grants managed by REA. For these action grants, the EUI systematically claimed indirect costs, while receiving an operating grant at the same time under the Lifelong Learning Programme. In 2011, REA was informed that the EUI was the beneficiary receiving operating grants while also charging indirect costs in an action grant funded under the People Programme. By email sent to REA in September 2011, the EUI explained that the indirect costs charged to the FP7 action grants covered only the indirect costs that had been explicitly marked ineligible in the operating grant. By reply email REA accepted EUI's explanation, and the indirect costs were accepted in the action grants. Furthermore, the Commission and the European Research Council Executive Agency audited several action grants awarded to EUI without raising objections on the indirect costs declared under those FP7 action grants. On 14 November 2014, the Commission notified EUI by letter of the ineligibility of the indirect costs in the research action grants and requested the latter that, from that date onwards, indirect costs declared by the EUI for pending and future payments would be considered ineligible on the basis of the non-cumulative principle. The undue EU contributions paid to the EUI by REA amount to EUR 384 219.85. The REA and the Commission consider that the recovery of the indirect costs paid to EUI under FP7 prior to 14 November 2014 would be inconsistent with the principle of proportionality and the recovery of the indirect costs would be disproportionate, may negatively impact the Commission's image and may be subject to a high litigation risk. Therefore the Commission decided to waive the recovery of this amount.

TABLE 11 : Negotiated Procedures in 2020 for DG REA

Negotiated Procedure Legal base	Number of Procedures	Amount (€)
Total		

TABLE 12 : Summary of Procedures in 2020 for DG REA

External Procedures > € 20,000

Procedure Legal base	Number of Procedures	Amount (€)
Total	**0**	**0.00**

Additional Comments:

TABLE 13 : BUILDING CONTRACTS in 2020 for DG REA					

Legal Base	Procedure subject	Contract Number	Contractor Name	Contract Subject	Amount (€)

TABLE 14 : CONTRACTS DECLARED SECRET in 2020 for DG REA

Legal Base	Procedure subject	LC Date	Contract Number	Contractor Name	Contract Subject	Amount (€)

TABLE 15 : FPA duration exceeds 4 years – DG

None of your FPA (if any) exceeds 4 years

TABLE 16 : Commitments co-delegation type 3 in 2020 for DG REA

Annex 3 Financial Reports – REA – Financial Year 2020

Table 1 : Commitments

Table 2 : Payments

Table 3 : Commitments to be settled

Table 4 : Balance Sheet

Table 5 : Statement of Financial Performance

Table 5 Bis: Off Balance Sheet

Table 6 : Average Payment Times

Table 7 : Income

Table 8 : Recovery of undue Payments

Table 9 : Ageing Balance of Recovery Orders

Table 10 : Waivers of Recovery Orders

Additional comments

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2020 (in Mio €) for REA					
			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 1 STAFF EXPENDITURE					
1	1 1	REMUNERATIONS, ALLOWANCES AND CHARGES	57.748	57.726	99.96 %
	1 2	PROFESSIONAL DEVELOPMENT AND SOCIAL EXPENDITURE	2.782	2.764	99.38 %
Total Title 1			60.529	60.490	99.94 %

Title 2 INFRASTRUCTURE AND OPERATING EXPENDITURE					
2	2 1	BUILDING EXPENDITURE	8.157	8.087	99.14 %
	2 2	ICT EXPENDITURE	3.232	3.141	97.20 %
	2 3	MOVABLE PROPERTY AND CURRENT OPERATING EXPENDITURE	0.523	0.489	93.37 %
Total Title 2			11.912	11.717	98.36 %

Title 3 PROGRAMME SUPPORT EXPENDITURE					
3	3 1	PROGRAMME MANAGEMENT EXPENDITURE	0.806	0.801	99.36 %
	3 2	COMMON SUPPORT SERVICES EXPENDITURE	6.462	6.336	98.06 %
Total Title 3			7.268	7.138	98.20 %

Total REA			79.710	79.345	99.54 %

Commitment appropriations authorised include, in addition to the budget voted by the legislative authority, appropriations carried over from the previous exercise, budget amendments as well as miscellaneous commitment appropriations for the period (e.g.

% Outturn on Commitment Appropriations in 2020 for REA
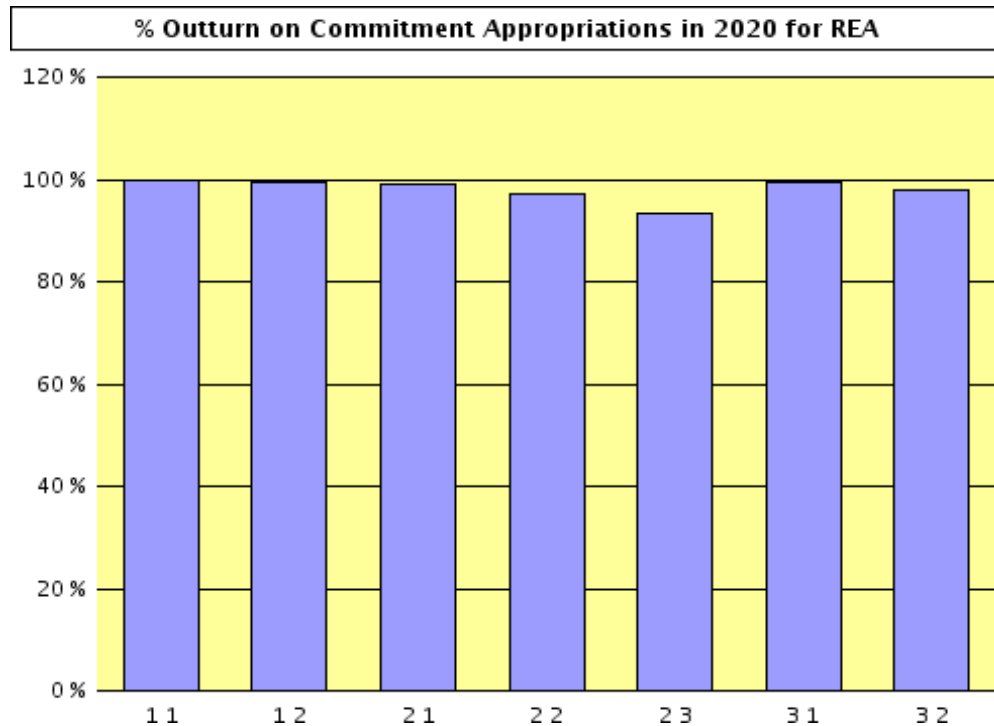
TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS IN 2020 (in Mio €) for REA			Payment appropriations authorised *	Payments made	%
			1	2	3=2/1
Title 1 STAFF EXPENDITURE					
1	1 1	REMUNERATIONS, ALLOWANCES AND CHARGES	57.902	57.768	99.77 %
	1 2	PROFESSIONAL DEVELOPMENT AND SOCIAL EXPENDITURE	2.977	2.607	87.58 %
Total Title 1			**60.879**	**60.375**	**99.17%**
Title 2 INFRASTRUCTURE AND OPERATING EXPENDITURE					
2	2 1	BUILDING EXPENDITURE	9.171	7.097	77.38 %
	2 2	ICT EXPENDITURE	4.032	3.279	81.32 %
	2 3	MOVABLE PROPERTY AND CURRENT OPERATING EXPENDITURE	0.612	0.331	54.05 %
Total Title 2			**13.816**	**10.707**	**77.50%**
Title 3 PROGRAMME SUPPORT EXPENDITURE					
3	3 1	PROGRAMME MANAGEMENT EXPENDITURE	1.257	0.896	71.28 %
	3 2	COMMON SUPPORT SERVICES EXPENDITURE	10.548	6.124	58.06 %
Total Title 3			**11.805**	**7.020**	**59.47%**
		Total REA	**86.500**	**78.103**	**90.29 %**

Payment appropriations authorised include, in addition to the budget voted by the legislative authority, appropriations carried over from the previous exercise, budget amendments as well as miscellaneous payment appropriations for the period (e.g. internal and external assigned revenue).

% Outturn on Payment Appropriations in 2020 for REA

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2020 (in Mio €) for REA								
			Commitments to be settled				Commitments to be settled from financial years previous to 2019	Total of commitments to be settled at end of financial year 2020	Total of commitments to be settled at end of financial year 2019
		Chapter	Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
1	1 1	REMUNERATIONS, ALLOWANCES AND CHARGES	57.73	57.63	0.10	0.17%	0.00	0.10	0.15
	1 2	PROFESSIONAL DEVELOPMENT AND SOCIAL EXPENDITURE	2.76	2.46	0.31	11.19%	0.00	0.31	0.20
Total Title 1			60.49	60.08	0.41	0.67%	0.00	0.41	0.35

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2020 (in Mio €) for REA								
			Commitments to be settled				Commitments to be settled from financial years previous to 2019	Total of commitments to be settled at end of financial year 2020	Total of commitments to be settled at end of financial year 2019
		Chapter	Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
2	2 1	BUILDING EXPENDITURE	8.09	6.09	1.99	24.64%	0.00	1.99	1.01
	2 2	ICT EXPENDITURE	3.14	2.51	0.64	20.24%	0.00	0.64	0.80
Total Title 2			11.72	8.85	2.87	24.47%	0.00	2.87	1.90

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2020 (in Mio €) for REA								
			Commitments to be settled				Commitments to be settled from financial years previous to 2019	Total of commitments to be settled at end of financial year 2020	Total of commitments to be settled at end of financial year 2019
		Chapter	Commitments	Payments	RAL	% to be settled			
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
3	3 1	PROGRAMME MANAGEMENT EXPENDITURE	0.80	0.48	0.32	39.95%	0.00	0.32	0.45
	3 2	COMMON SUPPORT SERVICES EXPENDITURE	6.34	2.07	4.27	67.35%	0.00	4.27	4.09
Total Title 3			7.14	2.55	4.59	64.28%	0.00	4.59	4.54

Total :			79.34	71.48	7.86	9.91 %	0.00	7.86	6.79

Breakdown of Commitments Remaining to be Settled (in Mio EUR) at 31/12/2019 for REA
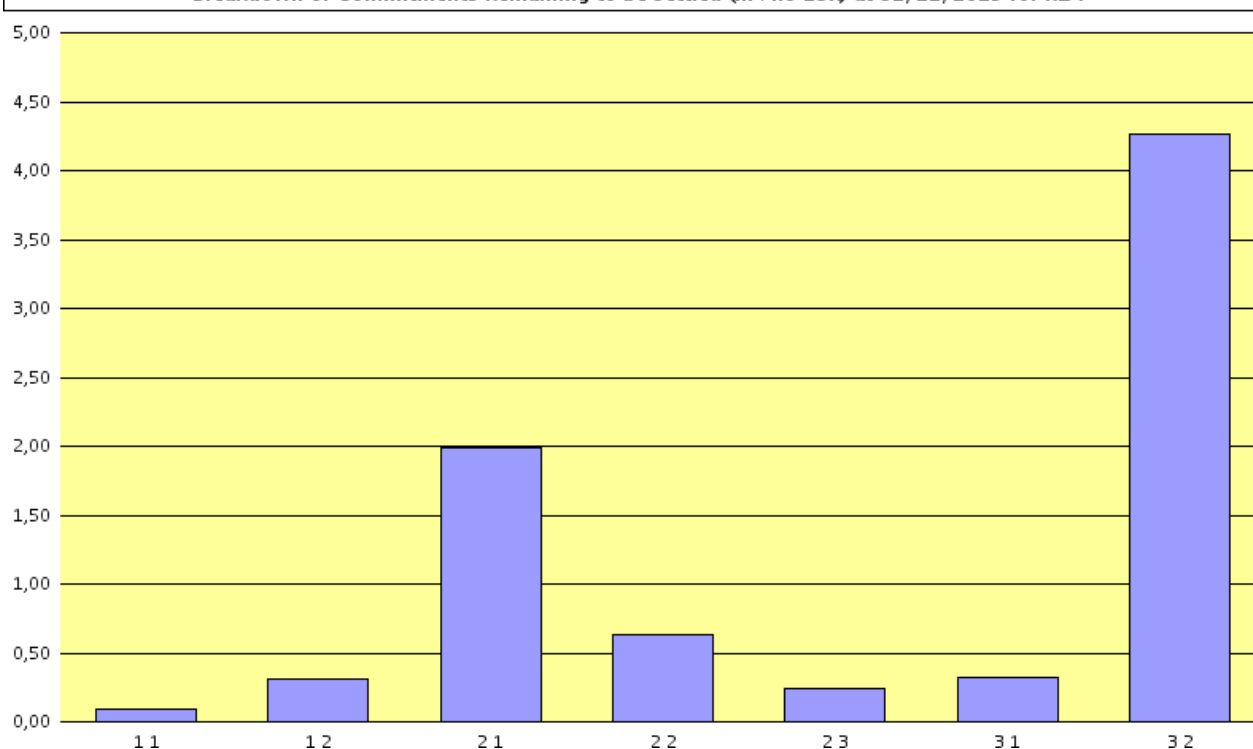
TABLE 4 : BALANCE SHEET for REA

BALANCE SHEET	2020	2019
A.I. NON CURRENT ASSETS	1,967,564	2,318,663
A.I.1. Intangible Assets	695,496	395,410
A.I.2. Property, Plant and Equipment	1,272,068	1,923,253
A.II. CURRENT ASSETS	11,293,391	10,744,735
A.II.3. Curr Exch Receiv &Non-Ex Recoverables	11,293,391	3,613,509
A.II.6. Cash and Cash Equivalents	0	7,131,227
ASSETS	**13,260,95**	**13,063,39**
P.I. NON CURRENT LIABILITIES	-90,242	-121,153
P.I.3. Non-Current Financial Liabilities	-90,242	-121,153
P.II. CURRENT LIABILITIES	-5,730,664	-4,281,906
P.II.3. Current Financial Liabilities	-44,704	-33,881
P.II.4. Current Payables	-1,195,357	-473,859
P.II.5. Current Accrued Charges &Defrd Income	-4,490,604	-3,774,167
LIABILITIES	**-**	**-**
NET ASSETS (ASSETS less LIABILITIES)	**7,440,04**	**8,660,34**

P.III.2. Accumulated Surplus/Deficit	-8,660,339.61	-9208718.18

Non-allocated central (surplus)/deficit*	-1,301,370.96	548378.57

TOTAL	**0.00**	**0.00**

It should be noted that the balance sheet and statement of financial performance presented in Annex 3 to this Annual Activity Report, represent only the assets, liabilities, expenses and revenues that are under the control of this Directorate General. Significant amounts such as own resource revenues and cash held in Commission bank accounts are not included in this Directorate General's accounts since they are managed centrally by DG Budget, on whose balance sheet and statement of financial performance they appear. Furthermore, since the accumulated result of the Commission is not split amongst the various Directorates General, it can be seen that the balance sheet presented here is not in equilibrium.

Additionally, the figures included in tables 4 and 5 are provisional since they are, at this date, still subject to audit by the Court of Auditors. It is thus possible that amounts included in these tables may have to be adjusted following this audit.

TABLE 5 : STATEMENT OF FINANCIAL PERFORMANCE for REA		

STATEMENT OF FINANCIAL PERFORMANCE	2020	2019
II.1 REVENUES	-79,108,528	-75,580,028
II.1.1. NON-EXCHANGE REVENUES	-78,519,882	-75,298,394
II.1.1.6. OTHER NON-EXCHANGE REVENUES	-78,519,882	-75,298,394
II.1.2. EXCHANGE REVENUES	-588,646	-281,634
II.2. EXPENSES	80,328,819	76,128,407
II.2. EXPENSES II.2.10.OTHER EXPENSES	80,328,819 22,010,547	76,128,407 21,831,805
II.2.6. STAFF AND PENSION COSTS	58,309,283	54,295,380
STATEMENT OF FINANCIAL PERFORMANCE	**1,220,29**	**548,37**

OFF BALANCE	2020	2019
OB.2. Contingent Liabilities	-566,182	
OB.2.6. CL Other	-566,182	
OB.3. Other Significant Disclosures	-11,750,490	-16,463,981
OB.3.2. Comm against app. not yet consumed	-4,744,782	-4,362,405
OB.3.5. Operating lease commitments	-7,005,708	-12,101,575
OB.4. Balancing Accounts	12,316,672	16,463,981
OB.4. Balancing Accounts	12,316,672	16,463,981
OFF BALANCE	**0**	**0**

TABLE 6: AVERAGE PAYMENT TIMES FOR 2020 for REA

Legal Times							
Maximum Payment Time (Days)	Total Number of Payments	Nbr of Payments within Time	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
30	769	761	98.96 %	14.28	8	1.04 %	36.38
35	1	1	100.00 %	28.00			
40	1	1	100.00 %	27.00			
41	1	1	100.00 %	34.00			
42	2	2	100.00 %	11.50			
45	14	14	100.00 %	20.00			
48	2	2	100.00 %	34.00			
55	1	1	100.00 %	50.00			
57	1	1	100.00 %	10.00			
60	7	7	100.00 %	24.14			
90	16	16	100.00 %	19.56			

Total Number of Payments	815	807	99.02 %		8	0.98 %	
Average Net Payment Time	14.92			14.71			36.38
Average Gross Payment Time	15.39			15.12			41.75

Suspensions							
Average Report Approval Suspension	Average Payment Suspension	Number of Suspended Payments	% of Total Number	Total Number of Payments	Amount of Suspended Payments	% of Total Amount	Total Paid Amount
0	19	20	2.45 %	815	212,036.08	0.65 %	32,529,757.61

DG	GL Account	Description	Amount (Eur)

	Chapter	Revenue and income recognized			Revenue and income cashed from			Outstanding balance
		Current year RO	Carried over RO	Total	Current Year RO	Carried over RO	Total	
		1	2	3=1+2	4	5	6=4+5	7=3-6
2 0	COMMISSION SUBSIDY	79,208,857	0	79,208,857	79,208,857	0	79,208,857	0
4 0	REVENUE ACCRUING FROM OTHER EU BODIES AND INST.	0	457,310	457,310	0	457,310	457,310	0
9 0	MISCELLANEOUS REVENUE	177,597	32,724	210,321	171,746	26,974	198,720	11,601
	Total REA	**79,386,45**	**490,034**	**79,876,48**	**79,380,60**	**484,284**	**79,864,88**	**11,601**

TABLE 7 : SITUATION ON REVENUE AND INCOME IN 2020 for REA

Column 1 and 4 also include the negative amounts corresponding to the waivers or cancellations introduced in 2020 and relating to ROs emitted in the previous years.

TABLE 8 : RECOVERY OF PAYMENTS in 2020 for REA

Year of Origin (commitment)	Total undue payments recovered		Total transactions in recovery context(incl. non-		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
2019						
No Link						
Sub-Total						

EXPENSES BUDGET	Irregularity		OLAF Notified		Total undue payments recovered		Total transactions in recovery context(incl. non-qualified)		% Qualified/Total RC	
	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount	Nbr	Amount
INCOME LINES IN INVOICES										
NON ELIGIBLE IN COST CLAIMS										
CREDIT NOTES										
Sub-Total										

GRAND TOTAL										

	Number at 1/01/202	Number at 31/12/202	Evolution	Open Amount (Eur) at 1/01/2020	Open Amount (Eur) at 31/12/2020	Evolution
				TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 31/12/2020 for REA		
2015	1	1	0.00 %	15,426	7,713	-50.00 %
2019	5	1	-80.00 %	490,924	5,750	-98.83 %
2020		2			5,942	
	6	**4**	**-33.33**	**506,350**	**19,405**	**-96.17**

This table includes also RO emitted on HB lines

TABLE 10 :Recovery Order Waivers >= 60 000 € in 2020 for REA					
Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments

Total DG	0.00

Number of RO waivers	0

There is 1 waiver below 60 000 € for a total amount of –24,000.

ANNEX 4 : Financial Scorecard

Executive Agency REA

The Annex 4 of each Commission service / Agency summarises the annual result of the standard financial indicators measurement. Annexed to the Annual Activity Report 2020, 6 standard financial indicators are presented below, each with its objective, category, definition, and result for the Commission service / Agency and for the EC as a whole (for benchmarking purposes)[20]:

- Commitment Appropriations (CA) Implementation
- CA Forecast Implementation
- Payment Appropriations (PA) Implementation
- PA Forecast Implementation
- Global Commitment Absorption
- Timely Payments

For each indicator, its value (in %) for the Commission service is compared to the common target (in %). The difference between the indicator's value and the target is colour coded as follows:

- 100 – >95% of the target: dark green
- 95 – >90% of the target: light green
- 90 – >85% of the target: yellow
- 85 – >80% of the target: light red
- 80 – 0% of the target: dark red

The Commission services / Agencies are invited to provide commentary behind each indicator's result in the dedicated boxes below as this can help the reader to understand the Commission/Agency's service context. In cases when the indicator's value achieves 80% or less of the target, the comment becomes mandatory.

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[20] If the EC service did not perform any transaction in the area measured by the indicator or the information is not available in the central financial system, the indicator is not calculated (i.e. displayed as "-") in this Annex.

A. Administrative budget

Indicator	**CA Implementation**
Category	Efficiency Controls / Budget
Objective	Ensure efficient use of commitment appropriations
Result	Executive Agency REA achieved **100%** compared to the EC result of **100%** ![bar chart: 0% 20% 40% 60% 80% 100%, EC (100%), 100%]
Comment	
Definition	*Formula: Value A / Value B* *– Value A: Committed L1 Accepted Amount + Direct Committed L2 Accepted Amount (Eur)* *– Value B: Credit Accepted Com Amount (Eur)* *Scope:* *Commitments on all relevant Fund Sources, except for:* *– Internal assigned revenue in first year (C4)* *– Internal assigned revenue from lettings and sale of buildings and lands (CL)* *– Repaid advances (structural funds) (C6)* *– External assigned revenue except for EFTA (FCA ,FRT, PO, RO, TCA, TF5, TFC)*

Indicator	PA Implementation
Category	Efficiency Controls / Budget
Objective	Ensure efficient use of payment appropriations
Result	Executive Agency REA achieved **90%** compared to the EC result of **90%**
Comment	REA implemented 90% of its payment appropriations, in line with the Commission's performance. To be noted that this performance relates to the implementation of non-differentiated appropriations for which there is an automatic carry forward of payment appropriations to 2021 for the part of commitments concluded in 2020 and remaining to be paid at year-end.
Definition	*Formula: Value A / Value B* *– Value A: Payment Accepted Amount (Eur)* *– Value B: Credit Accepted Pay Amount (Eur)* *Scope:* *Payments on all relevant Fund Sources, except for:* *– Internal assigned revenue in first year (C4)* *– Internal assigned revenue from lettings and sale of buildings and lands (CL)* *– Repaid advances (structural funds) (C6)* *– External assigned revenue except for EFTA (FCA ,FRT, P0, R0, TCA, TF5, TFC)* *– Payments stemming from C1, C5, E0 outstanding commitments on the non-staff budget positions that will be carried-forward as C8 to the next financial year*

Indicator	**CA Forecast Implementation**
Category	Efficiency Controls / Budget
Objective	Ensure the cumulative alignment of the commitment implementation with the commitment forecast in a financial year
Result	Executive Agency REA achieved **-** compared to the EC result of **-**

0%   20%   40%   60%   80%   100%

Comment	DG BUDG does not require REA to encode the forecast of its administrative budget in the central systems. Hence, the indicator is not applicable for REA in 2020 due to a lack of formal encoding of forecasting of spending of commitment appropriations related to the REA administrative budget.

Definition	*Formula: Value A / Value B*,***
	 – Value A: Committed L1 Accepted Amount + Direct Committed L2 Accepted Amount (Eur)
	 – Value B: Commitment Forecast Amount (Eur)
	     *if Value A / Value B between 100 and 200% then the result indicator will be equal to 1 – (ABS(Value B – Value A) / Value B)
	     **if Value A / Value B > 200 % then the result indicator will be equal to 0%
	 Scope:
	 – Commitments on all relevant Fund Sources
	 – Commitment Forecast Amount (Eur) from the most up to date forecast version (Initial Mar-Aug, Revised Sep-Dec)

Indicator	**PA Forecast Implementation**
Category	Efficiency Controls / Budget
Objective	Ensure the cumulative alignment of the payment implementation with the payment forecast in a financial year
Result	Executive Agency REA achieved **-** compared to the EC result of **-**
Comment	DG BUDG does not require REA to encode the forecast of its administrative budget in the central systemsl. Therefore, The indicator is not applicable for REA in 2020 due to a lack of formal encoding of forecasting of spending of commitment appropriations related to the REA administrative budget .
Definition	*Formula: Value A / Value B*,*** *– Value A: Payment Accepted Amount (Eur)* *– Value B: Payment Forecast Amount (Eur)* **if Value A / Value B between 100 and 200% then the result indicator will be equal to 1 – (ABS(Value B – Value A) / Value B)* ***if Value A / Value B > 200 % then the result indicator will be equal to 0%* *Scope:* *– Payments on all relevant Fund Sources* *– Payment Forecast Amount (Eur) from the most up to date forecast version (Initial Mar-Aug, Revised Sep-Dec)*

Indicator	**Global Commitment Absorption**
Category	Efficiency Controls / Absorption
Objective	Ensure efficient use of already earmarked commitment appropriations (at L1 level)
Result	Executive Agency REA achieved **-** compared to the EC result of **-**

0%   20%   40%   60%   80%   100% |
| **Comment** | The indicator is not applicable for REA in 2020 due to the fact that the spending of the administrative budget does not call on the use of global commitments. |
| *Definition* | *Formula:*
– Value A: Com L1 Consumption amount (Eur)
– Value B: Com L1 Initial amount (Eur) + Com L1 Complementary Amount (Eur) + (Com L1 Decommitment Amount (Eur) on all Fund Sources except for C8 and C9)
Scope:
– Com L1 with FDC ILC date from 01/01 to 31/12 of the current year
– No movements to the Com L1 Consumption amount (Eur) after the FDC ILC date is taken into account (Generally decommitments of L2 which decrease the Com L1 consumption)

Remark: Due to technical limitation, the indicator does not take into account the Com L1 Consumption between the FDC ILC date and the FA FDI allowed as an exception in the external actions for Com L1 of type GF, i.e. with Financing Agreement, under the FR2018 Article 114.2. As a result, the actual Indicator score may be slightly higher than the one reported for DGs using the GF commitments. |

Indicator	**Timely Payments**
Category	Efficiency Controls / Timeliness
Objective	Ensure efficient processing of payments within the legal deadlines
Result	Executive Agency REA achieved **99%** compared to the EC result of **99%**

EC (99%)
99%

Comment	REA ensured efficient processing of payments within the legal deadlines.. A total of 815 administrative payments were performed in less than 15 days in average, representing a performance of 99.0% timely payments. This performance is in line with the Commission's performance. Only 8 payments were delayed, representing less than 1 % of the payments made and 0.74% of the total amount of payments processed during 2020.
Definition	*Formula: Value A / Value B* *– Value A: Payment Accepted Amount (Eur) in time* *○ In Time: Payment Bank Value Date < = Payment legal deadline* *– Value B: Payment Accepted Amount (Eur)* *Scope:* *– Payments made in the current year* *– Payments valid for payment statistics (DWH Flag "Payment Time Status OK?" = "Y")*

B. Operational budget

Indicator	**CA Implementation**
Category	Efficiency Controls / Budget
Objective	Ensure efficient use of commitment appropriations
Result	Executive Agency REA achieved **100%** compared to the EC result of **99%** 0%　　20%　　40%　　60%　　80%　　100% EC (99%) 100%
Comment	
Definition	*Formula: Value A / Value B* *– Value A: Committed L1 Accepted Amount + Direct Committed L2 Accepted Amount (Eur)* *– Value B: Credit Accepted Com Amount (Eur)* *Scope:* *Commitments on all relevant Fund Sources, except for:* *– Internal assigned revenue in first year (C4)* *– Internal assigned revenue from lettings and sale of buildings and lands (CL)* *– Repaid advances (structural funds) (C6)* *External assigned revenue except for EFTA (FCA ,FRT, P0, R0, TCA, TF5, TFC)*

Indicator	**PA Implementation**
Category	Efficiency Controls / Budget
Objective	Ensure efficient use of payment appropriations
Result	Executive Agency REA achieved **100%** compared to the EC result of **99%**

Comment	
Definition	*Formula: Value A / Value B* – *Value A: Payment Accepted Amount (Eur)* – *Value B: Credit Accepted Pay Amount (Eur)* *Scope:* *Payments on all relevant Fund Sources, except for:* – *Internal assigned revenue in first year (C4)* – *Internal assigned revenue from lettings and sale of buildings and lands (CL)* – *Repaid advances (structural funds) (C6)* – *External assigned revenue except for EFTA (FCA ,FRT, PO, RO, TCA, TF5, TFC)* – *Payments stemming from C1, C5, E0 outstanding commitments on the non-staff budget positions that will be carried-forward as C8 to the next financial year*

Indicator	**CA Forecast Implementation**
Category	Efficiency Controls / Budget
Objective	Ensure the cumulative alignment of the commitment implementation with the commitment forecast in a financial year
Result	Executive Agency REA achieved **97%** compared to the EC result of **98%**
Comment	The performance of REA in terms of implementation of the CA at year-end stands beyond REA's forecast at 103.%. Following the methodology described below, the deviation between REA's forecast and the implementation of its CAs at year-end is estimated at about 3%. Therefore, REA performance for the current indicator is about 97%. .. REA forecast is well prepared, based on the budget indicated in the H2020 Work Programmes and the information provided by the Parent DGs. The difference between the implementation of CAs and the forecast results from the fact that REA had more appropriations from C4/R0 sources than initially planned, especially following budget transfers from its Parent DGs to fund additional grants from the reserve list.

Definition	*Formula: Value A / Value B*,***
	– Value A: Committed L1 Accepted Amount + Direct Committed L2 Accepted Amount (Eur)
	– Value B: Commitment Forecast Amount (Eur)
	     *if Value A / Value B between 100 and 200% then the result indicator will be equal to 1 – (ABS(Value B – Value A) / Value B)
	     **if Value A / Value B > 200 % then the result indicator will be equal to 0%
	Scope:
	– Commitments on all relevant Fund Sources
	– Commitment Forecast Amount (Eur) from the most up to date forecast version (Initial Mar-Aug, Revised Sep-Dec)

Indicator	**PA Forecast Implementation**
Category	Efficiency Controls / Budget
Objective	Ensure the cumulative alignment of the payment implementation with the payment forecast in a financial year
Result	Executive Agency REA achieved **100%** compared to the EC result of **99%**
Comment	
Definition	*Formula: Value A / Value B*,*** *– Value A: Payment Accepted Amount (Eur)* *– Value B: Payment Forecast Amount (Eur)* **if Value A / Value B between 100 and 200% then the result indicator will be equal to 1 – (ABS(Value B – Value A) / Value B)* ***if Value A / Value B > 200 % then the result indicator will be equal to 0%* *Scope:* *– Payments on all relevant Fund Sources* *– Payment Forecast Amount (Eur) from the most up to date forecast version (Initial Mar–Aug, Revised Sep-Dec)*

Indicator	**Global Commitment Absorption**
Category	Efficiency Controls / Absorption
Objective	Ensure efficient use of already earmarked commitment appropriations (at L1 level)
Result	Executive Agency REA achieved **99%** compared to the EC result of **98%**
Comment	
Definition	*Formula*: – *Value A: Com L1 Consumption amount (Eur)* – *Value B: Com L1 Initial amount (Eur) + Com L1 Complementary Amount (Eur) + (Com L1 Decommitment Amount (Eur) on all Fund Sources except for C8 and C9)* *Scope:* – *Com L1 with FDC ILC date from 01/01 to 31/12 of the current year* – *No movements to the Com L1 Consumption amount (Eur) after the FDC ILC date is taken into account (Generally decommitments of L2 which decrease the Com L1 consumption)* *Remark: Due to technical limitation, the indicator does not take into account the Com L1 Consumption between the FDC ILC date and the FA FDI allowed as an exception in the external actions for Com L1 of type GF, i.e. with Financing Agreement, under the FR2018 Article 114.2. As a result, the actual Indicator score may be slightly higher than the one reported for DGs using the GF commitments.*

Indicator	**Timely Payments**
Category	Efficiency Controls / Timeliness
Objective	Ensure efficient processing of payments within the legal deadlines
Result	Executive Agency REA achieved **100%** compared to the EC result of **99%**
Comment	During the year, 1,974 pre-financing payments and 2,429 interim / final payments were made. Additionally, REA managed 25,838 payments related to experts, out of which 99.7% were paid in 7 days on average.
Definition	*Formula: Value A / Value B* *– Value A: Payment Accepted Amount (Eur) in time* *o In Time: Payment Bank Value Date < = Payment legal deadline* *– Value B: Payment Accepted Amount (Eur)* *Scope:* *– Payments made in the current year* *– Payments valid for payment statistics (DWH Flag "Payment Time Status OK?" = "Y")*

ANNEX 5: Materiality criteria

The present document details the way REA assesses the level of errors in its annual financial statements and the definition of the level of misstatement that is considered as quantitatively material.

Considering that around 95% of the yearly expenditure is related to directly managed research grants, and the fact that the research framework programmes' implementing bodies are sharing a common ex-post audit approach, the following section focusses on this specific management system.

Research framework programmes – common aspects

The assessment of the effectiveness of the different programmes' control system is based mainly, but not exclusively, on ex-post audits' results. The effectiveness is expressed in terms of detected and residual error rate, calculated on a representative sample.

Assessment of the effectiveness of controls

The starting point to determine the effectiveness of the controls in place is the cumulative level of error expressed as the percentage of errors in favour of the EC, detected by ex-post audits, measured with respect to the amounts accepted after ex-ante controls.

However, to take into account the impact of the ex-post controls, this error level is adjusted by subtracting:

- Errors detected corrected as a result of the implementation of audit conclusions.
- Errors corrected as a result of the extension of audit results to non-audited contracts with the same beneficiary.

This results in a residual error rate, which is calculated as follows:

$$\mathrm{Re}\,sER\% = \frac{(\mathrm{Re}\,pER\% * (P - A)) - (\mathrm{Re}\,pERsys\% * E)}{P}$$

where:

ResER%   residual error rate, expressed as a percentage.

RepER%   representative error rate, or error rate detected in the common representative sample, expressed as a percentage. The RepER% is composed of complementary portions reflecting the proportion of negative systematic and non-systematic errors detected. This rate is the same for all implementing entities, without prejudice to possibly individual detected error rates.

RepERsys% portion of the RepER% representing negative systematic errors, (expressed as a percentage). The RepERsys% is the same for all entities and it is calculated from the same set of results as the RepER%

P total requested EC contribution (€) in the auditable population (i.e. all paid financial statements).

A total requested EC contribution (€) as approved by financial officers of all audited financial statements. This will be collected from audit results.

E total non-audited requested EC contribution (€) of all audited beneficiaries.

The Common Representative Sample (CRS) is the starting point for the calculation of the residual error rate. It is representative of the expenditure of each FP as a whole. Nevertheless, the Director-General (or Director for the Executive Agencies) must also take into account other information when considering if the overall residual error rate is a sufficient basis on which to draw a conclusion on assurance (or make a reservation) for specific segment(s) of the Seventh Framework Programme (FP7)/Horizon 2020. This may include the results of other ex-post audits, ex-ante controls, risk assessments, audit reports from external or internal auditors, etc. All this information may be used in assessing the overall impact of a weakness and considering whether to make a reservation or not.

If the CRS results are not used as the basis for calculating the residual error rate this must be clearly disclosed in the AAR, along with details of why and how the final judgement was made.

Should a calculation of the residual error rate based on a representative sample not be possible for a FP for reasons not involving control deficiencies,[21] the consequences are to be assessed quantitatively by making a best estimate of the likely exposure for the reporting year based on all available information. The relative impact on the Declaration of Assurance would then be considered by analysing the available information on qualitative grounds and considering evidence from other sources and areas. This should be clearly explained in the AAR.

Multiannual approach

The Commission's central services' guidance relating to the quantitative materiality threshold refers to a percentage of the authorised payments of the reporting year of the ABB expenditure. However, the Guidance on AARs also allows a multi-annual approach, especially for budget areas (e.g. programmes) for which a multi-annual control system is more effective. In such cases, the calculation of errors, corrections and materiality of the

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[21] Such as, for instance, when the number of results from a statistically-representative sample collected at a given point in time is not sufficient to calculate a reliable error rate.

residual amount at risk should be done on a "cumulative basis" on the basis of the totals over the entire programme lifecycle.

Because of its multiannual nature, the effectiveness of the Research and Innovation family services' control strategy can only be fully measured and assessed at the final stages in the life of the framework programme, once the ex-post audit strategy has been fully implemented and systematic errors have been detected and corrected.

In addition, basing materiality solely on ABB expenditure for one year may not provide the most appropriate basis for judgements, as ABB expenditure often includes significant levels of pre-financing expenditure (e.g. during the initial years of a new generation of programmes), as well as reimbursements (interim and final payments) based on cost claims that 'clear' those pre-financings. Pre-financing expenditure is very low risk, being paid automatically after the signature of the contract.

Notwithstanding the multiannual span of their control strategy, the Directors-General of the Research DGs (and the Directors of ERCEA, REA, and, for Horizon 2020, EASME and INEA) are required to sign a statement of assurance for each financial reporting year. In order to determine whether to qualify this statement of assurance with a reservation, the effectiveness of the control systems in place needs to be assessed not only for the year of reference but also with a multiannual perspective, to determine whether it is possible to reasonably conclude that the control objectives will be met in the future as foreseen.

In view of the crucial role of ex-post audits defined in the respective common audit strategies, this assessment needs to check in particular whether the scope and results of the ex-post audits carried out until the end of the reporting period are sufficient and adequate to meet the multiannual control strategy goals.

The criteria for making a decision on whether there is material error in the expenditure of the DG or service, and thus, on whether to make a reservation in the AAR, will therefore be principally, though not necessarily exclusively, based on the level of error identified in ex-post audits of cost claims on a multi-annual basis.

Adequacy of the audit scope

The quantity of the (cumulative) audit effort carried out until the end of each year is measured by the actual volume of audits completed. The data is to be shown per year and cumulated, in line with the current AAR presentation of error rates. The multiannual planning and results should be reported in sufficient detail to allow the reader to form an opinion on whether the strategy is on course as foreseen.

The Director-General (or Director for the Executive Agencies) should form a qualitative opinion to determine whether deviations from the multiannual plan are of such significance that they seriously endanger the achievement of the internal control objective. In such case, she or he would be expected to qualify his annual statement of assurance with a reservation.

2020 REVISED Methodology for the calculation of the error rate for Horizon 2020

The European Court of Auditors observed in its 2018 and 2019 Annual Reports that the error rate of Horizon 2020 was understated, as extrapolation was not performed for non-systemic errors. The Court also observed that this understatement could not be quantified.

In response to this observation, in 2020 the Commission re-defined its methodology for calculating the Horizon 2020 error rate. In order to quantify any potential understatement mentioned by the Court, the Commission applied a new methodology for all audits closed as from 01 January 2020. The main change in the methodology is that in cases of systemic errors, the denominator used in the error calculation is the sum of costs actually audited and not the sum of all accepted costs.

The additional 0.41% (calculated on 790 Horizon 2020 audit participations by difference with the previous methodology) has been used to top up the detected error rate for 2020 calculated according to the methodology used in the past.

IAS limited review on the 2020 error rate calculation for H2020

The IAS has carried out a limited review on the methodology for calculation of the error rates of Horizon 2020 in year 2020. The preliminary findings of this limited review confirmed that there is no weakness in the calculation of the detected error rate and that the impact of these findings on the accuracy of the calculation of the residual error rate is minor. The final recommendations of this limited review will be implemented in the AAR 2021.

Research Framework programmes – specific aspects

The control system of each framework programme is designed to achieve the operational and financial control objectives set in their respective legislative base and legal framework. If the effectiveness of those control systems does not reach the expected level, a reservation must be issued in the annual activity report and corrective measures should be taken.

As each programme has a different control system, the following section details the considerations leading to the establishment of their respective materiality threshold and the conclusions to draw with regard to the declaration of assurance.

Seventh Framework programme

For the Seventh Framework programme, the general control objective, following the standard quantitative materiality threshold proposed in the Standing Instructions for AAR, is to ensure that the residual error rate, i.e. the level of errors which remain undetected and uncorrected, does not exceed 2% by the end of the programmes' management cycle.

The question of being on track towards this objective is to be (re)assessed annually, in view of the results of the implementation of the ex-post audit strategy and taking into account

both the frequency and importance of the errors found as well as a cost-benefit analysis of the effort needed to detect and correct them.

Horizon 2020 Framework Programme

The Commission's proposal for the Regulation establishing H2020 framework programme[22] states that

It remains the ultimate objective of the Commission to achieve a residual error rate of less than 2% of total expenditure over the lifetime of the programme, and to that end, it has introduced a number of simplification measures. However, other objectives such as the attractiveness and the success of the EU research policy, international competitiveness, scientific excellence and in particular, the costs of controls need to be considered.

Taking these elements in balance, it is proposed that the Directorates General charged with the implementation of the research and innovation budget will establish a cost-effective internal control system that will give reasonable assurance that the risk of error over the course of the multiannual expenditure period is, on an annual basis, within a range of 2-5 %, with the ultimate aim to achieve a residual level of error as close as possible to 2 % at the closure of the multi-annual programmes, once the financial impact of all audits, correction and recovery measures have been taken into account.

Further, it explains also that

Horizon 2020 introduces a significant number of important simplification measures that will lower the error rate in all the categories of error. However, [...] the continuation of a funding model based on the reimbursement of actual costs is the favoured option. A systematic resort to output based funding, flat rates or lump sums appears premature at this stage [...]. Retaining a system based on the reimbursement of actual costs does however mean that errors will continue to occur.

An analysis of errors identified during audits of the Seventh Framework Programme (FP7) suggests that around 25-35 % of them would be avoided by the simplification measures proposed. The error rate can then be expected to fall by 1.5 %, i.e. from close to 5 % to around 3.5 %, a figure that is referred to in the Commission Communication striking the right balance between the administrative costs of control and the risk of error.

The Commission considers therefore that, for research spending under Horizon 2020, a risk of error, on an annual basis, within a range between 2-5 % is a realistic objective taking into account the costs of controls, the simplification measures proposed to reduce the complexity of rules and the related inherent risk associated to the reimbursement of costs of the research project. The ultimate aim for the residual level of error at the closure of the

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[22] COM(2011) 809/3 Proposal for a Regulation of the European Parliament and of the Council establishing Horizon 2020 – the Framework programme for Research and Innovation (2014-2020), see point 2.2, pp 98-102.

programmes after the financial impact of all audits, correction and recovery measures will have been taken into account is to achieve a level as close as possible to 2 %.

In summary, the control system established for Horizon 2020 is designed to achieve a control result in a range of 2-5% detected error rate, which should be as close as possible to 2%, after corrections. Consequently, this range has been considered in the legislation as the control objective set for the framework programme.

The question of being on track towards this objective is to be (re)assessed annually, in view of the results of the implementation of the ex-post audit strategy and taking into account both the frequency and importance of the errors found as well as a cost-benefit analysis of the effort needed to detect and correct them.

<u>De minimis threshold for financial reservation</u>

As from 2019[23,] **a 'de minimis' threshold for financial reservations is introduced. Quantified AAR reservations related to residual error rates above the 2% materiality threshold, are deemed not substantial for segments representing less than 5% of a DG's total payments and with a financial impact below EUR 5 million. In such cases, quantified reservations are no longer needed.**

REA local error rate definitions and risk profiles

The principal methodology underlying the calculations of the error rates is defined in the Common Audit Strategies for FP7 and H2020 for the R&I family. Where relevant, REA complements the common indicators, in view of a more detailed reporting on the legality and regularity of the operations it manages.

Definitions

The Common Representative Sample (CRS) provides an estimate, via a representative sample of cost claims across the R&I family, of the overall level of error in the Research Framework Programmes, for all services involved in its management. All of these grants follow the same homogeneous overall control system, which is set out in this report.

Whilst the CRS is thus the basic indicator of legality and regularity for the Framework Programme as a whole, REA also examines all the results of controls in its particular population to confirm whether the error rate detected by the CRS should be complemented by other evidence that may lead to different conclusions on the error rate.

The CRS is complemented by 'risk-based' audits, which are selected according to one or more risk criteria. These audits are intended to detect and correct as many errors as possible for instance by targeting the larger beneficiaries and through the identification of possibly fraudulent operators. These audits are also referred to as 'corrective' audits.

Different indicators are calculated to provide a comprehensive view on legality and regularity:

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[23] Agreement of the Corporate Management Board of 30/4/2019.

Representative Detected Error Rate for the Framework Programme (**RepER%**) as explained above, under the section "Research Framework Programmes – common aspects"

Detected Local Error Rates: These error rates are calculated for actions that have a risk profile different from FP7 or H2020 mainstream actions: MCA and SME actions for FP7, and MSCA actions for H2020. For FP7, the local detected error rate is based on a non-biased selection of transactions, without this being statistically representative. Nevertheless, it is seen as providing relevant indications on the error rate in the related population. For H2020, the local representative error rate for MSCA is calculated by the REA, taking into account stratification and sampling intervals and the errors detected in the samples are projected to the MSCA population. The samples are based on the CRS and a "second-layer" sample specifically created for this population.

Cumulative Residual Error Rate (ResER), as explained above, under the section "Research Framework Programmes – common aspects".

Residual Local Error Rates: The local residual error rate is calculated using the same formula and assumptions as the Residual Error rate. It is based on the Detected Local Error Rate for MCA and SME actions for FP7, and on the local representative error rate for MSCA actions in H2020.

Error rates following the risk profile of REA's specific programmes:

Since the Cumulative Representative Error Rate predominantly reflects the errors encountered in the mainstream collaborative R&I projects, it can be considered as fully representative for the FP7 Space and Security themes, and for all H2020 projects, except the MSCA actions for which a local representative error rate is defined.

The Research for the Benefit of SMEs actions in the Capacities Specific Programme and the Marie Curie Actions (MCA) in the FP7 People Specific Programme have a different risk profile compared to mainstream FP7 projects as explained above. Therefore, the overall assessment of the risk exposure in terms of legality and regularity in the underlying transactions will be supported by the Local Detected Error Rates.

The local detected error rates for FP7 take into account:

    (1)   the audits that were part of the CRaS and were financed from the targeted REA managed programmes;

    (2)   REA's randomly selected audits launched previously under FP7;

    (3)   the audits performed on the strand of top beneficiaries.

Risk-based audits are not taken into account for the calculation of the local detected error rate as this would introduce a significant bias. By definition, risk-based audits, target high-risk beneficiaries and are launched by the ex-post audit service based on information received from operational units expressing serious doubts about a beneficiary, the European Anti-Fraud Office (OLAF), the European Court of Auditors or whistle-blowers. Their findings are not representative of the population.

Although the size and composition of the sample do not ensure statistical precision, this error rate gives an indication of the risk exposure in the two populations and represents an important element in assurance building. The inclusion of top beneficiaries in the calculation does not introduce any significant bias that would render this indicator less relevant as demonstrated below.

The People Specific Programme is characterised by a high level of participation from universities, both in high-value network grants and in mono-beneficiary fellowships. Funding modalities have remained largely identical to those in FP6, which implies that most beneficiaries have gained a sufficient

understanding of the funding rules, independently of their frequency of participation. As a result, a differentiation between error rates for incidental and repeat beneficiaries is no longer expected.

Since the SME actions have many non-repeat beneficiaries, the share of the total budget covered by beneficiaries who have been audited for at least one FP7 project is low. For the SME actions, the audits targeting the top beneficiaries include mostly those selected as an add-on to a random selection. As such, by excluding audits selected based on a risk identification while including audits under the strand of 'top beneficiaries', no significant bias is expected in the detected error rate.

For H2020, the MSCA Local Representative Error Rate takes into account the results available in 2018 and 2019 for:

   (1)   the audits in the random sample for MSCA (layer 2)

   (2)   the audits of MSCA in the random CRS (layer 1),

All H2020 audits are performed by the Common Audit Service (CAS) of the Common Implementation Centre hosted by DG RTD.

ANNEX 6:   Relevant Control System(s) for budget implementation (RCSs)

Grants direct management – FP7 and Horizon 2020

1. Ex-ante controls

Effectiveness, efficiency and qualitative benefits are detailed per stages A to D. Economy and quantitative benefits are calculated overall for the ex-ante controls and described at the end of section 1.

A – Preparation, adoption and publication of the Annual Work Programme and Calls for proposals and Design of the business processes
Main control objectives: Ensuring that the Agency selects the proposals that contribute the most towards the achievement of the policy or programme objectives (effectiveness); Compliance (legality & regularity); Prevention of fraud (anti-fraud strategy); Efficiency and cost effectiveness of the controls

Note: this activity is within the remit of the Commission services. The relevant control template is listed below for reasons of completeness.

Main risks It may happen (again) that…	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (effectiveness, efficiency)

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (effectiveness, efficiency)
The work programme and the subsequent calls for proposals do not adequately reflect the policy objectives, priorities, are incoherent and/or the essential eligibility, selection and award criteria are not adequate to ensure the evaluation of the proposals. The annual work programmes are not consistent with the 7 years' framework programme. The programme Horizon 2020 implementation (procedures, monitoring arrangements, communication with beneficiaries, budget planning, etc.) is not consistent within the Research and Innovation family and with the 7 years' framework	Hierarchical validation within the authorising department Inter-service consultation, including all relevant services Adoption by the Commission Explicit allocation of responsibility. The Common Implementation Centre in DG RTD provides all the members of the R&I Family with harmonised procedures, guidance and IT tools. DG RTD centralises the budget planning and the monitoring of the Horizon 2020's budget implementation	**Coverage / Frequency:** 100% Depth: All work programmes are thoroughly reviewed at all levels, including for operational and legal aspects. **Coverage/ Frequency:** 100% Depth All the underlying implementation tools are defined and developed at R&I family level.	**Effectiveness:** The work programme is adopted by the Commission. Success ratios in terms of "over-subscription": number of proposals retained for funding compared to number of eligible proposals received.

B - Selecting and awarding: Evaluation, ranking and selection of proposals

Main control objectives: Ensuring that the most promising projects for meeting the policy objectives are among the proposals selected; Compliance; Prevention of fraud

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (effectiveness, efficiency)
The evaluation, ranking and selection of proposals is not carried out in accordance with the established procedures, the policy objectives, priorities and/or the eligibility criteria, or with the selection and award criteria defined in the annual work programme and subsequent calls for proposals. Experts have a Conflict of interest regarding the proposals they are called to evaluate.	Assessment by independent experts. Selection and appointment of expert evaluators. Conflict of interest checks. Comprehensive IT system supporting this stage and allowing better monitoring of the process. Validation by the AOSD of ranked list of proposals. In addition, if applicable: Opinion of Programme Committees; inter-service consultation and adoption by the Commission; publication of publishable summaries of funded projects.. Systematic checks on operational and legal aspects performed before signature of the GA. Evaluation review procedure.	100% vetting (including selecting) of experts for technical expertise and independence (e.g. conflicts of interests, nationality bias, ex-employer bias, collusion). **Coverage:** 100% of ranked list of proposals. Supervision of work of evaluators. 100% of contested decisions are analysed by evaluation review committees.	**Effectiveness:** Number of proposals evaluated **Efficiency Indicators:** % of Time-to-inform on time. % of number of (successful) evaluation review challenges upheld / total number of proposals evaluated

C - Contracting

Main control objectives: Ensuring that the most promising projects for meeting the policy objectives are among the proposals contracted; Sound financial management (optimal allocation of the budget available); Compliance; Prevention of fraud

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (effectiveness, efficiency)
The beneficiary lacks operational and/or financial capacity to carry out the actions. Procedures do not comply with the regulatory framework. The evaluation stage has not detected a potentially fraudulent proposal/beneficiary.	Validation of beneficiaries and financial capacity checks for selected coordinators/beneficiaries. Systematic checks on operational and legal aspects performed before signature of the GA. Risk assessment and risk based checks before the grant agreement signature and reinforced monitoring flagging where necessary. Ad hoc anti-fraud checks for riskier beneficiaries. Financial Coverage against financial losses provided by the Participant Guarantee Fund.	100% of the selected proposals and beneficiaries are scrutinised. **Coverage:** 100% of draft grant agreements. **Depth** may be differentiated; determined after considering the type or nature of the beneficiary (e.g. SMEs, joint ventures) and/or the modalities (e.g. substantial subcontracting) and/or the total value of the grant. Note that, given the constraints on the time to grant set out in the Horizon 2020 legislation, "negotiation" of projects is kept to a minimum, as far as possible the positively evaluated projects are accepted without modification.	**Effectiveness:** Number of grants signed **Efficiency Indicators:** Average Time-to-grant % of Time–to-grant on time

D – Monitoring the implementation

Main control objectives: Ensuring that the operational results (deliverables) from the projects are of good quality and meet the objectives and conditions of the grant agreement; ensuring that the related financial operations comply with regulatory and contractual provisions; prevention of fraud; ensuring appropriate accounting of the operations

Main risks It may happen (again) that…	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (effectiveness, efficiency)
The actions foreseen are not, totally or partially, carried out in accordance with the technical description and requirements foreseen in the grant agreement (e.g. deliverables, open access to results and publications…)	Kick-off meetings and "launch events" involving the beneficiaries in order to avoid project management and reporting errors.	**100%** of the projects are controlled, including only value-adding checks. Riskier operations subject to more in-depth controls.	**Effectiveness:** Number of payments (interim and final) Detected error rates
	Effective external communication about guidance to the beneficiaries.	The **depth** depends on risk criteria. However, as a deliberate policy to reduce administrative burden for beneficiaries, and to ensure a good balance between trust and control, the level of control at this stage is reduced.	**Efficiency Indicators:** Time-to-pay: % of payments made on time Time-to-pay: Average no. of days net/gross + suspension days
The amounts paid exceed what is due in accordance with the applicable contractual and regulatory provisions.	Anti-fraud awareness raising training for the project officers.		
The cost claims are irregular or fraudulent.	Enhanced R&I family approach (anti-fraud cooperation; common legal and audit service; comprehensive and common IT system for all of the R&I family).		
Lack of harmonised approach within the R&I family with the consequence of unequal treatment of the beneficiaries	Operational and financial checks in accordance with the financial circuits. For riskier operations, reinforced monitoring.	High-risk operations identified by risk criteria. Red flags: suspicions raised by staff, audit results, EDES, individual or "population" risk assessment.	
Ethics requirements are not fulfilled.	Selection and appointment of experts for scientific reviews of intermediate and/or final reporting. If needed: Application of suspension/interruption of payments Referring grant/beneficiary to OLAF.	Audit certificates required for any beneficiary claiming more than EUR 375,000 (FP7) / EUR 325,000 (Horizon 2020).	

Overall economy and quantitative benefit for ex-ante control

			Economy ***a. Estimation of cost of staff involved in the ex-ante checks*** Programme management and monitoring Financial management Budget and accounting General Coordination incl. Strategic Programming and Planning, internal control, assurance and quality management Anti-fraud Development and support of IT systems linked to managing funding programmes ***b. Estimation of other costs linked to ex-post checks*** Cost of experts Costs of IT external contracts of CIC

2. Ex-post controls

Effectiveness, efficiency and qualitative benefits are detailed per stages A to B. Economy is calculated overall for the ex-post controls and described at the end of section 2.

A – Reviews, audits and monitoring

Main control objectives: Measuring the level of error in the population after ex-ante controls have been undertaken; detect and correct any error or fraud remaining undetected after the implementation ex-ante controls; identifying possible systemic weaknesses in the ex-ante controls, or weaknesses in the rules

Main risks It may happen (again) that…	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (effectiveness, efficiency)
The ex-ante controls (as such) do not prevent, detect and correct erroneous payments or attempted fraud to an extent going beyond a tolerable rate of error. Lack of consistency in the audit strategy within the R&I family. Lack of efficiency for absence of coordination: multiple audits on the same beneficiary: reputational risk and high administrative burden on the beneficiaries' side.	Common ex-post control strategy for the entire Research and Innovation family (Horizon 2020), implemented by a central service (Common Implementation Centre, DG RTD): - Periodically carrying out audits of a representative sample of operations to measure the level of error in the population after ex-ante controls have been performed; - Additional sample to address specific risks; - where relevant, joint audits with the European Court of Auditors - Multi-annual audit strategy and coordination with other AOs concerned - Validate audit results with beneficiary - In case of systemic error detected, extrapolation to all the projects with participation by the audited beneficiary - If needed: notify the beneficiary or grant to OLAF	- Common Representative audit Sample (CRaS): MUS sample across the programme to draw valid management conclusions on the error rate in the population. - Additional, second layer, sample to address the subpopulation of MSCA characterised by a different risk profile. - REA risk-based sample, determined in accordance with the selected risk criteria, aimed to maximise deterrent effect and prevention of fraud or serious error	**Effectiveness:** Representative and residual error rate identified Number of audits finalised % of beneficiaries & value coverage Percentage of implementation of Common Audit Service (CAS) audit plan

B - Implementing results from ex-post audits/controls

Main control objectives: Ensuring that the (audit) results from the ex-post controls lead to effective recoveries; Ensuring appropriate accounting of the recoveries made

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (effectiveness, efficiency)
The errors, irregularities and cases of fraud detected are not addressed or not addressed in a timely manner	Systematic registration of audit / control results to be implemented and monitoring of timely actual implementation. Validation of recovery in accordance with financial circuits. Notification to OLAF and regular follow up of detected fraud.	**Coverage:** 100% of final audit results with a financial impact. **Depth:** All audit results are examined in-depth in making the final recoveries. Systemic errors are extrapolated to all the non-audited participations of the audited beneficiary	**Effectiveness:** Amounts being recovered or offset **Efficiency Indicators:** Number/value/% of audit results pending implementation, Number/value/% of audit results implemented

Overall economy of ex-post control

			Economy
			Estimation of cost of staff involved in the coordination and execution of the ex-post audit strategy and in the implementation of audits Costs of the appointment of audit firms and missions

Validation support services[24]

1 – Legal and financial validation and verification of participants

Main control objective(s): Ensuring the timely execution of legal and financial validations of participants in grant and procurement actions (direct management) under SEDIA.

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (effectiveness, efficiency)
Fraudulent entities could have access to EU funds Fraudulent use of EU funds could happen by linking wrong bank accounts to the LE of participants. Unauthorised persons could process information relating to participations in EU grants. Irregularities or false declarations by the Legal Entity Appointed Representative (LEAR).	**Validation of legal entities** Legal entity and status: - REA verifies the legal existence and status of legal entities participating in EU grants and procurement procedures based on the provisions of the EU Financial Regulation and the "EU Grants and Tenders – Rules on Legal Entity Validation, LEAR appointment and Financial Capacity Assessment" using the 4 eyes principles (validation and verification). Bank accounts: - Upon request, REA creates the entry for legal entity registration and bank accounts in ABAC. LEAR appointment/extended mandate - REA is responsible for the validation of the LEAR, the person who, upon appointment by the legal representative of the legal entity, plays a key role in managing access rights to the electronic exchange system.	100% of validations generating a Participant Identification Code (PIC) and a legal entity file. 100% of bank accounts upon request 100% of LEAR appointments	**Effectiveness:** Number of legal validations performed. Number of LEAR validated. Number of Universal takeover (former UTRO) validations and ICM/Ex-post modifications. Number of change requests or additional corrections. **Efficiency Indicators:** Participant validation: 95% of validations performed within the 90 days from the "raise priority" date.

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[24] As set out in the Commission Decision C(2017)4900 of 14 July 2017. The 'Rules for the validation support services' (the "Rules") outline the services provided by the REA (Ref. Ares(2018)5197779 – 10/10/2018)

Main risks It may happen (again) that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (effectiveness, efficiency)
The lack of financial capacity of a participant could jeopardise the achievement of the objectives foreseen in the grant agreement or in the procurement contract.	**Financial Capacity Assessment (FCA)** REA, upon request from the AOSDs managing the grant or procurement procedure, shall initiate the process of collecting and analysing supporting financial documents relating to the legal entities for which a FCA is required.	100% coverage of the client's requests.	**Effectiveness:** Number of FCA performed.
Ineligible participants could benefit from EU funding dedicated to SMEs. The inadequate self-assessment of a participant could lead to ex-post reimbursement of EU funding, which is a financial risk for the participant and a reputational risk for the EU.	**Small- and Medium-sized Enterprises** SME validation: - For actions where the SME status is an eligibility criterion or allows for more favourable funding rates, upon request from the AOSDs managing the grants, the validation of SMEs may also be performed by REA. SME ex-post verifications: - REA, in close cooperation with EASME and/or other clients where relevant, performs sample based ex-post checks on self-assessed SMEs.	100 % coverage of the client's requests. Timetable and procedures are agreed between REA, EASME and other clients, where relevant.	**Effectiveness:** Number of SME validations performed.

Overall economy indicator for validation services

			Economy Estimation of the overall administrative cost of the legal and financial participant validation activity

2- Research Enquiry Service

Main control objective(s): Ensuring the timely and high-quality replies to general questions relating to European research, the validation process of legal entities and the main EU research instruments by a dedicated team and through the coordination of the network of internal helpdesks with Commission DGs and Executive Agencies

Main risks It may happen (again) that…	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (effectiveness, efficiency)
Questions needing special knowledge and which cannot be answered by the external contractor are responded with undue delay. An inadequate distribution of the questions to local, specialised helpdesks could jeopardise the timely and relevant answer to participants/applicants. The contractor could provide low quality services. Inadequate monitoring of the replies provided could lead to low quality, which would negatively affect the chances of applicants to access EU funding and represent a significant reputational risk.	REA coordinates the service provided by – using the framework contract of DG COMM for the Europe Direct Contact centre to have an external contractor for answering basic questions, – answering the questions which have been forwarded to REA by the external contractor, – verifying that questions are allocated to the appropriate thematic helpdesk, – training and supporting the contractor, and monitoring the quality of answers provided directly by them, – organising training by specific thematic helpdesks for the contractor on certain calls/topics, – training and supporting the thematic help desks' members on the use of the RES dedicated IT tool for providing answers to the questions, – monitoring the compliance with the 'Time-to-reply' of the questions forwarded to the local, specialised helpdesks, and on a monthly, quarterly and annual bases, monitoring the volume of the enquiries received and the work performed by the external contractor, – performing ex-post quality controls of all answers provided by the external contractor and by the thematic helpdesks.	100% of escalated cases are monitored upon allocation from contractor; Reminders to helpdesk members on a weekly basis; New members of the contractor team receive a set of training when they join the team; Training based on questions and answers is offered to the contractor based on demand; Training to helpdesk members on the use of the IT tool is organised just after their appointment; Quality of data and of all replies to monitor both the contractor and the helpdesks on a monthly basis.	**Effectiveness:** Number of replies to enquiries. **Efficiency Indicators:** Time-to-reply in compliance with the code of good administrative behaviour.
The inadequate management of the database could lead to suboptimal knowledge management, which would negatively affect the efficiency and consistency of the communication between the EU and the applicants/participants.	Frequently Asked Questions (FAQ) – Review all the FAQ related to the business processes to be published on the Funding & Tender Portal (F&T Portal). – Coordinate with the FAQ authors and submit the FAQ to CIC.B1 for publication on the F&T Portal.	At any time. Within 2 weeks from the submission for review.	**Effectiveness:** No of questions approved and published. NB: No specific economy indicator (the costs of this activity are included in the validation services, as they mainly serve them)

3- Expert management and support

1 - Support for call publication and evaluation

Main control objective(s): Ensuring the efficient coordination of the publishing of calls for proposals and of the evaluation sessions

Main risks It may happen that...	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (effectiveness, efficiency)
Insufficient on-site support is provided to the evaluators – the evaluation process is delayed and the TTG is negatively affected Insufficient coordination among the calls might result in delays in the call implementation with an important reputational risk	Call planning and publication: - Management and capacity planning of the Common Evaluation Facility (COVE, BXL). - Global planning exercise to harmonise the scheduling of the call deadlines and evaluation dates taking into account planning restrictions (IT system – SEP) and specific client needs.	REA participates in the relevant meetings between the Commission services planning the Work Programme to ensure the calls for proposals and evaluation sessions are properly coordinated, notably in terms of timing.	Number of calls finalised in Call Passport System (CPS). Number of evaluations supported on-site. Number of expected proposals evaluated. Number of expected expert weeks on-site.
	- Planning information is requested from the client (call deadline, dates for remote and on-site evaluation, expected number of proposals, planned number of expert evaluators required).	6 months before the planned adoption of Work Programme.	
	- Negotiation between the clients in case of conflicts in the allocation of resources between the various calls.	4 1/2 months before the planned adoption Work Programme.	
	- Final agreement with the clients on the call planning schedule.	During Inter-Service Consultation (ISC) on the Work programme (at the latest).	
Potential participants could not receive timely information on the calls.	Call publication on the EU Funding & Tender Portal: - The information is checked and the call is published on the Funding and Tenders portal via the Call Passport System (CPS).	5 weeks before publication date.	

Main risks It may happen that…	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (effectiveness, efficiency)
A high number of external visitors (experts) represent an important security risk to mitigate.	On-site support to expert evaluators during the central evaluation: - Verify if arrangements for the evaluation need to be updated (depending on the number of proposals received). - Reservation of the facilities in COVE. - Evaluation preparation: for instance, the weekly update of information screens and the delivery of copies of the submitted proposals.	2 weeks before the start date for the central evaluation.	
	- Support during the evaluation sessions: this covers the reception of the expert evaluators. - Management of the Common Evaluation Facility, including the supervision of the service providers for security, the building management.	During central evaluation.	
A non-efficient reimbursement of the fees and costs of experts might affect the attractiveness of the expert function, which could lead to less quality in the evaluation process.	On-site support to expert evaluators during the central evaluation - Reimbursement briefings to expert evaluators: these are regularly organised during on-site sessions. - Reimbursement helpdesk: this service to expert evaluators is organised twice a week during on-site evaluations in Brussels.	During central evaluation.	

2 – Contracting and payment of expert evaluators and monitors[25]

Main control objective(s): Ensuring the timely validations of legal entity and bank accounts for Horizon 2020 (and other) experts as well as the issuing of expert contracts and the preparation/execution of payment files in a transparent and customer-oriented way.

Main risks It may happen (again) that…	Mitigating controls	Coverage, frequency and depth of controls	Cost-Effectiveness indicators (effectiveness, efficiency)
Lack of sound financial management in spending the budget for expert evaluators and monitors. In absence of verifications, fraudulent payments may happen. Inadequate monitoring of the legality and regularity of the operations could lead to unreliable financial reporting by the AOD. Lack of timely contracting, payment or assistance to experts in exceptional situations could render the expert function unattractive, which would lower the quality of the evaluation process.	Contracting and payment of H2020 expert evaluators: a) Global budget planning; b) Contracting of experts, including legal entity and bank account validation, amendments and contract terminations, on the basis of expert assignments decided by the relevant call coordinators (REA and beyond); c) Payment of experts and issuing of VAT certificates at request; d) Reporting on all non-compliance cases arising in relation to expert contracting and payment; e) Management of support activities (e.g. exceptional travel arrangements of experts and conflict of interest); f) Verification of Legal Entity and Bank Account for H2020 expert monitors.	b) 100% of experts 100% of BA, LE, contracts d) Quarterly f) 100%	**Efficiency Indicators:** Time-to-validate for experts: 100% of experts' Legal Entity Files validated within 25 working days (after approval of the pool of experts by the evaluating service). Time-to-contract for experts: 100% of expert contracts signed by REA in less than 10 calendar days. Time-to-pay for experts: 100% of expert payments executed by REA in less than 30 calendar days.

Overall economy indicator for expert management and support

			Economy Estimation of the overall administrative cost of the activity (costs of the evaluation platform excluded)

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[25] REA is responsible for the validation of legal entities and bank account forms for H2020 monitors. The Client (as Responsible Authorising Officer) remains responsible for managing the contract and payment of H2020 expert monitors.

ANNEX 7: Specific annexes related to "Financial Management"

As a complement to the information provided in the report, the tables below provide a more detailed overview of the implementation of the control framework in place at REA for the management of the operational budget **(Section 2.1).**

Mandatory information on the cost of controls is also included, as well as information relating to the additional reporting requirements of the 2018 FR.

Estimated overall risk at closure per parent DG

Table 19 - Estimated overall risk at closure per parent DG

REA	Payments made (in 2020; m€)	*minus* new prefinancing (in 2020; m€)	*plus* cleared prefinancing (in 2020; m€)	= "relevant expenditure" (for 2020; m€)	Average Error Rate (weighted AER; %)	estimated overall risk *at payment* (2020; m€)	Average Recoveries and Corrections (adjusted ARC; %)	estimated future corrections (for 2020; m€)	estimated overall risk at closure (2020; m€)	Share of the risk in % of the relevant expenditure
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	
Programme, Budget Line(s), or other relevant level	as per AAR annex 3, table 2	as per ABAC DWH BO report on prefinancing	as per ABAC DWH BO report on prefinancing	= (2) – (3) +(4)	Detected error rates, or equivalent estimates	= (5) x (6)	H-ARC (as per ABAC DWH BO report on corrective capacity), but adjusted	= (5) x (8)	= (7) – (9)	
H2020										
EAC Excellent Science – Marie Sklodowska Curie actions	951.07	770.06	569.77	750.78	1.24%	9.31	0.10%	0.75	8.56	
CNECT Excellent Science – FET Open	57.47	9.43	51.23	99.26	2.95%	2.93	0.62%	0.62	2.31	
DEFI LEIT – Space	129.77	103.07	53.04	79.73	2.95%	2.35	0.62%	0.49	1.86	
RTD Societal Challenge 2	157.84	89.22	53.08	121.70	2.95%	3.59	0.62%	0.75	2.84	
AGRI Societal Challenge 2	237.73	152.81	70.81	155.74	2.95%	4.59	0.62%	0.97	3.63	
RTD Societal Challenge 6	98.80	76.39	40.27	62.67	2.95%	1.85	0.62%	0.39	1.46	
CNECT Societal Challenge 6	40.56	33.59	20.17	27.14	2.95%	0.80	0.62%	0.17	0.63	
CNECT Societal Challenge 7	59.98	53.86	37.27	43.39	2.95%	1.28	0.62%	0.27	1.01	
HOME Societal Challenge 7	170.69	148.26	57.95	80.39	2.95%	2.37	0.62%	0.50	1.87	
RTD Spreading Excellence and Widening Participation	111.72	84.78	10.35	37.30	2.95%	1.10	0.62%	0.23	0.87	
RTD Science with and for Society	87.09	69.25	32.40	50.23	2.95%	1.48	0.62%	0.31	1.17	
Total H2020:	**2,102.71**	**1,590.71**	**996.33**	**1,508.34**	**2.10%**	**31.66**	**0.36%**	**5.45**	**26.21**	
FP7 legacy										
EAC People	1.77	0.00	18.60	20.37	1.73%	0.35	0.19%	0.04	0.31	
DEFI – Space theme	0.03	0.00	0.00	0.03	5.45%	0.00162	1.82%	0.00054	0.00108	
HOME Cooperation – Security theme	2.78	0.00	13.14	15.92	5.45%	0.87	1.53%	0.24	0.62	
RTD Capacities – SME actions	3.96	0.00	7.30	11.26	6.12%	0.69	0.37%	0.04	0.65	
Total FP7:	**8.53**	**0.00**	**39.05**	**47.58**	**4.02%**	**1.91**	**0.68%**	**0.32**	**1.59**	
Total Grant Management	**2,111.24**	**1,590.71**	**1,035.38**	**1,555.92**	**2.16%**	**33.57**	**0.37%**	**5.77**	**27.80**	

REA	Payments made (in 2020; m€)	minus new prefinancing (in 2020; m€)	plus cleared prefinancing (in 2020; m€)	= "relevant expenditure" (for 2020; m€)	Average Error Rate (weighted AER; %)	estimated overall risk at payment (2020; m€)	Average Recoveries and Corrections (adjusted ARC; %)	estimated future corrections (for 2020; m€)	estimated overall risk at closure (2020; m€)	Share of the risk in % of the relevant expenditure
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	
Programme, Budget Line(s), or other relevant level	as per AAR annex 3, table 2	as per ABAC DWH BO report on prefinancing	as per ABAC DWH BO report on prefinancing	= (2) – (3) +(4)	Detected error rates, or equivalent estimates	= (5) x (6)	H-ARC (as per ABAC DWH BO report on corrective capacity), but adjusted	= (5) x (8)	= (7) – (9)	
Expert management	65.46	0.00	0.00	65.46	0.5%	0.33	0.00%	0.00	0.33	
Total operational expenditure	2,176.71	1,590.71	1,035.38	1,621.38	2.09%	33.90	0.36%	5.77	28.12	
Administrative expenditure	78.10	0.00	0.00	78.10	0.5%	0.39	0.00%	0.00	0.39	
Grand total	2,254.81	1,590.71	1,035.38	1,699.49	2.02%	34.29	0.34%	5.77	28.51	1.68%

Notes to the table (column number)

(1) differentiated for the relevant portfolio segments at a level which is lower than the Agency total.

(2) Payments made or equivalent, e.g. expenditure is registered in the Commission's accounting system, accepted expenditure or cleared pre-financing . In any case, this means after the preventive (ex ante) control measures have already been implemented earlier in the cycle.

(3) New pre-financing actually paid out by REA during the financial year (i.e. excluding any pre-financing received as transfer from another DG). "Pre-financing" is covered as in the context of note 2.5.1 to the Commission annual accounts (i.e. excluding "Other advances to Member States" (note 2.5.2) which is covered on a purely payment-made basis).

(4) Pre-financing actually cleared during the financial year (i.e. their 'delta' in the Financial Year 'actuals', not their 'cut-off' based estimated 'consumption').

(5) For the purpose of equivalence with the ECA's scope of the EC funds with potential exposure to legality & regularity errors (see the ECA's Annual Report methodological Annex 1.1), our concept of "relevant expenditure" includes the payments made, subtracts the new pre-financing paid out, and adds the previous pre-financing actually cleared during the financial year. This is a separate and 'hybrid' concept, intentionally combining elements from the budgetary accounting and from the general ledger accounting.

(6) In order to calculate the weighted Average Error Rate (AER) for the total relevant expenditure in the reporting year, the common representative error rate for FP7 and the Research Family expected representative error rate for the full sample for H2020, excluding draft reports, have been used. For MSCA grants, the "local" error rate has been used. For types of low-risk expenditure with indications that the equivalent error rate might be close to 'zero' (e.g. administrative expenditure, operating subsidies to agencies), we use 0.5% as a conservative estimate.

"(8) Even though to some extent based on the 7 years historic Average of Recoveries and financial Corrections (ARC), which is the best available indication of the corrective capacity of the ex-post control systems implemented by the agency over the past years, the AOD adjusted this historic average (1.2%), further to ECA/IAS recommendations, and used, as best estimation:

*for FP7: the difference between overall detected error rate and the residual error rate

*for H2020: the R&I family expected detected error rate for the full sample excluding draft audit reports and DG R&I residual error rate excluding draft audit reports."

2020 Overview of the estimated cost of controls at REA level

Table 20 - 2020 Overview of the estimated cost of controls at REA level

Title of the Relevant Control System (RCS)	Ex ante controls			Ex post controls			Total***	
	(a)	**(b)**	**(c)**	**(d)**	**(e)**	**(f)**	**(g)**	**(h)**
	EC total costs	*related* **funds managed/concerned***	**Ratio (%)** (a)/(b)	**EC total costs**	**total value verified and/or audited**	**Ratio (%)** (d)/(e)	**EC total estimated cost of controls** (a)+(d)	**Ratio (%)*** (g)/(b)
Direct grant management in REA	53,935,595.26	2,111,244,649.49	2.55% NB: REA does not disclose this ratio in the main report	1,219,371.41 NB: These costs do not reflect the full ex-post control cycle	N/A Ex-post audits are implemented by DG RTD	N/A	55,154,966.67	2.61% +0,91% ex-ante costs of experts evaluator costs provided by REA + 0,46% costs of control of Common Implementation Center (ex-ante: 0,36 % and ex-post: 0.11%) **Total: 3,98% (including 0.11% for ex-post)**
OVERALL estimated cost of control at EC level	53,935,595.26	2,111,244,649.49	2.55%	1,219,371.41	N/A	N/A	55,154,966.67	N/A
Validation Services**	7,878,893.74	-	-	-	-	-	7,878,893.74	N/A
Expert management***	73,861,298.79			-	-	-	73,861,298.79	N/A

* related funds managed/concerned = payments made, revenues and/or other significant non-spending items such as e.g. assets, liabilities, etc

** ratio possibly "Not Applicable (N/A)" e.g. if a RCS specifically covers an Internal Control Objective such as safeguarding sensitive information, reliable accounting/reporting, etc; or if control costs are not attributable to a single RCS and may relate to a 'mix' of expenditure, revenue, assets/liabilities, etc

*** any 'holistic' control elements (e.g. with 'combined' ex-ante & ex-post characteristics) can be mentioned in the total column (without being in either one of the ex-ante or ex-post columns), provided that a footnote clarifies this (their nature + their cost). Example: *MS system audits in shared management.*

****Validation services being EC corporate services, the costs of control do not relate to expenditure implemented by the Agency

*****Shared/pooled control activities performed by REA for Research and Innovation Family

Complementary information for section 2.1.1: "Economy or costs of controls"

Costs of controls incurred by REA

For ensuring consistency with other information reported on the use of the REA administrative budget, the figures are presented as follows:

• the total operating (administrative) budget has been broken down per activity and per control stage for the grant management part;

• this has been complemented by the expert costs dedicated to the project monitoring, which are charged to the operational budget.

• the cost of experts management relating to the evaluation of proposals are reported in two different contexts:

   o as the costs of one of the control systems in REA;

   o as a part of the shared R&I family costs, in addition to the expert costs charged to the operational budget.

Table 21 - Costs of controls incurred by REA

		Total staff costs (in M€) (Title 1 of the administrative budget)	Other expenditures (in M€)		Total cost of controls (in M€)
			of which charged to the <u>administrative budget (Titles 2 and 3)</u>	of which charged to the <u>operational budget (expert reviewers)</u>	
Grant Management	Ex-ante controls	41.76	8.15	4.02	53.94
	Ex-post controls	0.95	0.27	0.00	1.22
	Total:	**42.71**	**8.42**	**4.02**	**55.15**
		51.13			
Administrative & logistic support services	Validation services & Research Enquiry Service	6.59	1.29	0.00	7.88
	Experts management & Evaluation Platform	5.49	6.93	0.00	12.42
Other tasks	Coordination and administrative support	5.58	1.09		
	Total:	**60.38**	**17.73**		
		78.10			

Costs of controls for direct grant management in H2020, including the costs shared by the R&I family

Table 22 - Overall costs of controls for direct grant management in H2020

Effectiveness indicator in direct grant management	Total costs (m€)[1]	2020 Grants payments for H2020 Family (m€)[2]	Overall rate (total costs/total amount paid) %
Services provided by the Common Implementation Centre			
Ex-ante controls (mainly Common services in IT systems and operations, business processes) Ex-post controls (Common Audit Service)	46.50	10,069	0.46%
Services provided by REA			
Evaluation experts' costs[3]	73.86	8,150 [4]	0.91%
		Operational payments for grants 2019 REA	
REA costs of controls for grant management	55.15	2,111	**2.61%**
Overall cost effectiveness for grant management in REA			**3.98%**

"1 Costs (Million €) (data from Atlas 14.01.2021 for internal costs and budget execution CIC 11.01.2021 for external costs)

2 Data from Corda 08.01.2021

3 Operational and administrative costs (expert cost claims and staff and logistic costs)

4 Excluding ERCEA

REA operating (administrative) budget executed in 2020 per activity (per parent DG)

Table 23 - REA operating (administrative) budget executed in 2020 per activity (per parent DG)

Activities	Title 1 (€ million)			Title 2 (€ million)			Title 3 (€ million)			Total	%
	EU BUDGET	EFTA/EEA	RO	EU BUDGET	EFTA/EEA	RO	EU BUDGET	EFTA/EEA	RO		
H2020 and FP7											
H2020 Excellent Science											
Marie Skłodowska-Curie actions – EAC	17.68	0.41	0.39	3.14	0.07	0.07	0.24	0.05	0.05	22.10	28.30%
Future and Emerging Technologies (FET Open) – CNECT	4.79	0.11	0.11	0.85	0.02	0.02	0.06	0.01	0.01	5.98	7.66%
FP7 People – Marie Curie Actions (legacy) – EAC	0.00	0.00	0.00	0.00	0.00	0.00	0.02	0.00	0.00	0.02	0.03%
Subtotal	22.47	0.53	0.50	3.98	0.09	0.09	0.32	0.06	0.06	28.10	35.98%
Industrial Leadership											
Space Research – GROW	2.68	0.06	0.06	0.48	0.01	0.01	0.04	0.01	0.01	3.35	4.29%
FP7 Cooperation – Space Research (legacy) – GROW	0.00	0.00	0.00	0.00	0.00	0.00	0.02	0.00	0.00	0.02	0.03%
Subtotal	2.68	0.06	0.06	0.48	0.01	0.01	0.06	0.01	0.01	3.37	4.32%
Societal Challenge 2											
Societal Challenge 2 – RTD	2.04	0.05	0.05	0.36	0.01	0.01	0.03	0.01	0.01	2.55	3.27%
Societal Challenge 2 – AGRI	3.08	0.07	0.07	0.55	0.01	0.01	0.04	0.01	0.01	3.85	4.93%
Societal Challenge 6											
Societal Challenge 6 – RTD	2.42	0.06	0.05	0.43	0.01	0.01	0.03	0.01	0.01	3.03	3.87%
Societal Challenge 6 – CNECT	0.99	0.02	0.02	0.18	0.00	0.00	0.01	0.00	0.00	1.24	1.59%
Societal Challenge 7											
Societal Challenge 7 – HOME	2.11	0.05	0.05	0.37	0.01	0.01	0.03	0.01	0.01	2.63	3.37%
Societal Challenge 7 – CNECT	0.74	0.02	0.02	0.13	0.00	0.00	0.01	0.00	0.00	0.92	1.18%
FP7 Cooperation – Security Research (legacy) – HOME	0.00	0.00	0.00	0.00	0.00	0.00	0.02	0.00	0.00	0.02	0.03%
Subtotal	11.38	0.27	0.25	2.02	0.05	0.04	0.17	0.03	0.03	14.25	18.24%
H2020 Spreading Excellence, Widening Participation and Science with and for Society – RTD											
SPO-SEWP -RTD	2.42	0.06	0.05	0.43	0.01	0.01	0.03	0.01	0.01	3.03	3.87%
SPO-SWaFS-RTD	1.89	0.04	0.04	0.33	0.01	0.01	0.03	0.01	0.00	2.36	3.02%
Subtotal	4.31	0.10	0.10	0.76	0.02	0.02	0.06	0.01	0.01	5.39	6.89%
FP7 Capacities – Research for the benefit of SMEs (legacy) – RTD	0.00	0.00	0.00	0.00	0.00	0.00	0.02	0.00	0.00	0.02	0.03%
Subtotal	0.00	0.00	0.00	0.00	0.00	0.00	0.02	0.00	0.00	0.02	0.03%
Provision of administrative and logistical support services											
Valildation Services	6.30	0.15	0.14	1.12	0.03	0.02	0.08	0.02	0.02	7.88	10.09%
Experts management	5.25	0.12	0.12	0.93	0.02	0.02	5.93	0.01	0.01	12.42	15.91%
Subtotal	11.56	0.27	0.26	2.05	0.05	0.05	6.01	0.03	0.03	20.30	25.99%

Activities	Title 1 (€ million)			Title 2 (€ million)			Title 3 (€ million)			Total	%
	EU BUDGET	EFTA/EEA	RO	EU BUDGET	EFTA/EEA	RO	EU BUDGET	EFTA/EEA	RO		
Management and Administrative Support											
Horizontal Activities	**5.34**	**0.13**	**0.12**	**0.95**	**0.02**	**0.02**	**0.07**	**0.01**	**0.01**	**6.67**	**8.54%**
MSCA (H2020) EAC	1.80	0.04	0.04	0.32	0.01	0.01	0.02	0.00	0.00	2.25	2.88%
FP7 People – Marie Curie Actions (legacy) EAC	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00%
FET Open CNECT	0.49	0.01	0.01	0.09	0.00	0.00	0.01	0.00	0.00	0.61	0.78%
Space Research GROW	0.27	0.01	0.01	0.05	0.00	0.00	0.00	0.00	0.00	0.34	0.44%
FP7 Cooperation – Space Research (legacy) GROW	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00%
Societal Challenge 2 RTD	0.21	0.00	0.00	0.04	0.00	0.00	0.00	0.00	0.00	0.26	0.33%
Societal Challenge 2 AGRI	0.31	0.01	0.01	0.06	0.00	0.00	0.00	0.00	0.00	0.39	0.50%
Societal Challenge 6 RTD	0.25	0.01	0.01	0.04	0.00	0.00	0.00	0.00	0.00	0.31	0.39%
Societal Challenge 6 CNECT	0.10	0.00	0.00	0.02	0.00	0.00	0.00	0.00	0.00	0.13	0.16%
Societal Challenge 7 HOME	0.21	0.01	0.00	0.04	0.00	0.00	0.00	0.00	0.00	0.27	0.34%
Societal Challenge 7 CNECT	0.08	0.00	0.00	0.01	0.00	0.00	0.00	0.00	0.00	0.09	0.12%
FP7 Cooperation – Security Research (legacy) HOME	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00%
SEWP RTD	0.25	0.01	0.01	0.04	0.00	0.00	0.00	0.00	0.00	0.31	0.39%
SWAFS RTD	0.19	0.00	0.00	0.03	0.00	0.00	0.00	0.00	0.00	0.24	0.31%
FP7 SME legacy RTD	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00%
Validation Services	0.64	0.02	0.01	0.11	0.00	0.00	0.01	0.00	0.00	0.80	1.03%
Experts management	0.54	0.01	0.01	0.09	0.00	0.00	0.01	0.00	0.00	0.67	0.86%
Total	**57.74**	**1.35**	**1.29**	**10.24**	**0.24**	**0.23**	**6.71**	**0.16**	**0.15**	**78.10**	**100%**

Additional reporting requirements foreseen in 2018 Financial Regulation

Table 24 - Financial Framework Partnerships (FPA) with a duration of more than 4 years

Id	Acronym	Project Title	Start Date	End Date	Duration (months)
	Under H2020-WIDESPREAD-2014-1				
664330	InnoRenew CoE	Renewable materials and healthy environments research and innovation centre of excellence (InnoRenew CoE)	24-04-2015	23-04-2020	60
664336	CEMEA	Building-up Centre of Excellence for advanced materials application	12-05-2015	11-05-2020	60
664338	HEALTH-TECH	Centre of Excellence in Science and Technology for Healthy Ageing	29-04-2015	28-04-2020	60
664353	ADWICE	Advanced Wireless Technologies for Clever Engineering	06-05-2015	05-05-2020	60
664385	ICRI-BioM	International Centre for Research on Innovative Bio-based Materials	05-05-2015	04-05-2020	60
664387	ANTARES	Centre of Excellence for Advanced Technologies in Sustainable Agriculture and Food Security	04-05-2015	03-05-2020	60
664403	EPIC	Centre of Excellence in Production Informatics and Control	06-05-2015	05-05-2020	60
664405	MMAC	Centre of Excellence for Mathematical Modeling and Advanced Computing	29-04-2015	28-04-2020	60
664407	NORTEXCEL2020	Creating a Centre of Excellence on Medical Devices in the Norte Region to boost RDI excellence	30-04-2015	29-04-2020	60
664409	HCEMM	Creating the Hungarian Centre of Excellence for Molecular Medicine	06-05-2015	05-05-2020	60
664439	FunGLASS	Centre for functional and surface-functionalized glasses	29-04-2015	28-04-2020	60
664469	CEZAMAT-Environment	CEZAMAT-Environment - Self-Organizing Networks for Real-Time, Wireless Monitoring ofNatural Environment	29-04-2015	28-04-2020	60
664481	HiLASE CoE	HiLASE Centre of Excellence	28-04-2015	27-04-2020	60
664507	WCE	Wroclaw Centre of Excellence	29-04-2015	28-04-2020	60
664512	NANOMATCON	Multifunctional Nanoparticles and Materials Controlled by Structure	29-04-2015	28-04-2020	60
664525	SlovakION	Slovak Centre of Excellence in Ion Beam and Plasma Technologies for Materials Engineering and Nanotechnology	04-05-2015	03-05-2020	60
664535	ARTEMIDA	Advanced Regional Translation of Excellence into Medical Innovations for Delayed Aging	07-05-2015	06-05-2020	60
664543	TEMARA	Teaming to Extend Maltese Ambitions in the Aerospace Sector.	30-04-2015	29-04-2020	60
664556	LignoSilva	Centre of Excellence of Forest-based Industry	28-04-2015	27-04-2020	60
664558	THE DISCOVERIES CTR	Establishment of The Discoveries Centre for Regenerative and Precision Medicine, a new Centre of Excellence in Portugal	29-04-2015	28-04-2020	60
664560	CY-Biobank	Biobanking and the Cyprus Human Genome Project	04-05-2015	03-05-2020	60
664564	EE-IT	EE-IT - Centre of Excellence on Connected Digital Economy	05-05-2015	04-05-2020	60
664572	CENTRIC	Centre for ExcelleNce in TerRItorial management and Cadastre	29-04-2015	28-04-2020	60
664583	RISE	Research Centre in Interactive Media, Smart Systems and Emerging Technologies	06-05-2015	05-05-2020	60
664591	CAMART2	CAMART2	29-04-2015	28-04-2020	60
664598	SMARTAgriFor	Collaboration to develop a business plan for the Centre of Agriculture and Forestry	28-04-2015	27-04-2020	60
664604	smartpolis	Budapest Smart City Centre of Excellence	29-04-2015	28-04-2020	60
664620	PlantaSYST	Establishment of a Center of Plant Systems Biology and Biotechnology for the translation of fundamental research into sustainable bio-based technologies in Bulgaria	28-04-2015	27-04-2020	60
664628	MIA	Multidisciplinary Institute for Ageing	29-04-2015	28-04-2020	60
664638	KIOS CoE	KIOS Research Center of Excellence for Intelligent Systems and Networks	04-05-2015	03-05-2020	60
664654	FINEST TWINS	FINEST TWINS	22-05-2015	21-05-2020	60
	Under H2020-IBA-FPA-SPACE-2016				
760459	EUSSTFPA	EU SST Framework Partnership Agreement	24-05-2017	23-05-2022	60

Complementary information for section 2.1.1: "Control effectiveness as regards legality and regularity"

Ex-post audits and the implementation of their results

The ex-post control for direct grant management is largely centralised in the Common Implementation Centre, in particular in the Common Audit Service (CAS), for the whole Research and Innovation Family.

Since 2007, the Research and Innovation Family of DGs and executive agencies have adopted a common audit strategy intended to verify the legality and regularity of expenditure on a multi-annual basis, including detection and correction of systematic errors.

For Horizon 2020, the Common Audit Service undertakes all audits (representative and complementary), including those concerning the executive agencies and the Joint Undertakings. This is a major step forward in ensuring a harmonised approach and minimising the audit burden on beneficiaries. Where relevant, the Common Audit Service executed audits jointly with the European Court of Auditors.

The Horizon 2020 audit campaign started in 2016. At this stage, three Common Representative Samples with a total of 467 expected results have been selected. By the end of 2020, cost claims amounting to EUR 24.3 billion have been submitted by the beneficiaries to the services. It is from this population of declared expenditure that the samples have been drawn. In addition to the Common Representative Samples, Common Risk Samples and Additional Samples have also been selected. The total of all samples represents 4 047 participations.

The audits of 2 906 participations were finalised by 31.12.2020 (of which 790 in 2020). This sampling accommodates special needs of certain stakeholders with regard to audit coverage and selection method. In addition, top-ups, which are participations of selected beneficiaries and which are added to the selected participations, are included in the total participations selected.

The overall target in the Common Horizon 2020 Audit Strategy for 2020 is 838 audited participations. By the end of 2020, the audits of 790 participations were closed, achieving a completion rate of 94%.

Table 25 - Performance against indicators in the AWP 2020 for sound financial management

<table>
<tr><td colspan="2">Corporate Specific Objective 1: Effective and reliable internal control system giving the necessary guarantees concerning the legality and the regularity of the underlying transactions</td></tr>
<tr><td colspan="2">Corporate Indicator 1: Estimated residual error rate[26]
Source of data: Audex (CAS, DG RTD) and REA FP7 audit plan</td></tr>
<tr><td>Baseline</td><td>Target</td></tr>
<tr>
<td>AAR 2019
H2020:
Residual error rates[27]:
• REA: 2.30% REA MSCA: 1.29%</td>
<td>H2020:
Overall target : as close as possible to 2% (within the range of 2-5%).

Second layer of assurance for the MSCA: specific target for the MSCA subset: below 2%</td>
</tr>
<tr>
<td>Situation at the end of the year:</td>
<td>

H2020:

Layer 1 CRS1+2+3 (Research Family): 334 out of 467 results (72%)
- **CRS representative error rate of 2.95%[28]**
- **CRS residual error rate of 2.33%**

Layer 2 (REA MSCA 2017-2020): 206 out of 214[29] participations completed (96%) with a REA representative rate[30] of 1.24% and residual error rate of 1.14%[31]. The new error rate methodology applied by the CAS following the ECA audit does not impact MSCA..

Analysis of the MSCA representative error rate:

MSCA representative error rate 'stratified and weighted'	Closed audits in sample	
	2018-2019 Cumulative	2020 Incremental
Weight (population)	48.56%	51.44%
Closed audits in sample	182	24
Projected error rate (mean-per-unit)	1.06%	1.42%
REA representative Error rate	1.24%	
REA residual error rate	1.14%	

</td>
</tr>
</table>

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[26] For the definition, see annex 1 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.

[27] The current figures are based on a partial closure of the first and second Common Representative Samples (CRS) by the CAS. Therefore, the outcome is not qualified as "representative" but "detected".

[28] The initially reported representative error rate of the CAS was 2.41%. This error rate was revised to 2.54%, due to the consideration of 40 re-performed audits by the European Court of Auditors.

[29] We adapted the launch figures in line with the original selection. The CAS in contrast shifts in their reporting audits that could not be launched in one year to the next year. However, in order to ensure correct error rates per sampling interval, the originally sampled audits need to stay in their respective interval.

[30] Based on mean-per-unit, please see Annex 1 REA H2020 Ex-post Audit Approach.

[31] Representative error rate based on closed audits. Parameters for residual error rate (A and E) based on closed and draft audits.

StrategyAtSelection	Planned	Launched	Closed	ClosureRate
LOCAL_REPRESENTATIVE_2018	133	132	132	100,0%
LOCAL_REPRESENTATIVE_2019	50	50	50	100,0%
LOCAL_REPRESENTATIVE_2020	50	32	24	75,0%
Total	**233**	**214**	**206**	**96,3%**

Evolution clashes MSCA representatives	At selection	31.12.2020
Selection 2020	27	18
Selection 2021	25	25
Total	**52**	**43**

The follow-up of the postponed audits (due to the clashes) is monitored regularly in consultation with the CAS during their sampling exercises 3 times per year.

FP7:
Representative error rate / Common Representative Audit Sample (CRAS):
- Space and Security: 5.45%

Detected error rates:
- SMEs: 6.12%
- People: 1.73%

Residual error rates:
- CRAS Space / Security: 3.63% / 3.92% (Combined Space and Security: 3.79%)
- SMEs: 5.75%
- People: 1.54%

Corporate Indicator 2: Estimated overall amount at risk at payment for the year for the entire budget under the Executive Agency's responsibility.
Where possible calculated for each programme managed or for expenditure with a common risk profile.
Source of data: CAS (DG RTD); ABAC; BUDG

Baseline	Target
AAR 2019: With a representative/detected average weighted error rate of 2.3%, the amount at risk has been estimated at €38.58 million at the end of 2019.	It is expected that the average weighted error rate will remain at a similar level. The amount at risk should also remain stable.
Situation at the end of the year:	With a representative/detected average weighted error rate of 2.02%, the amount at risk at payment has been estimated at €34.47 million at the end of 2020.

Corporate Indicator 3 : Estimated future corrections
Where possible calculated for each programme managed or for expenditure with a common risk profile.
Source of data: ABAC; BUDG; Audex (CAS, DG RTD)

Baseline	Target

AAR 2019: The corrective capacity was estimated in 2019 at 0.48% of the payments made for the 2019 operational budget.[32]	No target[33]
Situation at the end of the year:	The corrective capacity was estimated in 2020 at 0.37% of the payments made for the 2020 operational budget.

Table 26 - Main outputs delivered in 2020 for ensuring a sound financial management

Main outputs in 2020:			
Outputs in the remit of the Research and Innovation family			
Output	**Indicator**	**Target**	**Situation at the end of the year:**
H2020 participations of which the ex-post audit is <u>closed by 2020</u>	Cumulative number of Horizon 2020 participations of which ex-post audit is closed by 2020 (closed 2017-2020): <u>Layer 1 (Research Family) participations</u> - Representative sample - Risk sample <u>Layer 2 (MSCA) participations</u> - Representative sample - Risk sample	Except for MSCA, there is no specific REA target for other actions. <u>Layer 1 CRS[34] (Research Family) 467 audits closed of which:</u> ○ CRS1(2017)[35]: 143 (of which 15 for REA) ○ CRS2(2019): 161 (of which 20 for REA) ○ CRS3(2021): 162 (of which 3 for REA) <u>Layer 1 Corporate risk (Research Family) 560 audits closed of which:</u> ○ Corporate risk (2017): 279 (of which: 47 for REA)	<u>Layer 1 CRS</u> 334 audits closed of which: ○ CRS1(2017): 143 closed (of which 15 for REA) ○ CRS2(2019): 161 closed (of which 20 for REA) ○ CRS3(2021): 30 closed (of which 3 for REA) CRS1+2+3 overall completion 72%. <u>Layer 1 Corporate risk (Research Family) 548 audits closed of which:</u> ○ Corporate risk (2017): 279 (of which: 47 for REA) ○ Corporate risk (2018): 264 (of which 45 for REA) Corporate risk (2019):0[37] ○ Corporate risk

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[32] As from 2017, the historic corrective capacity, reported by DG BUDG is adjusted based on the difference between the relevant Representative/Detected Error rate and the relevant Residual Error/specific residual error rate.

[33] According to the ex-post control methodology, the corrective capacity depends on the audit findings and the audit coverage; therefore, we cannot set a particular target.

[34] In 2020 no CRS foreseen. According to the H2020 audit strategy a common audit sample is drawn every two years.

[35] The plan foresaw 162 samples for 2017, however, the population before sampling was rather small and some amounts largely exceeded the sampling interval. Therefore these larger amounts were hit more than once, thus reducing the number of expected results to 143. There can always be small discrepancies of 1 or 2 participations in the closure, between the CAS aggregate report and the CAS detailed report, listing all closed participations and periods.

[37] For 2019 no special selection was made for corporate risk. Therefore, no corporate risk audits were closed.

Main outputs in 2020:			
Outputs in the remit of the Research and Innovation family			
Output	**Indicator**	**Target**	**Situation at the end of the year:**
		o Corporate risk (2018): 265 (of which 45 for REA) o Corporate risk (2019):0 o Corporate risk (2020):16 (of which 16 for REA) Layer 2 (REA MSCA): Launched 397 o Representative sample launched: participations, aggregated as follows[36]: 2018: 132+ 2019: 50+ 2020: 32 =214 o Risk sample: 2020 participations, aggregated as follows: 2018: 35+ 2019: 145+ 2020: 3 =183	(2020):5 (of which 5 for REA) Completion rate 98%. Layer 2 (REA MSCA): 384 closed of which: o Representative sample: 2018: 132+ 2019:50+ 2020: 24+ =206 Representative completion: 96% o Risk sample: 2020 participations, aggregated as follows: 2018: 35+ 2019: 141+ 2020: 2 =178 Risk completion: 97% Overall completion: 97%
Output at REA level			
Output	**Indicator**	**Target**	**Situation at the end of the year:**
Implementation of FP7 and H2020 audit findings	Cumulative implementation rate of audit results (FP7 and H2020 separately)	H2020: 80% by 31.12.2020 FP7: 95% by 31.12.2020	H2020: 84%[38] FP7: 96%
Implementation of FP7 and H2020 extension of audits findings	Cumulative implementation rate of extrapolations (FP7 and H2020 separately)	H2020: 80% by 31.12.2020 FP7: 95% by 31.12.2020	H2020: 94%[11] FP7: 99.7%

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[36] Of which planned in total 233: 2018: 133, 2019: 50 and 2020: 50. There are currently 17 clashes pending.
[38] Figures refer to audit adjustments in favour of the EU Budget only

Main outputs in 2020:			
Outputs in the remit of the Research and Innovation family			
Output	**Indicator**	**Target**	**Situation at the end of the year:**
FP7 ex-post audits launched in 2020	Number of FP7 ex-post audits launched	Up to 4 in-house audits	1

Table 27 – Implementation of H2020 ex-post audit results during 2020 - adjustments in favour of the EU budget excluding extrapolation cases

Year of audit closure	Audit adjustments for which implementation is pending on 31.12.2019		New audit adjustments during 2020		Audit adjustments implemented during 2020		Audit adjustments for which implementation is pending on 31.12.2020	
	No. of projects	Funding adjustments (in €)	No. of projects	Funding adjustments (in €)	No. of projects	Funding adjustments (in €)	No. of projects	Funding adjustments made (in €)
2017-2019	26	220,060	0	0	21	174,089	5	45,971
2020	0	0	39	1,644,207	25	1,012,862	14	631,345
TOTAL	26	220.060	39	1,644,207	46	1,186,951	19	677,316

Table 28 – Implementation of H2020 extensions of audit findings up to 31.12.2020

Number of projects with extensions	Extensions implemented		No correction is required	Number of cases to be analysed/ implemented by the REA
	No	**EUR**		
394	33	182,487	338	23
Cumulative implementation rate for H2020 extensions				94%

Table 29 – Implementation of H2020 extensions of audit findings up to 31.12.2020 – Comparison with previous year

	Number of projects with extensions	Extensions implemented		No correction is required	Number of cases to be analysed/ implemented by the REA
		No	EUR		
TOTAL as of 31.12.2020	394	33	182,487	338	23
TOTAL as of 31.12.2019	250	11	84,217	217	22

Change compared to the previous year	144	22	98,270	121	1

Anti-fraud activities

Table 30 - Performance against indicators in the AWP 2020 for anti-fraud activities

<table>
<tr><td colspan="3">Corporate 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.</td></tr>
<tr><td colspan="3">Corporate Indicator 1 (information available in the Executive Agency's anti-fraud strategy): Updated anti-fraud strategy of the Research Executive Agency, elaborated on the basis of the methodology provided by OLAF[39]
Source of data: REA Anti-Fraud Approach</td></tr>
<tr><td>Baseline</td><td>Interim Milestone</td><td>Target</td></tr>
<tr><td>2017 update</td><td>2019 update was done</td><td>Update every 3 years</td></tr>
<tr><td>Situation at the end of the year:</td><td colspan="2">Update made in 2019 remains valid. ARES(2019)6519167 of 22 October 2019</td></tr>
<tr><td colspan="3">Corporate Indicator 2 : Fraud awareness is increased for target population(s) as identified in the Executive Agency's anti-fraud strategy
Source of data: REAs anti-fraud strategy, BO (Business Owner) query REA.HR</td></tr>
<tr><td>Baseline</td><td>Interim Milestone</td><td>Target</td></tr>
<tr><td>60.7% of staff trained in 2018</td><td>72% by 2019</td><td>100% of the target population[40]</td></tr>
<tr><td>Situation at the end of the year:</td><td colspan="2">77.11% participation rate of the target staff members in 2020 was achieved taking into account revised methodology combining data from Sysper and EU-LEARN[41]</td></tr>
<tr><td colspan="3">Corporate Indicator 3 : Regular monitoring of the implementation of the anti-fraud strategy and reporting on its result to management
Source of data: REA's anti-fraud strategy</td></tr>
<tr><td>Baseline</td><td>Interim Milestone (to be added if relevant)</td><td>Target</td></tr>
<tr><td>Quarterly reports on OLAF and risky cases</td><td>N/A</td><td>4 reports per year</td></tr>
<tr><td>Situation at the end of the year:</td><td colspan="2">4</td></tr>
</table>

[39] The methodology can be found on the FPDNet website: https://myintracomm.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.

[40] Following an update of the EC corporate approach, this indicator has changed as from 2020: the target refers to a "target population" instead of a share of the total REA Staff.

[41] REA TRAINING team will register the remaining staff members in the next remote session in first half of 2021

Table 31 - Main outputs delivered in 2020, supporting the anti-fraud activities

Main outputs in 2020:			
Output	**Indicator**	**Target 2020**	**Situation at the end of the semester:**
Output at REA level			
Anti-fraud training sessions (made compulsory within 1 year from entering the service)	No. of sessions organised	3	2 (full remote)
EDES trainings	No. of sessions organised	2	1 (full remote)
REA Quarterly Reports "State of play of cases under OLAF investigation for serious irregularities"	Regular monitoring and reporting on fraudulent and risky cases to management	Number of internal reports per year: 4 Number of external reports per year: 2	Number of internal reports per year: 4 Number of external reports per year: 2
CFE[42] certification to develop internal capacity on fraud detection and prevention or risk identification	Number of staff in unit REA. C.2 with holding a CFE certification	5	3

Table 32 – Overview of anti-fraud activities' status at year-end

	Status at year end 31.12.2020
Number of OLAF cases handled by REA on 31312.2019	**66**
New OLAF cases handled by REA in 2020	**17**
Of which the source of the case is:	
REA	6
OLAF	9
Parent DGs	2
Cases that stopped to be followed-up and reported in 2020	**17**
Of which the source of the case was	
REA	6
OLAF	5
Parent DGs	6

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[42] CFE: Certified Fraud Examiner.

Number of pending OLAF cases on 31/12/2020	**66**

New cases transmitted by REA to OLAF in 2020	**6**
New cases transmitted by REA to OLAF in 2020 and retained by OLAF for further investigation	**1**
New cases transmitted by REA to OLAF in 2020 and dismissed by OLAF	**3**
New cases transmitted by REA to OLAF in 2020 for which OLAF's decision is still pending	**2**

Cases for which OLAF concluded its investigations and issued its conclusions in 2020	**15**
Cases for which OLAF decided not to open an investigation and dismissed them in 2020	**5**

EU Early Detection and Exclusion System (EDES)

In 2020 REA launched three EDES Early Detection flags, 19 EDES exclusions on the grounds of bankruptcy, and one EDES file for exclusion on fraud grounds, including the person of interest.

Follow-up of OLAF financial recommendations

In 2020 three enforced recovery decisions were adopted at REA's initiative regarding recoveries implementing OLAF recommendations for a total of EUR 852,000.

The Final Amount Established to be Recovered (FAER) is the actual amount to be recovered/corrected as established and confirmed by the Delegated Authorising Officer. Approximately EUR 3.6 million was not considered for recovery. Newly-released reports, for which the FAER has not yet been established, accounts for around EUR 1 million of this amount. The remainder was not considered for recovery because of either a lack of proportionality, the analysis of cost versus benefit of recovery, the outcome of the Sub-Delegated Authorising Officer's in-depth analysis of the OLAF findings for the relevant projects, or the additional evidence provided by entities within the relevant contradictory procedures launched in view of recovery. In a few instances, recommendations were either addressed to or implemented by other services as 'chef de file'.

Table 33 - Follow-up of OLAF financial recommendations and breakdown of Final Amount Established to be Recovered (FAER)

The table below reflects the state of play of the implementation of 35 OLAF reports with financial recommendations addressed to REA from 2009 up to 2020 (rounded figures).

Value of OLAF financial recommendations (M€)[1]	Decision of the responsible authorising officer					
	Not implemented[2] (M€)	Actual amount to be recovered / corrected as established and confirmed by AOD (FAER) (M€) 11.4 (76%)				
		Recovery orders issued (M€) 8.7			Waived (bankruptcy)[3] = cashed from PGF[4]	Rejections[5]	Recovery orders to be issued[6] (M€)
		Not yet cashed from beneficiaries – pending proceedings[7]	Cashed or offset from beneficiaries	Outstanding recoveries – pending, not enforced or waived[8]			
15	3.6 (24%)	4	3.3 (34%)	1.4	0.6	1.3	0.8

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[1] Amounts as contained in the OLAF reports.

[2] The main reason for the difference between the recommended amount and the FAER is the outcome of either the analysis of the impact of the OLAF findings onto the relevant projects or of the additional evidences provided by entities within the relevant contradictory procedures launched in view of recovery. In a few instances, recommendations were addressed to, or implemented by, other services. *This figure also includes the amounts not yet decided for new reports.*

[3] Cashed by REA from the Participants' Guarantee Fund (PGF) and waived from the PGF's budget line.

[4] Participants Guarantee Fund - insurance mechanism in FP7/2020 financed by the participants and the generated interests

[5] Recovered by means of rejections within the relevant grant agreements.

[6] Yet to be settled following the relevant contradictory procedures for implementation of the relevant OLAF report in the framework of the projects concerned.

[7] Pending judicial or administrative proceedings, at either national (national criminal proceedings in liaison with OLAF) or EU level (enforced recoveries, in process of adoption or adopted in process of enforcement). The PGF has intervened in benefit of REA so far for EUR 3 million.

[8] The recoveries are launched but they are no yet enforced nor waived (no pending proceedings) but they are not cashed from beneficiaries. Some have been covered by the PGF.

ANNEX 8: Specific annexes related to "Assessment of the effectiveness of the internal control systems"

not applicable

ANNEX 9: Reporting – Human Resources, Information Management and External Communication

A. Human Resources

<table>
<tr><td colspan="3">**Objective: The Agency 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.**</td></tr>
<tr><td colspan="3">**Corporate Indicator 1 : Percentage of female representation in middle management**
Source of data: REA HR</td></tr>
<tr><td>Baseline</td><td>Target 2020</td><td>Latest known results (end of 2020)</td></tr>
<tr><td>2019: 29.4%</td><td>Target 2020: 40%
REA monitors the percentage of female representation in middle management. However, the target of 40% female representation in middle management by 2020 (average target at European Commission level) is not in the remit of REA, as the parent DGs are in charge of the selection of middle managers.</td><td>Female senior and middle management (HoD+HoU): 41.2% (EC average: 42.79%)</td></tr>
<tr><td colspan="3">**Corporate Indicator 2 : Percentage of staff who feel that the Commission cares about their well-being**
Source of data: Commission staff survey (data provided by DG HR)</td></tr>
<tr><td>2018: 63%</td><td>Target 2020: ≥63%</td><td>Staff pulse survey 2020[43] : 55% (EC average: 48%)</td></tr>
<tr><td colspan="3">**Corporate Indicator 3 : Staff engagement index**
Source of data: Commission staff survey (data provided by DG HR)</td></tr>
<tr><td>2018: 69%</td><td>Target 2020: 71%</td><td>Staff pulse survey 2020[44] : 70% (EC average: 69%)</td></tr>
<tr><td colspan="3">**REA Specific Indicator 4: Occupation rate of the establishment plan**
Source of data: REA HR</td></tr>
</table>

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[43] Source: staff pulse survey no. 15 of 25-27.1.2021, which took place during the pandemic to monitor how staff throughout the Commission were coping with the situation and to obtain input on their needs.
[44] Source: staff pulse surveys no. 13 of 14-16.12.2020 and no. 14 of 11-13.1.2021.

2019: 95.6%	Target 2020: > 95%		95.0%

Main outputs in 2020:			
Description	Indicator	Target	Latest known results
Outputs at REA level			
REA will perform its yearly workload assessment exercise in view of rebalancing resources across units commensurate with their effective workload	The REA Staff and staff profiles (re-)allocated to the different units in function of an assessment of the workload and the budget delegated to REA	Workload assessment ready by November 2020	Some preparatory work has been done for the workload assessment and it will be finished early in 2021 after the finalisation of the Specific Financial Statement for the new mandate. Exceptionally, the exercise has been grouped with the staff allocation analysis for the new mandate.
Smooth implementation of the EAs Joint Committee for the protection and prevention at work (CPPT) and the Common Staff Committee	Organise constituting session and meetings in 2020	Common Staff Committee: setting up of the Committee CPPT: quarterly meetings to be organised	A common CPPT for all Brussels based EAs has been set up on 30.03.2020. Quarterly meetings have been organised in line with the Annual Work Programme of the Committee. Due to the health crisis, several additional ad-hoc meetings have been organised during the year. REA is chairing and ensuring the secretariat of the Committee for a year.

Description	Indicator	Target	Latest known results
Implementing job shadowing schemes between REA and other EAs and the piloting shadowing scheme with DG RTD.	Number of enrolments by staff	Inter-agency job-shadowing: minimum 10 REA participants REA-RTD job-shadowing: minimum 7 REA participants, by 31.12.2020	On top of the 25 participants in the REA-RTD job shadowing, a specific offer was implemented for preparing the Agency's new mandate: 20 staff members of CHAFEA, EASME, and RTD benefitted from a job shadowing exercise prior to joining REA in 2021, and 26 REA staff took up a similar offer to prepare for outgoing mobility.

Main outputs from the action plan following the 2018 staff survey			
Description	Indicator	Target	Latest known results
Action 2 (section "Inclusion and Fairness"): Ensure proper training (such as "Communication how to get difficult messages across" or "How to deal with conflicts") for staff members having a recognised role on people management or doing tasks' coordination	Number of training courses organised	4 sessions by 31.12.2020	6 training sessions organised by end of 2020.
Action 3 (section "Inclusion and Fairness"): Organise a communication campaign on "Respect@work" to promote values and diversity in everyday situations (hierarchical relations and between peers)	Defining the main REA values and establishing golden rules of collegial behaviour, based on the 10 REA Management Commitments	Communication campaign implemented by end of Q1 2020	Respect@work roadshow of all REA units done fully remotely, during the health crisis, reaching all REA staff

Description	Indicator	Target	Latest known results
Action 9 (section "Decision-making"): Foster an "Innovation challenge" (Hackathon methodology)	Organising the pilot exercise with 2-3 ideas	One Hackathon in Q1 2020	Hackathon approach implemented notably by setting up working groups exploiring efficiency gains made up of approx. 70 volunteers among staff, in the second semester, producing innovative proposals for managing REA's work in the new mandate.
Follow-up newcomers integration	Organising newcomer induction days, a newcomers breakfast; propose to new staff coffee meetings with REA senior management	3-4 newcomer induction days, and 1 newcomers breakfast, by 31.12.2020	4 newcomer induction sessions organised; breakfasts suspended due to the health crisis.
Maintaining and boosting managerial excellence	Organisation of the second 360 degrees management feedback exercise, open to HoUs, DHoUs and HoSs, ensuring managerial coaching and peer learning	15 participants; implementation in Q1 2020	Implemented as planned in Q1 and then – during the health crisis – followed up by training on "Managing remote teams in times of crisis" and "performance management".

B. Information management

Objective: Information and knowledge in your EA is shared and reusable by other DGs. Important documents are registered, filed and retrievable		
Corporate Indicator 1: Percentage of registered documents that are not filed[45] (ratio) **Source of data: *Hermes-Ares-Nomcom (HAN)[46] statistics***		
Baseline	Target 2020	Latest known results (end of 2020)
2019: 0.09%	Target 2020: < 0.1%	0.01%
Corporate Indicator 2: Percentage of HAN files readable/accessible by all units in the EA **Source of data: *HAN statistics***		
If validation and expert contract files are excluded:		
2019: 91% of files	Target 2020: >90%	93% of files
If validation and expert contract files are included:		
2019: 3.6% of files	The target for 2020 does not include validation and expert contract files	3.7% of files

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[45] Each registered document must be filed in at least one official file of the lead service, as required by the e-Domec policy rules (and by ICP 13 requirements). The indicator is to be measured via reporting tools available in Ares.

[46] Suite of tools designed to implement the e-Domec policy rules.

Corporate Indicator 3: Percentage of HAN files shared with other Commission services Source of data: *HAN statistics*			
Baseline	Target 2020		Latest known results (end of 2020)
2019: 0.17% of all REA files	Target 2020: >30% of all REA files		0.16% of all REA files[47] Project-related files currently make up 30%–40% of REA files. Therefore once these are shared (in approx. April 2021), the target will be met.
Main outputs in 2020:			
Description	Indicator	Target	Latest known results
Maintain a high share of NomCom files readable /accessible to REA units	Number of assessment of the REA files access rights	1 annual assessment	Completed
Maintain a low percentage of unfiled documents	Number of unfiled documents reports sent	Monthly reporting to each REA unit	As planned, a report was sent every month to each REA unit.
Facilitate the registration of important documents in Ares	Integration of AresBridge feature in MyIntraComm's collaborative platform AresBridge is a tool that allows users to add documents directly to Ares from REA's collaborative sites on Sharepoint	Implemented by Q1 2020	AresBridge option is now available in all collaborative sites of the REA. REA is among one of the few EU bodies to have implemented this feature.

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[47] The access rights of all REA H2020 project-related files (currently 30-40% of REA files if validation and expert contract files are excluded) will be adapted at the same time as changes are made to other REA NomCom files in order to implement its new mandate and structure (expected date: 01.04.2021).

C. Communication

Objective: Citizens perceive that the EU is working to improve their lives and engage with the EU. They feel that their concerns are taken into consideration in European decision making and they know about their rights in the EU.

Corporate Indicator 1: Percentage of EU citizens having a positive image of the EU

Definition: **Eurobarometer measures the state of public opinion in the EU Member States. This global indicator is influenced by many factors, including the work of other EU institutions and national governments, as well as political and economic factors, not just the communication actions of the Commission. It is relevant as a proxy for the overall perception of the EU citizens. Positive visibility for the EU is the desirable corporate outcome of Commission communication, even if individual Executive Agency's actions may only make a small contribution.**

Source of data: Standard Eurobarometer (DG COMM budget)

Baseline	Target 2020	Latest known results (end of 2020)
June 2019: Total "Positive": 45% Neutral: 37 % Total "Negative": 17%	Target 2020: Positive image of the EU ≥ 50%	Standard Eurobarometer 93 (fieldwork July-August 2020) – Positive: 40% Neutral: 40% Negative: 19% No opinion: 1%

REA Indicator 2: number of success stories communicated to the parent DGs
Source of data: REA Communication sector

2019: 147	Target 2020: 150 (target referring to the revised definition focused on confirmed success stories)[48]	141[49]

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[48] For the purpose of this indicator and in alignment with DG RTD guidelines, only implemented projects fall under the definition of 'success story'. Promising and/or newsworthy projects are no longer included.

[49] This underperformance can be attributed to the additional unplanned communication activities caused by the Covid-19 pandemic, which are described in section 2.2 of the Annual Activity Report.

Main outputs in 2020:			
Description	Indicator	Target	Latest known results
Reach on the website (source: website statistics)	Number of visits	100,000	181,145
	Number of unique page views	125,000	148,097
	Number of newsletter subscribers	500	865
Reach on social media (source: social media statistics)	Number of impressions	3.3 million	3.3 million
	Number of followers	3,500	6,000 (of which 4000 new in 2020)
	Engagement rate[50]	1.2%	1.5%
Reach via events (source: organisation statistics and participant surveys)	Number of stakeholder events organised	28	5[51]
	Number of policy events attended	20	3
	% of newcomers (for info days)	50%	n/a
	Satisfaction rate of participants	80%	n/a

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[50] Engagement rate: number of engagements divided by impressions.
Engagement: the total number of times a user interacted with the tweets you sent during the selected date range (like, retweet, comment). An impression is the number of times a tweet appears to users in either their timeline or search results.
[51] This and the following lower figures related to events were caused by the Covid-19 pandemic. The virtual events that REA organised (five) and major conference presentations given (two) are described in section 2.2.3 of the Annual Activity Report.

Description	Indicator	Target	Latest known results
Reach via publications (source: organisation statistics and reader surveys)	Number distributed / downloaded	8,000	351[52] REA e-brochure downloads
	% of readers who will share the information	80%	n/a

Annual communication spending (based on estimated commitments):			
Baseline (2019):	Target (2020):	Total amount spent	Total of FTEs working on external communication
EUR 357,109	EUR 330,000	EUR 140,411[53]	6

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[52] Fewer brochures were produced than planned because of the Covid-19 pandemic.

[53] This reflects the events and brochures that were planned for 2020 but not executed because of Covid-19.

ANNEX 10: Implementation through national or international public-sector bodies and bodies governed by private law with a public sector mission (if applicable)

not applicable

ANNEX 11: EAMR of the Union Delegations (if applicable)

not applicable

ANNEX 12: Decentralised agencies and/or EU Trust Funds (if applicable)

not applicable

ANNEX 13: Policy feedback

As stated in the Memorandum of Understanding governing the relations between REA and its parent DGs, REA must deliver quality feedback on the execution of the programmes to the Commission. This means taking stock of the achievements of the projects and reflecting on the grant management processes but, more importantly, making sure that the results from the delegated actions can be used as inputs for the Commission's policymaking. It is an essential task to enhance the impact of the EC programmes. The Agency stepped up its efforts to ensure that the cutting-edge scientific and project results contribute to shape public policy.

As planned in the AWP 2020, several policy feedback plans were agreed between the agency and the corresponding Commission Directorates-General. The 'Policy Feedback scoreboards' available in this annex provide a simple and structured overview of the co-selected actions, their targets and indicators, and sections to report on their state of play.

Table 34 - Progress of the actions agreed in the Policy Feedback Plans, at 31.12.2020
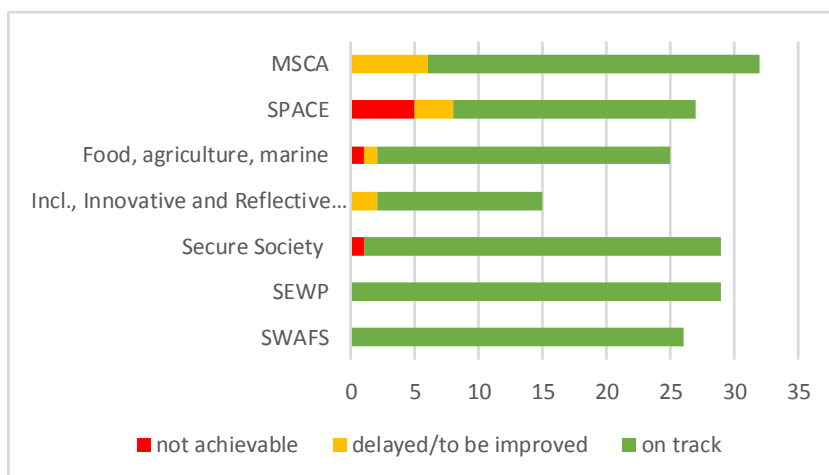
With 89% of planned actions on track, the Policy Feedback Plans 2020 can be considered as successfully implemented, despite the challenges of Covid-19. Only 7% of actions were notified as "delayed/to be improved" and a smaller percentage (seven actions) were not achieved. Most of the non-achieved actions are demand-driven and were not activated by the relevant EC directorates.

Marie Skłodowska-Curie actions (MSCA)

Policy Feedback Plan 2020 - scoreboard

REA A1-A4 units Marie Skłodowska-Curie Actions (MSCA)

✅ on track

🟡 delayed/to be improved

❌ not achievable

Code	Action	Indicator + target	Status	Comments
SUPP02	Promoting and monitoring Open Science and long term sustainability of data	all grants except for NIGHT	✅	Implementation of the Open Access enforcement plan, continuous monitoring of Open Access implementation during project lifetime, organisation of a training for POs
SUPP04	Joint projects recommendations	Report from the common MSCA cluster (all actions involved except for NIGHT)	🟡	delayed, the organisation of the common MSCA clusters on Cancer and Green Deal is delayed due to COVID and will be implemented in 2021, therefore join projects recommendations linked to the results of those clusters will also be delayed.
SUPP08	Supporting participation to corporate support services	all grants except for NIGHT	✅	MSCA POs promote the corporate services towards beneficiaries and highlight the benefits of their involvement and active cooperation (such as D&E booster, Horizon Results Platform, etc).
ORG 01	Single/Multiple Point(s) of Contact for policy - dedicated person(s) in unit responsible for Policy Feedback	1 PO per unit	✅	dedicated person(s) in each unit responsible for Policy Feedback have been appointed
ORG 04	Meetings REA-EC	upon demand	✅	DG EAC Policy officers regularly participate in the REA MSCA unit meetings, assistant of the REA HoD A regularly participates in the DG EAC unit meetings. REA and DG EAC POs jointly participate in the different ad-hoc meetings related to the events of the common interest.
ORG 05	Thematic cluster encounters with parent/policy DGs	upon demand	🟡	delayed, due to COVID
ORG 09	Project officers briefed on policy context	1-2 times/year	✅	Eve though the MSCA presentation is delayed to Q1 2021, due to a late adoption of the HE WP, regular feedback from DG EAC colleagues to the REA colleagues during the REA/EAC unit meetings is regularly ongoing.
ORG 10	Parent DGs to facilitate interactions at institutional level	5 policy officers	✅	For Doctoral Networks, the Policy officer is missing however the back-up policy officer is always ensured. Policy officers for all other REA MSCA are established
ORG 12	Joint REA - parent DGs activities	4 team buildings	🟡	delayed, due to COVID no team buidlings have been possible
ORG 13	REA inter-Unit collaboration	According to the needs	✅	Regular collaboration is established, especially for the Policy feedback matters and organisation of different events, regular collaboration through the REA networks.
ORG 15	Interactions with NCPs	1 meeting	✅	There is a regular interaction with NCPs via DG EAC related to the questions from the applicants, beneficiaries, researchers. Two specific trainings organised by REA in April and December 2020 for NCPs. Regular participation of the REA POs during the events organised by NCPs at the national level (upon request from NCPs/DG EAC).

Code	Action	Indicator + target	Status	Comments
IT 03	Use of in-house tools	1-2 super users per unit	⚠	Users appointed at the level of each MSCA unit. The wider use of those specific tools will depend on the number licences available at REA.
PLD01	Involvement in drafting of Work Programme	HE Work Programme	✓	All MSCA units involved in the drafting of the Work Programme for Horizon Europe. Various meetings and exchanges between REA and DG EAC has been organised related to the drafting Work Programme for Horizon Europe. The activity will continue during Q1 2021.
PLD02	Drafting of FAQs	H2020 FAQs	✓	REA involved in drafting the FAQs in April 2020 and in the update in December 2020. The activity will continue in Q1 2021.
PLD03	Participation/Organisation of Info Days	all units	✓	All units organise Coordinators Days, except for the MSCA IF (for MSCA IF it is not feasible due to a high number of grants signed annually). REA POs regularly participate at the different national info days organised by NCPs and events organised by DG EAC.
PLD04	Involvement in preparation of policy reports	According to the type of report	⚠	Due to COVID common MSCA clusters will be delayed to 2021, the policy reports linked to the common clusters will be prepared in 2021.
PLD05	Participation in policy-related thematic events organised by the European institutions	According to the type of event	✓	REA has been present at R&I Days in September 2020.
PLD07	Feedback to parent DGs on the WP implementation	HE MSCA Work Programme	✓	For H2020: ad-hoc feedback is provided by REA to DG EAC related to the WP implementation (i.e. following the monitoring/mid-term meetings, evaluation panel meetings, Independent Observer report, etc.). For Horizon Europe the discusion is ongoing.
EVL01	Expert briefing: presentation of policy context by the EC	Experts briefing for all actions	✓	DG EAC representative regularly participates at the various stage of evaluation, especially during the experts briefing and/or panel meetings, where policy aspect are presented.
EVL02	Drafting of evaluation guidelines for experts	all actions	✓	The Guide for evaluators have been prepared and is regularly updated for all MSCA.
EVL03	Panel/consensus meeting: the EC acting as observer	Panel meetings for all actions	✓	Policy officer is regularly invited and participates in the Panel meeting and/or during he various stages of the evaluation.
EVL04	Evaluation results and conclusion/remarks presented to the EC	all actions	✓	Evaluation results were presented to DG EAC during the EAC-REA coordination meeting in July 2020. In addition, the results are regularly presented in the Call Evaluation Reports sent to DG EAC after each evaluation session.

Code	Action	Indicator + target	Status	Comments
EVL05	Reporting to Programme Committee and/or Advisory Groups	All PC/AG meetings to be attended by the REA representative(s)	✅	All PC meetings have been attended by REA colleagues. The Call results are regularly presented by REA at the PC meetings.
GAP01	Cross-cutting issues in the Grant Preparation Report	ITN, IF, RISE	✅	All ITN, IF and RISE grants are screened and the cross cutting issues are implemented during the Grant preparation phase.
PRM01	Coordinators Day linked to specific programme	ITN, RISE, COFUND and NIGHT	✅	All Coordinators Days have been organised, DG EAC collegaues and NCPs have participated as well.
PRM03	Thematic cluster events linked to policy	2 clustering events common for all MSCA	⚠️	The organisation of the common MSCA clusters on Cancer and Green Deal is delayed due to COVID and will be implemented in 2021.
PRM04	Innovation Radar	all actions involved except for NIGHT	✅	All actions are involved in the Innovation Radar, either during the project monitoring-mid-term meetings, or during the cluster events.
PRM05	Monitoring of participation in Common Dissemination and Exploitation Booster	all actions involved except for NIGHT	✅	text from 2019: Coordinators have been contacted by the central Commission services and informed during the several Coordinators Days, further instructions will be received early 2020
PRM07	Input from projects for EC communication/dissemination	all actions	✅	REA MSCA units regularly report to REA COM on the MSCA success stories. In addition, MSCA projects are part of the Horizon Results Platform, launched in September 2019.
PRM08	Project portfolio analysis for clustering	all actions involved except for NIGHT	✅	Portfolio analysis has been done in Q1/Q2 2020 for all MSCA with regards to all 5 HE Mission areas and shared with DG EAC. In addition, a detailed portfolio analysis has been implemented for the two forthcoming cluster events (Cancer and Green Deal) to be organized in 2021.
PRM12	Collecting and giving feedback about researchers' needs and satisfaction	all actions involved except for NIGHT	✅	The feedback is collected normally after the monitoring / Mid-term meetings as well as during the regular project follow-up. All relevant cases are consequently shared with DG EAC.
PPA01	Follow-up on success stories	REA sends the success story update to DG EAC 2-times/year, feedback from DG EAC 2-times/year	✅	REA COM sector sends regularly success stories to DG EAC. In addition, the report on the success stories is provided during the EAC-REA Coordination meetings.

Space research

Policy Feedback Plan 2020 - scoreboard				
REA.B1 unit - Space Research			✅ on track	
			⚠️ delayed/to be improved	
			❌ not achievable	
Code	**Action**	**Indicator + target**	**Status**	**Comments**
COM 02	REA-EC Communication activities: regular REA.B1 activities on success stories and contributions for events and publications, to be done according to opportunities; on DG GROW's side: take the lead, ensure take-up and follow-up	Regular Target: improved cooperation REA.B1 - GROW.I1 on communication issues Indicator: responisble parent DG GROW / DEFIS appearing in media (**not** DG RTD)	⚠️	DG DEFIS political and communication focus more on new *operational* European Space Programme; REA.B1 continued Space *research* communication work with REA Communication team
EVL02	Drafting of evaluation guidelines for experts incl. policy guidance aspects; contribution to guidelines for Security Scrutiny experts (to be produced by DG GROW)	Regular Indicator: satisfaction and positive feedback from experts and independent observer, better understanding of expectations Target: efficient and effective evalaution process	✅	REA.B1 prepared synoptic guide for evaluation experts from multiple sources, to simplify the work; DG DEFIS prepared a guide for security scrutiny experts; feedback from experts on 2020 Call evaluation was very positive regarding their preparation / briefings
EVL04	Evaluation results and conclusions/remarks presented to DG GROW; also presentation of new projects to DG GROW staff after GAP with assessment of the PO on the overall portfolio	Regular Target: Commission following the REA proposal for ML and RL (possible addition of extra ML projects with extra budget); awareness of other observations and conclusions Indicator: Commission satisfaction with the approach, providing sufficient basis for taking funding decisions	✅	Dedicated ML/RL debriefing meeting at the end of the central evaluation to discuss topic by topic the ranking, the coverage, the options for using additional funding etc. (beyond the scope of the MoU); later on DG DEFIS' request two rounds of advice for selecting RL proposals for funding which were both followed
EVL05	Reporting to Programme Committee and/or Advisory Groups: evaluation outcome and statistics, new portfolio, other topics as requested by DG GROW	Regular Target: delivery of presentations every time they are requested and availability to answer questions from the PC members; or observing participation Indicator: satisfaction of PC members and DG GROW	✅	Presentation at PC on 16/1/2020 on 2019 portfolio; Presentations to SPEG several times a year; Presentation of annual evaluation outcome to PC on 16/9; Detailed presentation of H2020 portfolio investments and achievements on 3/12/2020.
GAP02	Risk analysis for operational implementation that could potentially also affect policy implementation: during evaluation, GAP, project monitoring; feedback on draft WP etc.	Regularly (systematically) and occasionally if required; Target: identify and anticipate problems before decisions are taken, more effective and efficient policy implementation; Indicator: take-up by DG GROW / DEFIS	✅	Analyse GAP of ENTRUSTED (2019 call): classification levels, start date, reconciling conflicting rules for H2020 and GovSatCom; GAP of 2-3SST2018-2020 (IBA-2019 call): inputs for UKTF regarding potential exclusion of UK participants, GAP schedule monitoring to safeguard full project budget; Suggestion of 2021 call/evaluation schedule scenarios with analysis of impacts.
ORG 03	Shared calendar with key events: is available	Regular updates by REA.B1 Target: Accessibility, regular updates from both sides Indicator: Regular updates/ use	⚠️	Calendar has been put on a shared drive accessible from all sides,updates from REA.B1 side only

Code	Action	Indicator + target	Status	Comments
ORG 05	Thematic cluster encounters with parent/policy DGs: to be done on a regular basis especially for the most policy relevant projects/areas (Copernicus service evolution, Downstream services, data warehouse, Critical Space technologies, SRCs, Access to space, SST, GovSatCom, etc..)	Occasional/regular based on need and impact potential; Target: Information on project output, identification of action items; Indicator: take-up by DGs	✓	No physical meetings during COVID-19 crisis; on 1/9/2020 online meeting of BIZ project cluster to assess synergies with and contributions towards new CASSINI framework; on 19+20/11/2020 live-streamed online cluster workshop of Big Data/AI for EO projects with >1500 participants.
ORG 15	Interactions with NCPs: REA.B1 participation in NCP Day in autumn, on annual basis	Regular: Target: pass relevant messages for applicants to the NCPs who will disseminate them; receive FAQs for clarification; Indicator: improved understanding and qualitiy of proposals; level of satisfaction on all sides	✗	Did not take place (HE 2021 WP not yet adopted, call timing not yet decided.
PLD01	Involvement in the drafting of the Work Programme, providing feedback on DG GROW's draft WP based on implementation experience, from comments up to the drafting of new text passages	Regular Indicator: actual takeup of suggestions (however this is subject to compromises at the PC). Target: make use of REA's deep and hands-on knowledge of the ongoing grants and their context, particularly when there is a political relevance	✓	2 rounds of feedback on draft Horizon Europe Space WP 2021/2022 and many bilateral contributions from REA-project officer to DG DEFIS policy officer, also feedback on schedule.
PLD02	Drafting of replies to FAQs by applicants: to be done as questions come in from applicants	Occasional Target: transparency and equal treatment of applicants and proposals, Indicator: Publication on evaluation website and participants portal	✓	Newly for each evaluation
PLD03	Participation at / organisation of Info Days: REA.B1 does not organise itself (often NCPs do) but participates on invitation	Regular Target: delivery of a presentation about the evaluation and quality requirements to proposals, complementary to the Commission or covering WP aspects, too. Indicator: satisfaction of the participants and of DG GROW / DEFIS	✗	We are in transition from H2020 to Horizon Europe, no info days yet for the first calls in 2021
PLD04	Involvement in the preparation of policy reports: to be done on demand (e.g. contribution to the SRIA, preparation of AI for HE)	Occasional Target: to assist DG GROW / DEFIS with additional staff and know-how Indicator: satisfaction of DG GROW	✓	Meeting and note on experience with BIZ projects, recommendations for Horizon Europe; 16/10/2020 contribution to DG DEFIS SRIA working group on competitiveness discussing high-level roadmaps on the themes (i) Satellite Communication, (ii) Earth Observation, and (iii) Future Space Ecosystem, on-orbit servicing, with a view to the coming 2021-2022 HE Space work programmes - based on portfolio analysis of ongoing activities and achievements.

Code	Action	Indicator + target	Status	Comments
PLD05	Participation in policy-related thematic events organised by the European institutions: to be done on demand	Occasional Target: to assist DG GROW with specialist knowledge as needed Indicator: satisfaction of DG GROW / DEFIS	✅	Portfolio presentation of AI project portfolio at Industry Workshop "Copernicus & Aritificial Intelligence" organised by DG DEFIS; participation in a meeting of DG DEFIS with the European Space Sciences Committee of ESF to share views on Horizon Europe and provide feedback on the Space Weather and space data exploitation part of the H2020 Space programme
PLD07	Feedback to parent DG on Work Programme implementation: via call reports, coordination meetings at Director level, contributions to mid-term and annual activity reports etc.; to the PC every December in a presentation	Regular Target: general information and awareness raising on what comes out of the projects co-funded by the EU Indicator: Take-up feedback by the DG GROW / DEFIS, response of PC delegations	✅	16/1 and 3/12/2020 presentations to the PC on 2019 portfolio; 24+25/11/2020 REA.B1 portfolio presentations to DG DEFIS staff 23/4 and 30/9/2020 coordination meetings at director level; June 2020 annual call report
PPA01	Follow-up on success stories: to be produced with REA Communication team (as they are available and/or requested, for multiple use incl. on demand- contributions to events (Schuman day, EP etc)), so far mostly with RTD; involvement of DG GROW / DEFIS to be strengthened	Regular Target: providing regular and positive media communication contributions from the H2020 Space programme, ideally via DG GROW, Indicator: material ready for publication, published articles, TV programmes, appearances at events.	✅	Catalogue of success stories kept up-to-date with REA Communication team; tweets on special events or successes; recommendations for projects to be featured in events
PPA03	Post- project policy events: to be organised as needed respectively in function of opportunities	Occasional Target: have DG GROW / DEFIS POs participate where useful input for their work can be obtained Indicator: satisfaction of DG GROW / DEFIS POs with the input	✅	occasional participation at review meetings etc
PPA04	Follow-up on exploitation: to be done according to instructions using DG RTD instruments	Regular Target: to comply with the need to participate in this innovation policy initiative; to promote uptake and use of space-related data and services to maximise the societal and economic potential; Indicator: roll-out of the activity to all meaningful topics and projects of the Space programme; impact on projects	✅	Applied in 2018 / 2019 / 2020 mainly to EO market uptake and application projects
PRM03	Thematic cluster events linked to policy: to be organised as needed respectively in function of opportunities	Occasional/regular Target: to align the developments of the cluster with the SRIA and to obtain stakeholder feedback on the planning of activities. Indicator: positive response and support from the community, delivery of a well-aligned roadmap and its takeup by the Commission	✅	Portfolio presentation in an e-workshop on education in the field of space and EU-funded research. Objective: to bring together actors involved in the sectors of space research, development and education ranging from undergraduate education and masters programmes to PhD research and Post Docs.

Code	Action	Indicator + target	Status	Comments
PRM04	Innovation Radar: to be done in continuation of previous activities, mainly in EO downstream sector	Occasionally, regular only in specific areas Target: to identify projects with innovation potential, to comply with the RTD policy in this domain Indicator: screening of the pre-identified set of projects	✅	Applied in 2018 / 2019 / 2020 mainly to EO market uptake and application projects
PRM05	Monitoring of participation in Common Dissemination and Exploitation Booster: to be done in continuation of previous activities, mainly in EO downstream sector	Occasionally in in specific areas , but mostly N/A in EU Space research Target: help new coordinators who are unfamiliar with research deal with the expectation Indicator: smooth project management	✅	Applied in 2018 / 2019 / 2020 mainly to EO market uptake and application projects
PRM06	Aligning of ongoing projects to policy needs/changes: to be done as appropriate with respect to the evolution of the policy and technical context, mainly Copernicus service evolution projects, CHE, SST, SRCs, possibly GovSatCom	Regular Target: Meaningful project output that serves the policy objectives, correct implementation of a project Indicator: increasing confidence that a project is well on track and will deliver according to expectations important contributions towards HE, the future Space Programme etc.	✅	Regular follow up of projects by POs. Projects are being adapted as far as the political and organisational context allows it; exclusion of UK from 2-3SST2018-20 after Brexit.
PRM07	Input from projects for DG GROW communication / dissemination: to be done in function of opportunities, REA.B1 works with REA Communication sector which liaises with DG GROW (Contact Julien Turpin), alternatively take-up by DG RTD	Regular Target: publication of success stories, promote EU research, promote specific research results, positive media or stakeholder reactions Indicator: take-up preferably by DG GROW? DEFIS communication	❌	Little takeup by DG GROW / DEFIS so far, more often DG RTD took up the success stories and promoted them
PRM08	Project portfolio analysis (for clustering): According to the cycle schedules (various steps), portfolio analysis to contribute to the European Space Technology Harmonisation work and the work of the EC-ESA-EDA JTF for non-dependence in critical space technologies (multiple exploitation)	Regular Target: Comprehensive, detailed and corect analysis of data and results from H2020 and FP7 projects, based on project consultation, tailored contribution presented in easy to analyse format for take-up and to show impact of the EU investment Indicator: Satisfaction of DG GROW / DEFIS, full and correct take-up in the documentation by ESA or JTF, positive feedback of other stakeholders	✅	Harmo: Following exchange with DG DEFIS, decision to simplify the exercise: analysis for DG DEFIS as required but selective attendance to ESA HARMO meetings, and transfer of most actions to our projects; JTF: extensive contributions to the finalization of the new 2021-2023 JTF list, which implies also supporting DG DEFIS in the prioritization of the JTF actions that will be part of the Space WP 2021-2022; contributions to DG DEFIS for its strategy for setting up roadmaps and and observatories for critical technologies with the JRC. The valuable contributions so far were recognised by accepting the DG DEFIS and REA.B1 representative as full member (so far observer) in the European Space Components Coordination.

Code	Action	Indicator + target	Status	Comments
PRM09	Participation in events / meetings with stakeholders: Participation of REA.B1 POs at the SPEG meetings in support of DG GROW / DEFIS, review of documents prior to the meetings; together with DG GROW / DEFIS participation in the foreseen meetings of 2 cycles of Harmo mapping and roadmapping as well as the JTF work	Regular Target: Support of DG GROW / DEFIS, Indicator: Satisfaction of DG GROW / DEFIS, positive response from stakehholders about usefulness of contribution	✅	There are SPEG meeting every 2-3 months. Recent meetings served the preparation of Horizon Europe activities.
SUPP04	Joint projects recommendations: to be done occasionally when needed by DG GROW / DEFIS (e.g. white papers for the Copernicus service evolution)	Occasional Target: common findings of cluster projects Indicator: take-up by DG GROW / DEFIS for policy making	❌	Recently no request by DG DEFIS for input by REA.B1
SUPP05	Policy relevant information from projects: Policy Rounds, Policy Papers or Policy Briefs: to be done occasionally when needed by DG GROW (e.g. white papers for the Copernicus service evolution)	Occasional Target: to answer a pending question of DG GROW, Indicator: take-up by DG GROW for policy making	❌	Recently no request by DG DEFIS for input by REA.B1
SUPP09	Promoting professional approach for CDE at project level: to be done especially for the EO (downstream projects) with dedicated business experts	Occasional Target: sustainable market take-up Indicator: commercial success	⚠️	Done in te context of the Innovation Radar but no additional measures

Sustainable Resources for Food Security and Grow

Policy Feedback Plan 2020 - scoreboard

			✅	on track
REA.B2 unit - Sustainable Resources for Food Security and Growth			🟡	delayed/to be improved
			❌	not achievable

Code	Action	Indicator + target	Status	Comments
SUPP02	Promoting and monitoring Open Science and long term sustainability of data	Actions to increase awareness pro-actively is taken whenever needed (i.e. trainings for POs, Info Day, Coo Day, project meetings).	✅	B2 raised awareness of project consortia on open access and on research data sharing – during GAP, kick-off, review meetings and coordinators' day. B2 contributed to the REA guidance on open access for POs and associated trainings to be developed. B2 Communication team provided individual support to project officers (POs) and projects on questions related with open access, reporting and compliance. E.g. direct support was provided to over 150 requests from POs on how to follow up the implementation of Grant Agreement requirements, particularly on Data Management.
		The level of project compliance with the open access obligation is monitored (i.e. via deliverables, project periodic reporting)		B2 project officers checked compliance of EU funded projects with open access obligations during reporting and provided guidance and recommendations as appropriate. By end of 2020, 97% of the scientific peer-reviewed publications, delivered by REA.B2 projects, have been published Open Access (54% Gold and 43% Green).
SUPP08	Supporting participation to corporate support services	Coordinators of REA.B2 projects are informed timely about support services	✅	B2 promoted corporate tools via campaigns to coordinators by e-mail or social media to support projects in disseminating and exploiting their results (e.g. new D&E booster, Horizon Results Platform, Innovation Radar, Open Access) and train and brief the POs on novelties of the services. B2 POs informed consortia during kick-off, review or other project meetings of existing services and followed up with projects that could benefit more from the services.
		Monitoring of projects' participation in support services		By end 2020, more than 20 SC2 projects were involved in the Dissemination and Exploitation booster. End of 2020, the Horizon Results Platform displayed results from 25 SC2 projects corresponding to 41 policy related results and 93 non-policy results (TRLs between 1 and 7).
		Information is exchanged between REA and parent DGs about project participation in support services		B2 exchanged information with RTD.B6 on Horizon Results Platform (climate and COVID-19 results) and followed up on the promotion of support services to identified projects. General information on the support services and B2 activities are compiled in the dedicated Project Info Table, and shared with parent DGs during SC2 CDE meetings.

Code	Action	Indicator + target	Status	Comments
ORG 01	Single/Multiple Point(s) of Contact for policy - dedicated person(s) in REA unit responsible for Policy Feedback	REA and Parent DGs have clearly defined contact persons and inform timely about any change	✅	In REA.B2, 1 person is responsible for PF coordination (e.g. overseeing PF plan implementation) and 3 persons for coordination and implementation of CDE Action Plan and CDE tasks. Parent DGs appointed 1-3 members per unit (AGRI.B2 and RTD.C1, RTD.C2, RTD.C4, RTD.C5) to the SC2 CDE WG. Changes are duly communicated via the SC2 CDE WG.
		Coordination, monitoring of PF plan implementation and other PF works in the unit and reporting (PF Coordinator)		In B2 tasks are allocated among the PF Coo and the Comm Team, with some actions being of joint responsibility. Call Coordination is involved for PF actions on EVAL. CommTeam reports on actions allocated to Comm Team; PF Coo reports on all other action included in the PF plan.
		Replies to ad hoc queries from Agile Network or from parent/other policy DGs are coordinated		B2 contributed to AGILE (continuous) requests from RTD (E6, B6) to search for projects and results that can help fight the COVID-19 crisis (selection, validation of projects and contribution to methodology). Other ad hoc requests were duly coordinated and timely answered (from parent DGs and related services, see also below).
		The unit is represented in PF-related working groups and meetings (REA internal, external)		B2 was represented in several PF related working groups (WG), e.g.: REA PF Task Force (NPO) with key contribution to 'PF efficiency gains exercise' (co-chairing the "Back to the future" group, drafting of PF survey for REA POs, analysis of results, drafting of conclusions and documents); RTD-CIC activities with contribution to the guiding document "CIC collaborative framework for F2P" and to F2P pilot for Cluster 6 (contribution to mapping tool, catalogue of policy inputs, commenting on notes and lesson learned); REA Working Group on Green Deal (coordinated by B2), which participated (among others) in the RTD.B6 Initiative on Climate Change (e.g. contribution to methodology, validation of project results submitted via the HRP); WGs linked to different programming activities (see PLD01) and contributions related to REA transition towards its new mandate (e.g. REA REA external communication strategy and role of F2P in future REA.D1).
ORG 02	Shared folders/common IT platform with project related information	Project Info Table on SharePoint updated once a month	✅	The Project Info Table in SharePoint is used as the main tool to share project information and is updated once a month.
ORG 03	Shared calendars with key events	REA.B2 calendar updated regularly	✅	SharePoint Calendar of REA.B2 is regularly updated (it includes reviews, project and policy events and key conferences) and is accessible to AGRI-RTD members of the SC2 CDE WG.
		Parent DGs share twice a year unit, directorate and DG calendars with key events		AGRI-RTD exchange information on events by e-mail. AGRI.B2 has recently provided access to their internal calendar. The Project Info Table includes information on dates of project kick-off and review meetings.

Code	Action	Indicator + target	Status	Comments
ORG 04	Meetings REA-EC.	Coordination meetings at management level (Target: 2 meetings at Director level and 2 meetings at HoU level)	✅	Two (virtual) meetings held as scheduled (19/06 and 01/12) to discuss policy, planning issues and programme implementation aspects (including the SC2 CDE and PF plan implementation). Several meetings at management level took place to coordinate work with parent DGs (e.g. Green Deal call, HE Work Programme, REA transition).
		REA B2 Unit meetings with participation of Parent DGs (Target: 1 with DG AGRI and 1 DG RTD)		No REA.B2 unit meeting with parent DGs participation was held in 2020. This was well compensated by diverse meetings with REA.B2 and EC staff participation, e.g. participation of B2 management in monthly RTD.C coordination meetings, participation of B2 staff in WGs and meetings with parent DGs (e.g. ORG01, PLD01) and meetings related to programme and project implementation (e.g. ORG08, PRM01, PRM02).
		SC2 CDE WG meetings (Target: 2 meetings, ad hoc meetings held when necessary)		Three meetings held in 2020: on 13/02 (lead RTD), 04/06 (lead REA) and 16/11 (lead AGRI) to discuss, align and implement together with parent DGs joint CDE and PF activities. Meeting agendas and minutes are available in SharePoint.
ORG 06	Clear policy targets from parent DGs	Parent DGs regularly update REA on policy needs	✅	Policy needs reflected in the endorsed PF plan. Concrete targets not articulated by parent DGs in 2020 but updates on policy targets were partially provided via ORG01, ORG04, ORG08, PLD01, PRM01, PRM02, PRM03 and some activities linked to PRM08 and COM02.
		CDE action plan updated (Target: Bi-annually)		CDE action plan updated and discussed during recent CDE SC2 WG meetings (13/02, 04/06 & 16/11). The drafted action plan for 2020 was aligned with both the REA.B2 Policy Feedback plan and the internal REA.B2 communication plan for 2020.
ORG 07	Feedback from parent DGs on feedback provided	Feedback collected twice a year and discussed with parent DGs	⚠️	Survey to collect feedback was developed in consultation with parent DGs (via SC2 CDE WG) on the usefulness and impact of feedback received from projects, POs, and via various thematic WGs. First survey was launched in June (for 1st half of 2020). 3 out of 6 consulted units answered within the deadline (July) and one after sending reminders (Nov). The results and the recommendations were discussed in REA.B2, during recent SC2 CDE WG meeting (16/11/2020) and outlined during the recent SC2 Coordination meeting at Director's level (01/12/2020). Second PF survey is planned in 2021 - after the REA transition to its new structure. It is expected to have a better 'return on investment' in terms of higher responsiveness of parent DGs and receiving recommendations reflecting the first experience under the new mandate. SC2 CDE WG was informed and consulted on the timing.
		Good' satisfaction level on all sides (parent DGs, REA, other participants)		The satisfaction level can be considered as 'good'. 3 units responded to the PF survey with an overall assessment 'very good' and one unit with 'satisfactory'.
ORG 08	Coordination meetings PO2PO. Interactions and meetings between Policy and Project Officers.	PO2PO meetings and actions taken whenever needed and /or requested (mutual cooperation)	✅	Several interactions and (virtual) meetings between policy and project officers took place to exchange on project and programme related aspects, including coordination of CDE and PF activities for managed projects, such as preparation of policy cluster sessions in the context of H2020 SC2 Coordinators' day (PRM01), project meetings (PRM02) with embodied policy sessions, and other events with B2 projects participations (PLD05, PRM03, PRM06).

Code	Action	Indicator + target	Status	Comments
PLD01	Involvement in the drafting of Work Programme	Parent DGs consult REA during preparation and in parallel to ISC REA shares its contribution timely with parent DGs	✅	B2 was consulted on several tasks and shared its contribution timely, partially on voluntary basis, e.g. during drafting of the Green Deal Call and Horizon Europe Cluster 6 Work Programme 2021-2022. For example, REA.B2 staff participated to the HE Cluster 6 Sherpa virtual meetings, provided written comments to several WP drafts and discussed them with Cluster 6 co-chairs and/ or directly with the topic drafters. REA input was considered as very important - especially from the 'evaluation perspective'. B2 staff participated also as observers in the meeting of the HE Cluster 6 shadow Programme Committee (sPC) and in dedicated Q&A sessions with the sPC on the seven Cluster 6 destinations. B2 POs participated in the preparatory work of the Horizon Europe Missions: 'Soil Health & Food' and 'Healthy Oceans' and attended several related meetings. B2 staff participated also in other WP related groups/discussions and provided written input, e.g. on HE reporting, HE proposal submission and evaluation, Guidance document for a collaborative framework for Feedback to Policy under HE, Updated D&E Strategy, etc.
PLD03	Participation/Organisation of Info Days	A yearly Info Day is organised by REA in collaboration with parent DGs Number of participants (physical attendance)	✅	H2020 Green Deal call Info-Day sessions took place during the R&I Days: REA.B2 presented together with EASME the evaluation process and several colleagues supported the session on call Area 6 – Farm to Fork and moderated the brokerage event (pitching and online matchmaking). The next Info Day is to be organised in 2021 (date depending on HE WP publication schedule). Discussions with involved services are ongoing to coordinate the approach for Cluster 6. The H2020 Green Deal call Info-Day event was organised fully online (due to the pandemic situation) and attended by 3500 online participants.
PLD05	Participation in policy related thematic events organised by the European institutions	REA.B2 staff participation to events and contribution where appropriate	✅	B2 staff participated in several events organised by parent DGs, e.g. Workshop on "Research and Innovation to support the European Green Deal" (HE Cluster 6 co-chairs, 5 & 7/05); Event on Environmental sustainability and regional dimension of bio-based sectors (RTD.C1, 21-23/04); R&I Days (RTD, 22-24 /09) with Info-Day sessions on H2020 Green (REA.B2 contributing); Farm to Fork Conference - "Building sustainable food systems together" (DGs SANTE and AGR,: 10-16/10); Webinars on climate neutral food and wood (DG CLIMA, 6-9/10); Annual Circular Economy Stakeholder Conference webinar "R&I: Funding opportunities for the circular economy" (RTD.C1, 4/11). B2 projects and B2 POs contributed actively to most of the events.
EVL01	Experts briefing: presentation of policy aspects by the EC	Policy officer invited to participate / contribute to briefings	✅	Policy officers were invited to provide topic specific briefing to the experts during both single stage and two stage calls. Web-briefings took place at the beginning of the individual evaluation phases, and at the beginning of consensus phase (where needed).
EVL03	Panel/consensus meeting: EC acting as observer	Policy officer invited to attend the panel review meeting(s) (central evaluation) as observer	✅	Policy officers were informed about the modalities of the evaluations (fully online in 2020) and the schedules and participated in few virtual consensus meetings and/or panel review meetings. During the consensus meetings, policy officers had the opportunity to provide additional clarifications on the topic description.
EVL04	Evaluation results and conclusion/remarks presented to EC	Evaluation results presented by REA.B2 to parent DGs within the formal approval procedure	✅	Evaluations for single and first-stage topics were completed in April, evaluation of the second stage (2 stage calls) was completed in October. Each time B2 provided the Call Evaluation Reports (CERs) to parent DGs, including the Observers' Reports. Work Programme feedbacks were collected by topic leaders during the panel review exercise e.g. on clarity of topic text, future calls drafting, evaluation process, quality of submitted proposals. A summary was also shared with the parent DGs. Where relevant, POs shared panel reports directly with the respective policy officers.

Code	Action	Indicator + target	Status	Comments
EVL05	Reporting to Programme Committee and/or Advisory Groups	REA.B2 presents the evaluation results to PC	✅	B2 presented the evaluation results to the SC2 PC on 11/02 and on 28/10 (result of 2019 Calls evaluations/2nd stage calls; results of 2020 Calls evaluations single and 1st-stage calls).
GAP01	Cross-Cutting Issues in the Grant Preparation Report	Consistency check made by REA.B2 PO during the GAP	✅	Policy officers flagged some indicators at topic level (e.g. RIO markers: climate action, sustainable development, biodiversity, digital agenda). Project officers revised indicators at topic level and flagged other indicators during the GAP process (e.g. SSH, RRI, gender dimension).
PRM01	Coordinators' Day linked to SC2	Number of projects in the meeting (Target: 80 %)	✅	The annual Coordinators' Day was organised fully online with a revised concept. It included a webinar on project implementation aspects on 30/9 followed by a series of on-line cluster sessions on selected themes. For the main event, 120 coordinators (66% new coordinators) participated, corresponding to around 85% of the invited coordinators from 2019 and 2020 single stage calls attended. Sessions were organised on Rural Policy (12/11), the EU-Africa partnership within the field of FNSSA (18/11), Multi-use maritime platforms (02/12) and on the Urban food system transformation (03/12). Two cluster events are planned for 2021 on 'Soil' (13/01) and 'Environmental observations' (with EASME: Jan-March). For some of these sessions invitations were extended to projects beyond SC2 and those starting in 2019 and 2020.
		Number of policy officers from parent DGs and other services participating in the cluster sessions		The cluster sessions were organised with input of the relevant Policy officers from the Parent DGs and the invitations were in some cases extended to Policy officers from other DGs. Overall, 2-4 Policy officers participated in each of the organised sessions including colleagues from DG AGRI, DG DEVCO and DG RTD.
PRM02	Kick off/review meeting with Policy Officers attending	Policy Officers informed in due time about kick off meetings Policy Officers informed in due time about review meetings and possibility of organising a dedicated policy session	✅	Policy officers were informed personally by project officers and or via the Project Info Table in SharePoint about the project meetings. 72 KOMs and 105 review meetings took place in 2020. Policy officers participated in half of those meetings and provided a presentation in most cases; for 36 RMs (35%) a dedicated policy feedback session was organized and policy officers from parent DGs (AGRI, RTD) and other policy DGs participated (e.g. DEFIS, ENV, JRC, MARE, MOVE, REGIO, SANTE). During the COVID-19 outbreak (mid March – Dec 2020), additional virtual project meetings took place such as dedicated webinars (see PRM09) and others project meetings (e.g. annual or General Assembly meetings), to which POs and policy officers were invited and mostly participated.
PRM03	Thematic cluster events linked to policy	Number, nature and details of meetings are defined bi-annually (during CDE WG meetings) Meetings are held as scheduled	✅	Cluster sessions were organised in connection with Coordinator's Day (PRM01). Some joint policy sessions were organised by project and /or policy officers (e.g. on organic farming, organic seeds, Xyllela, animal health, bio-based textiles) and several individual policy sessions (e.g. on social innovation, rural policies, policy modelling, Mediterranean sea and coastal zone, bioeconomy and regional development). Needs for cluster events were discussed at each SC2 CDE WG meeting. By end of 2020, no further specific request was provided to REA.B2.
PRM04	Innovation Radar	Number of projects assessed by independent experts	✅	By end of 2020, 43 innovations were assessed by the Innovation Radar methodology. During 2020, five projects were assessed by the Innovation Radar. Results are available in the IR dashboard to all interested services. In May, B2 updated its approach to assess all Innovation Actions with the Innovation Radar. Guidance material and training of project officers were organised.

Code	Action	Indicator + target	Status	Comments
PRM08	Project portfolio analysis for clustering	Parent DGs update clusters where appropriate, in consultation with REA	✅	Projects managed by B2 were thematically clustered by parent DGs in 2019. No update was provided in 2020. However, a clustering took place for the new projects in the frame of the Coordinator's Day preparation. In spring, B2 conducted internal workshops to discuss a possible clustering following the HE Intervention Areas. Following the later restructuring of HE WP according to 'destinations' some preliminary work was conducted by REA.B2 in autumn to link the ongoing H2020-SC2 projects with a HE Cluster 6 destination. In the frame of the WP drafting, focal points were allocated to each destination and work in groups per destination was organised to collect input on the various WP versions.
		REA provides project-level input on agreed 'priority' clusters		No request was received from parent DGs. B2 mapped projects to respond to specific RTD (E6, B6) requests, e.g.: Contribution to the AGILE request of RTD on COVID-19 related projects, ad hoc WG led by RTD.B6 for project portfolio analysis (Climate change/Horizon Results Platform).
PRM09	Participation in events /meetings with stakeholders	REA staff participates in key relevant events with stakeholders, coordinating with policy officers where appropriate	✅	Several projects organized final conferences and targeted online webinars (with EC and REA staff participating and partially contributing), which were assessed by policy DGs as highly effective in provision of feedback to policy. Few examples are workshop on oceans and seas, all-Atlantic Ocean Research forum, high level event on digitalization of EU agriculture, webinars on proteins, food system dynamics, packaging & circular economy, bioeconomy and regional development, smart specialisation, synergies between marine & maritime projects. Several B2 projects organised policy events during EU events, such as the EU Green Week with policy and project officers participating (e.g. on 'Innovative Contracts for Farmers and Nature' and 'Utilising the potential of grassland in the EU's circular economy'.)
PRM11	Overarching monitors (analysing multiple projects in the same field)	Number of projects/ number of clusters assessed by overarching monitors Number of "synthesis" report	✅	Not activated in this period. This activity is demand driven and no proposal was discussed between parent DGs and REA on potential projects / clusters requiring overarching monitors. Policy feedback provided through ORG01, PLD01, PRM02 and PRM03 has contributed to addressing the needs from Parent DGs.

Code	Action	Indicator + target	Status	Comments
COM02	REA-EC Communication activities	Number of communication activities implemented in line with targets defined in the SC2 CDE WG	✅	By end 2020: 45 projects and their results were covered in different R&I communication products: Horizon Magazine, Cordis Results in Brief, Cordis News articles and Research EU. Together with DG AGRI, REA.B2 worked on the preparation of three Cordis Results Packs on Plant Health (already published), rural innovation (ongoing) and soil (ongoing); 3 projects were showcased in Futuris videos; 5 articles were published on EUROPA on SC2 highlights (e.g. signature of new projects, EJP-SOIL launch, evaluation results); More than 100 twitter posts were published to promote project results, events or key news. REA.B2 projects have also been highlighted in other Cordis Results Packs and in several publications of the Parent DGs on important policy initiatives (e.g. Farm to Fork, Nature-based solutions). A number of new successful and promising projects have also been identified by POs and a consolidated information will be provided to REA COMM.
		Number of projects or speakers identified on request for events		B2 identified projects for the AAAs, EU Open Doors Day, EP - ESMH Summer School for young science journalists, R&I Days Science is Wonderful and other dedicated policy events (e.g. under PLD05). Projects were also suggested for several R&I and REA communication channels and tools (e.g. Horizon Magazine, Futuris, REA AAR, REA Brochure) or contacted to for other campaigns (#MyJobinResearch).

Inclusive, Innovative and Reflective Societies

	Policy Feedback Plan 2020 - scoreboard				
REA.B3 unit - Inclusive, Innovative and Reflective Societies			✅	on track	
			⚠️	delayed/to be improved	
			❌	not achievable	
Code	**Action**	**Indicator + target**	**Status**	**Comments**	
ORG 01	Single/Multiple Point of Contact for policy - dedicated person(s) in unit responsible for Policy Feedback	Appoint Single Points of Contact in REA for each Policy Thematic of Parent DGs Parent DGs to address global requests to that SPOC and ensure HoS is / are in copy of such requests Coordinating replies to ad hoc queries from Agile Network or from outside "Yes / No" assessment by REA on basis of tasks involved	✅	The HoS are contact points for the parent Units for global requests. In addition, specific topics clusters are also dedicated to POs who are in regular contact with the parent Units. One HoS coordinates all Policy Feedback activities.	
ORG 03	Shared calendars with key events	Regular maintenance and update of the shared calendar by REA and parent DGs. "Yes / No" assessment by REA on basis of tasks involved confirmed by partner DG	⚠️	1) A shared calendar has been created using the Outlook- Sharepoint functionality. 2) A method for populating the calendar was devised. 3) REA POs are regularly reminded to systematically fill in the information. 4) However, the regular update and the use of the information is currently limited. Instead a targeted alert and personal invitation of Policy Officers to events and other meetings has been proven as more effecient.	
ORG 04	Meetings REA-EC (e.g. PO2PO, WG)	Meetings between a REA staff and a representative from a Parent DG. They could include PO2PO, WG, cluster meetings, review meetings, Info days, NCP events, thematic events (policy related or not organized by the EC or not), and with other stakeholders. Minimum 15 meetings per year altogether involving parent DG (RTD and CNECT) and REA, of which: - 1 meeting per year organised at director level - Minimum 2 policy feedback seminars with parent units in Luxembourg - REA invited to minimum 1 unit meeting in RTD.E.4/E5 - 3 meetings per year organised at HoU level	✅	Two SC6 Directors' coordination VC meetings took place in June and November 2020. Other meeting examples: 1) REA B3 organised online semester workshops jointly with the parent Units [with CNECT H4 (16/11), RTD E5 (20/11), RTD E4 (30/11), CNECT G2 (06/01 and 03/12)] to report on running projects and to discuss policy feedback actions and state of play of current call. The semester workshops have laid down the basis in the respective areas for future joint actions and opened discussion on the future policy needs under HE. 2) REA B3 took part in the info session dedicated to the topics managed by REA B3 and in the moderation of the brokerage event on Area 10 of the Green Deal Call. 3) REA B3 and the parent Units in RTD and CNECT also participated in the online Italian info day for SC6 in H2020, organised by the Italian NCP APRE. 4) A REA.B.3 colleague gave a presentation at a working visit by the Dutch Ministry of Justice, together with colleagues from DG HOME, JRC and the EEAS as agreed with DG RTD.E.4. 5) Three colleagues from RTD finished their structured job shadowing programme in B3. One B3 colleague finished his training as job shadower in the parent Unit RTD E4. 6) Regular informal bilateral PO2PO meetings also took place over the year. 7) Three colleagues and the B3 blue book stagaire participated to the 7th meeting of the DCHE Expert Group (online) organised by DG CNECT G2.	

Code	Action	Indicator + target	Status	Comments
ORG 05	Organisation of Project Cluster meetings	Organisation of thematic events Targeting pressing topics of strategic importance and involving groups of projects Networking & knowledge sharing of projects and exploitation of synergies Minimum 2 project cluster meetings per year	✅	Examples of clusters are: 1) ICT and Migration Policy Roundtable with 6 projects represented. POs from several DGs, policy-makers, researchers, experts, public authorities and practitioners took part on 4 consecutive days. The final paper with relevant policy recommendations, mainstreamed in the Open Public Consultation on the integration and inclusion of migrants and people with a migrant background launched by DG HOME culminated in a White Paper. 2) The EURITO, Data4Impact and TRR projects presented the latest methodologies and results in R&I monitoring and evaluation at a cluster meeting. More than 70 participants attended the event, including representatives from 9 DGs , 4 EAs, IMI and the ECSEL JU. The CIC is considering to internalise the technology put forward by the projects.
ORG 10	List of Policy Officers/ Project Officers and Area of responsibility	Regular update of list of projects with corresponding responsible at REA and parent DG "Yes / No" assessment by REA on basis of tasks involved	✅	Updated lists of contact points have been end of 2020 following reorganisations and staff changes in the parent Units in RTD and CNECT.
PRM08	Project portfolio analysis for clustering	Update of the identified links and possible synergies; Identification of a leading PO for a specific cluster "Yes / No" assessment by REA on basis of tasks involved	✅	Thematic clustering has been implemented for several topics, the clusters are coordinated by dedicated project officers (and their back-ups).
PRM11	Overarching monitors (analysing multiple projects in the same field)	Agree on which projects / clusters require overarching monitor Minimum use of overarching monitors on 3 occasions per year *Note: overarching defined when same monitor used across different projects*	✅	Overarching monitors were used to assess projects of three thematic clusters clusters on Social inclusion and Migrant integration as well as for instance for two co-creation projects, INVITE and INdemand, as both were on open innovation.
EVL01	Contribution of EC to Expert briefing on Policy issues	High quality of expert briefings (aim: increase quality of evaluation on policy) Drafting of guidance documents on policy Presentation of policy aspects "Yes / No" assessment by REA on basis of tasks involved confirmed by partner DG	✅	In the 2020 calls, the parent Units fully contributed to the briefings. A dedicated briefing for the experts participating on the Lump sum evaluation pilot was organised at which two representatives from DG R&I responsible for the development of the Lump Sum evaluation explained the particularities of this modality.
EVL03	Panel meetings: EC Policy Officers invited as observer	Policy Officers can be invited to participate in the central evaluation, as observers. "Yes / No" assessment by REA on basis of tasks involved confirmed by partner DG	✅	Due to the Coronavirus outbreak the panels were organised fully remotely. As usual, the Policy Officers were invited to attend to the Video Conferences as Observers. The Policy Officers also had an Observer access to SEP during the remote evaluation phase (IER+CR), and could therefore follow the remote discussions in the comment box.
EVL04	Evaluation results and SWOT analysis presented to the EC parent Unit	Following completion of the evaluation process, the REA Call Coordination team shares the outcomes with the parent DGs who assesses them and takes them into account for the improvement of the next call and evaluation. "Yes / No" assessment by REA on basis of tasks involved confirmed by partner DG	⚠️	The Call Evaluation Reports were sent to the parent DGs. The last section in these reports includes experts' recommendations on the evaluation and on issues related to the WP, which could be better retained for potential improvements when drafting new topics. The Independent Observer Report is also annexed to these reports, and is also shared with the parent DGs. As a suggestion, a meeting to discuss the recommendations from the reports with the parent DGs could be useful to receive feedback.

Code	Action	Indicator + target	Status	Comments
PLD01	Contribution of agency to definition of Work Programme	Request for comments by EC for Horizon Europe. "Yes / No" assessment by REA on basis of tasks involved confirmed by partner DG	✓	A REA B3 PO provided input to the preparation of the cluster 2 for Horizon Europe. The PO was involved from the Strategic Planning until the final version of the first work programme Input was also provided to the preparation of the Green Deal call as requested by the parent Unit.
PLD04	Involvement in preparation of policy reports (P4P)	Active participation in P4P actions et al.; Collecting relevant information; Higher visibility of SC 6 results. "Yes / No" assessment by REA on basis of tasks involved	✓	B3 provided substantial input for the COVID-Portfolio analysis organised by the AN which run from 03-09/2020 and became a P4P pilot under the CIC HE F2P Approach and to the 'COVID Rolling Inventory' of DG RTD, which resulted in several SC6 projects (like COFFERS, InDICEs, etc.) being presented to the Cabinet. The Unit also did search to help gathering a list of projects under different topics like URBAN, Minimum Income, Vaccine Hesitancy or and migration and deliberative democracy. Other examples of policy input are e.g.: B3 contributed to the project validation as part of the analysis of the Covid-19 investment and its impact. A policy recommendation report drafted as a follow-up of a policy roundtable organised by the EULAC-FOCUS project has been recognised by DG DEVC. Policy recommendations made by projects of the call "ICT and Migration" on the integration and inclusion of migrants and people with a migrant have been taken up by DG Home.
SUPP01	Encouraging projects to target policy actors in the EC, MS, Rregional level.	1. Presentation/brief by coordinators at policy meetings, 2. Contribution of SC6 projects quoted in policy documents. *X. REA to regularly instruct projects from KOM onwards that REA and Parent DGs are informed of their contacts with the EC.* "Yes / No" assessment by REA on basis of tasks involved + minimum 1 session organised at the European Week of Regions and Cities.	✓	Examples are: 1) The GLOBUS project organised the policy dialogue "Reconsidering the EU's global role in a changing world order" at the European Parliament. The conference engaged in the topics of climate change, migration, development and conflict resolution. Several MEPs took part to the event. 2) Two projects participated in the 18th European Week of Regions and cities [Oct 2020]. Speakers from academia, civil society, European Parliament, OECD discussed e.g. on the access conditions of migrants to national labour markets and their integration in the EU.
SUPP03	Encouraging network between projects	Active encouragement of interlinkages and collaboration between projects. "Yes / No" assessment by REA on basis of tasks involved + min. 2 joint project actions.	✓	Due to the Coronavirus outbreak, some activities were postponed but the majority took place a planned but via VC. Several examples can be mentioned. 1) A cluster meeting on "Migration Governance" with seven projects managed by REA and RTD including a policy roundtable on external and internal governance, with the participation of 16 policymakers from 6 DGs. 2) A series of 4 joint online policy workshops organised for the four projects NADINE, MIICT, MICADO and REBUILD (ICT-enabled solutions) attracted the participation of colleagues from DG CNECT, DG HOME, DG RTD, and JRC . Project participants explored and establish initial synergies within the project cluster. 3) The Horizon 2020 projects GREASE and BRaVE and the ISF-P project BRIDGE organised the virtual joint workshop on Preventing Violent Extremism and Radicalisation:The projects produced different but complementary sets of indicators that can help to monitor and to assess how well different types of policies and practices are performing.

Code	Action	Indicator + target	Status	Comments
SUPP05	Policy Briefs, Policy Roundtables, Policy Webinars from Project, invitation to Stakeholders meetings	1. Integration of policy briefs and roundtables during GAP. 2. Discussion and exploitation on Pressing topics of strategic importance for parent Unit/EC during the policy roundtable. 3. Participation of EC staff and where needed a broad set of stakeholders: citizens, vendors (e.g. start-ups), service providers (e.g. public administrations), national/regional policy makers, international organisations. 4. Update of the policy briefs templates by the parent units. "Yes / No" assessment by REA on basis of tasks involved + minimum 70% of projects have Policy Brief as deliverable 2. Minimum 4 Policy Roundtables or Webinars.	✅	70% of GAPS including a policy brief as a deliverable or a Dissemination and Exploitation plan in which the policy brief has been integrated. Although the Coronavirus outbreak hampered the project implementation in several cases a good number of roundtables were organised via VC. Examples of policy roundtables are: 1) The IBA CSA call of the extension of the ENRICH network gives a good example. RTD Dir H, currently managing the CSAs, provided expert names and a briefing on the calls. They were included in the evaluation panel proceedings as observers. A joint meeting was initiated by REA.B3 after GAP conclusion in order to map the project situation, to identify the EU/EC counterparts and thereby breaking the ice for the collaboration at working-level with a first joint intervention at the kick-off meetings early 2021. 2) As a follow-up of the successful policy roundtable organised by the EULAC-FOCUS project, the consortium prepared a policy recommendations report which was disseminated to 5 DGs (RTD, DEVCO, EAC, CNECT and EEAS), 2 EAs (EACEA + ERCEA), the UN and UNESCO. 3) CNECT H4 and REA B3 prepared three consecutive Policy Webinars on "Digital Governments and COVID-19", "Digital Government and Data" on "Public Sector Innovation". Input for the policy to follow up on the eGovernment Action Plan 2016-2020. 4) REA.B.3 and DG R&I.E.4 hold a workshop in June on the state of the art of the research and future priorities in the field of cultural tourism with two SC6 projects. DG EAC and GROW also participated and compiled information for their activities. 5) REA.B3 continued its involvement in the Inter-Service Group Public Administration Quality & Innovation (IGPA). 6) The "InDemand" project presented its new model where Healthcare organizations and companies co-create Digital Health solutions, with the economic support of public regional funds. Participation from RTD, DIGIT, GROW, REFORM, REGIO, EASME, EU Parliament. 7) Online-training on CEF Building Blocks for Digital Government projects for SC6 project participants. Solutions offered by the CEF Building Blocks and how this could help the project were presented with the objective to create spill-overs, synergies, exploitation, cost-saving. Jointly organised by CNECT H4, DIGIT and REA B3.

Safeguarding Secure Society

Policy Feedback Plan 2020 - scoreboard				
REA.B4 unit - Safeguarding Secure Society		✅	on track	
		⚠️	delayed/to be improved	
		❌	not achievable	
Code	**Action**	**Indicator + target**	**Status**	**Comments**
PLD01	Involvement in the preparation of Work Programme 2021	REA to be involved in the preparation of the Work Programme 2021 to be adopted by the Commission in March 2021.	✅	1. Full involvement of REA B4 in the Workshops with the Member states that took place back to back with the PC Meetings and also in the internal meetings with other policy DGs. 2. Consultation of REA POs on the various topics in each area for the WP2021-2022 - PO2PO meetings. 3. Activity also linked to PLD07 (feedback to parent DGs on the WP implementation).
PLD02	Co-organisation of the Information Days for the Security Call 2020	Drafting of FAQs.	✅	1. FAQs drafted in relation to NCPs, Info Days, etc. in cooperation with both parent DGs, systematically done every year. 2. On the whole year, around 60 replies (around 40 up to June and another 20 after) to research enquiry requests have been prepared by REA B4 until the call closure - August.
PLD03	Co-organisation of the Information Days for the Security Call 2020	Coordination of the Information Day presentations REA-DG HOME-DG CNECT; parent DG in charge of policy aspects and REA in charge of implementation aspects.	✅	1. The Central Info Day for the Secure Societies Call 2020 was held remotely (March). Preparation of PowerPoint slide with audio uploaded online for access remotely given Covid19. 2.Activity linked to SUPP09 (Promoting professional approach for Communication, Dissemination and Exploitation)
PLD05	Facilitation of the participation of REA staff and managed projects to events organised by the parent DGs	Parent DGs regularly seek participation of REA staff and/or projects to their events.	✅	1. Preparation meetings for the Security Research Event (SRE) Conference in Bonn (Nov 2020). Selection of 29 REA B4 projects; invitations have been sent to coordinators. Cancellation (Autumn 2020) of the SRE in 2020 (Bonn) and in 2021 due to COVID19. 2. Participation of REA Staff and projects to the Community of Users remote events (led by DG HOME): CoU on Organised Crime 24 June / CoU on research data in FCT - Ethical and Legal clarifications on 16 June / CoU on Forensics and explosives 22 October / CoU on Involvement of practitioners 26 November / CoU DRS 15-17 September / CoU on Human and Societal Aspects of the pandemic and beyond / CoU CIP 5 October / CoU on Borders 13 October / CoU Radicalisation 12 November / CoU on Innovation to counter threats caused by UAS 10 November. Selection of projects in close collaboration with DG HOME (Linked to activity SUPP03). 3. Preparation meetings for INTERSCHUTZ (event cancelled - decision of cancellation taken in December). 4. All activities are linked to SUPP03 (Supporting networking among projects). 5. Attendance + virtual booth at R&I Days 22-24 September.
EVL01 - A	Collaboration on the choice of expert evaluators for the Call 2020	1. Receive suggestions of evaluators from parent DGs. 2. Identify PO REA and counterparts in parent DGs for each topic. 3. Seek approval of experts' list by parent DGs.	✅	1. Parent DGs have sent recommendations of evaluators (April-May exercise, yearly). 2. Each topic has been officially assigned a PO REA and counterpart in parent DG. PO2PO meetings have been organised for each area to discuss all topics between the parent DGs and REA. 3. The list of experts has been finalised and will be sent for approval to both parent DGs on 19 June.
EVL01 - B	Participation of the parent DGs in the central evaluation exercise run by REA in Brussels and expert briefings	Expert briefings: parent DGs invited to present policy background and priorities of the WP to the experts.	✅	1. Done systematically every year. 2. Evaluations entirely in remote setting from 5-31 October 2020. Policy backgrounds were presented every Mondays in Topic Briefings before the consensus meetings started.

Code	Action	Indicator + target	Status	Comments
EVL04 - C	Support provided to DG HOME for Security Scrutiny/EUCI related matters	Update of personal data and EUCI legislation and guidelines.	✅	Support provided to DG HOME and HR/DS concerning the drafting of the security rules for Horizon Europe and related programme security instructions (PSI). Set-up of a structured process for reporting security breaches and list of EUCI projects to HR/DS in full coordination with DG HOME. Action on-going.
EVL05	Regular reporting to the Programme Committee	1. General reporting at PC. 2. Specific reporting at PC regarding evaluation results. 3. Co-decision/co-organisation with parent DGs regarding the projects (& results) to be presented at PC. 4. REA contribution to the agenda.	✅	1. REA B4 reports regularly at each PC. 2. Evaluation results reported systematically in January PC (also linked to EVL04). 3. REA B4 is always consulted by parent DGs for the PC agenda.
SUPP01	Organisation of a yearly newly launched project event	A Kick-Off Meeting for new projects (Call 2018) has been organised on 31 January 2020, REA-led with both parent DG representation. Other relevant Policy units to be invited.	✅	1. Second edition of the kick-off seminar (P2PKOS) for all projects from the Security call 2019 is planned for 22-23 March 2021 in a full remote setting (postponed from January). 43 projects invited. High attendance from relevant DG representatives expected: last year DG HOME, DG CNECT, DG DEFIS, ECHO, ENER, MARE, MOVE, RTD, TAXUD, JRC, EUROPOL, CEPOL and FRONTEX. 2. Follow-up of action points from last P2PKOS in coordination with both REA POs and DG POs. 3. Activity linked to SUPP03 (Supporting networking among projects), ORG10 (Parent DGs to facilitate interactions at institutional level) and PRM03 (Thematic Cluster events linked to policy).
SUPP05 - A	Policy relevant information from projects	A template for Policy Briefs has been created in agreement with EC and REA and can be provided to beneficiaries.	✅	1. As suggested by REA B4 with a view to improve consistency in sharing projects' policy related results, DG HOME proposed a policy brief template. Feedback was provided to DG HOME and final version approved by DG HOME in June 2020. The agreed Policy Brief template has also been presented to DG CNECT. 2. The policy brief template was sent to some projects in December. Only one project, DRIVER+, submitted a completed policy brief with new template. 3. The Policy Brief template has been sent to the projects invited to the 2021 P2PKOS. Contribution is expected from these projects so that concrete assessment of this new Policy template can be assessed. It is expected that the filled template will be highly useful for the various policy DGs. 4. This activity supports projects as well as REA PF activities such as PLD04, ORG05 and PRM03.
SUPP05 - B	Policy relevant information from projects	During the lifetime of projects, REA POs suggest to the most relevant projects to draft (joint) white papers including key conclusions or even policy recommendations.	✅	1. Four policy briefs have been sent to DG HOME, produced by projects LIQUEFACT, PERICLES, microMole and DRIVER+ (for this latter with new template). 2. One white paper was shared with DG CNECT from project FutureTrust (March). 3. The Europrivacy (www.europrivacy.org) certification scheme on compliance with the GDPR has been developed through the input of PRIVACY Flag.
PRM02	Project reviews and workshops	Counterpart DG POs from relevant topics to be invited to project Review Meetings.	✅	REA POs systematically invite their counterpart DG POs to the relevant policy part of the project Review Meetings. Regular attendance from parent DG POs.

Code	Action	Indicator + target	Status	Comments
PRM03	Project clustering, workshops and other events	Inform of and invite, as relevant, parent DG POs to project clustering and workshops.	✅	1. Workshop on impact assessment and risk models, projects TRESSPASS-PERSONA (topic BES), 27-28 February. 2. Clustering of 9 projects for securing critical infrastructure (DEFENDER, FINSEC, InfraStress, RESISTO, SAFECARE, SATIE, SecureGas, SPHINX, STOP-IT), 24-25 June. 3. Final conference of DRIVER+ project in Brussels (230 participants) with participation from DG HOME, DG ECHO, JRC, etc., 18-20 February. 4. SATIE: Awareness Event with the aim to showcase the innovations achieved and the current development of the cyber-physical toolbox. Over 60 relevant stakeholders represented; event followed by a restricted meeting with EC representatives from DG HOME, CNECT, DEFIS and EASA. 5. Safety4RAILS: presentation of objectives and expected results to concerned policy makers and other stakeholders in the domail of counter-terrorism, cybersecurity and railway security. Representatives from DG HOME, RTD, MOVE, ERA and Shift2RAIL (over 30 participants). 6. COMPASS2020 Webinar, VICTORIA final conference and PROACTIVE Mid-term Conference with participation from DG HOME + SAFECARE progress meeting with demos (both DG HOME and DG CNECT participated). 7. Invitation of over 20 coordinators from INFRA and DS projects to contribute to consultation for the roadmap towards the upcoming Critical Infrastructure Protection (CIP) Directive.
PRM07	Input from projects for EC communication/dissemination	REA B4 identifies potential/outstanding success stories and informs parent DGs accordingly. Different follow-up depending on the project and DG.	✅	1. Inventory of Success Stories shared with parent DGs via sharepoint as of January 2020, regularly updated, new success stories flagged immediately to both parent DGs when identified. Activity linked to ORG02. 2. New success stories identified in 2020: DiSiEM, COMPACT (DS), DRIVER+, beAWARE (DRS), TAKEDOWN (FCT), FORTIKA (DS), LETS-CROWD (FCT).
ORG01	Single Point of Contact for Policy Feedback	The PF contact point is tasked with PF-related activities in B4 (PFTF member) and is the Agile Network Correspondent.	✅	1. The PF contact point steers the coordination in B4 between the PF REA requests via the Agile Network and the relevant POs. 2. She represents the unit in the REA PFTF (REA NPO) and participates in PF-related meetings, activities & events as appropriate. Close cooperation with Communication. 3. Covid19 portfolio analysis: a total of 20 projects, 3 REA projects level 1, 16 projects REA B4 level 2 and 1 DG HOME project level 1. Covid19 PF activity: Paper from the Ministry of Interior, Firefighting department (Italy) related to several EU projects including IN-PREP and IDIRA, etc. showing the significant and positive impact of EU funding on emergency response in Italy during the covid-19 crisis, promoted by REA and HOME internally and externally (Linked to PRM07). On-going process. 4. Requests from DG HOME to REA's contribution to MEP questions and ad-hoc portofolio requests (eg: cooperation with Japan, SME participation, etc.) 5. Requests of portfolio analysis from DG RTD: Social Innovation and Green deal.
ORG02	Use of common dissemination channels	REA B4 has set up a common platform/Sharepoint space to share PF relevant documents such as white papers, success stories and mission reports.	✅	1. A dedicated Sharepoint workspace has been set up with each parent DG. 2. In addition, relevant data currently available via a common folder REA B4-HOME B4 on the O drive with DG HOME. 3. Inventory of Success Stories shared with parent DGs via sharepoint as of January 2020, regularly updated, new success stories flagged immediately to both parent DGs when identified. 4. Activity also linked to COM02 (REA-EC Communication Activities) and PRM07 (Input from projects for EC communication/dissemination).
ORG03	Project reviews and workshops	Include all Review Meetings and projects' demos in a shared calendar.	✅	All Review Meetings and demos (as well as other relevant events) are inserted in the common calendar of the Functional Mail Box REA B4 EVENTS (access granted to DG HOME and DG CNECT) and the Sharepoint calendar.

Code	Action	Indicator + target	Status	Comments
ORG04	Regular and ad hoc bilateral meetings to update and fine tune policy feedback actions at HoS and HoU/dHoU level	1. Coordination meetings REA-DG CNECT to be set every 2 months to update and fine tune policy feedback actions. 2. Coordination meetings REA-DG HOME to be set every quarter to update and fine tune policy feedback actions.	✔	1. REA-CNECT coordination meetings on 13 January, 25 March, 25 May, 14 September and 14 December, with agreed agenda. 2. REA-HOME coordination meeting on 6 May, with agreed agenda. 3. SC7 Coordination meeting on 19 June and 2 December.
ORG05	Regular meetings by thematic areas (FCT, DRS, BES, DS, CIP/INFRA)	1. Define the REA Thematic Contact Points (TA CP) and their counterpart in the parent DGs. 2. Meetings by thematic areas to be set every 2 months. 3. Draft minutes of the meetings and share them with the parent DG.	✔	1. Four REA TA CPs have been defined for DG HOME (FCT, DRS, BES, CIP/INFRA) and one for DG CNECT (DS), in charge of channelling communication. 2. Meetings FCT, DRS, BES and CIP/INFRA have been held as planned (or event more often). 3. Minutes drafted and shared with parent DGs. 4. Thematic area meetings with DG CNECT currently merged with Coordination Meeting at HoS/dHoU/HoU level (See ORG04 below). 5. Activities linked to ORG08 (Coordination meetings PO2PO).
ORG09	Regular meetings by thematic areas (FCT, DRS, BES, DS, CIP/INFRA)	1. Parent DGs to feed REA with their needs/latest policy developments and updates. 2. Informal ad-hoc discussions PO/PO as relevant. 3. Attendance and input of REA B4 at meetings and workshops organised by parent DGs on pre-defined topics.	✔	1. All policy needs/updates discussed during meetings. 2. Input from parent DG POs on policy background for project Kick Off Meetings. 3. Regular informal discussions with DG POs (linked to COM01 - Informal REA-EC activities and discussions). 4. Internal meeting and workshop on radicalisation (REA, DG HOME, DG RTD and ISF): 14 January, 22 June and 3 July 5. Activities linked to PRM08 (Clustering of project portfolio) and PLD07 (Feedback to parent DGs on Work Programme implementation).
ORG14	Job shadowing	Learning and development activity to better understand the specific roles and tasks of both Policy and Project Officers.	✔	One job shadowing with the scheme REA - DG RTD (colleague from Unit AB6 - Common Data and Knowledge Management), from November 2019-May 2020.
ORG15	Co-organisation of the Information Days for the Security Call 2020	Interaction with NCPs, REA B4 sometimes delegated to go to national info days on behalf of parent DG and vice-versa with appropriate briefing, REA Call Co presentations at the NCP Info Day in Brussels.	✖	Done yearly; this year cancelled because of Covid19
ORG16	Revision of POs job responsibilities	Improving description of POs' roles and responsibilities related to PF.	✔	REA B4 single contact point (ORG01) contributes in the PF TF to the on-going work related to improving POs' job description related to their involvement in PF activities (eg. contributions to F2P) .
ORG17	Use of common dissemination channels	Develop a 'reporting tool' (SYNOPSIS) with full project information relevant for COM and policy feedback, accessible to both parent DGs.	✔	1. The current final version of the SYNOPSIS reporting tool has been made available on the Sharepoint workspace for both parent DGs on 30 September as planned. We are expecting feedback from both parent DGs regarding its use and related improvements before next iteration. It is already in use by HOME policy officers and REA for some requests e.g. Covid 19 portfolio analysis, etc. 2. Next update planned for end of January - EU survey to be sent to the projects. Next update to be made available to parent DGs by end of March 2021. 3. Linked to IT02 (Use of relevant corporate tools), PRM07 (Input from projects for EC communication/dissemination) for ex. for success stories and ORG02 (Use of common dissemination channels)..
COM03	Regular and ad hoc bilateral meetings to update and fine tune policy feedback actions at HoS and HoU/dHoU level	Unit PF plan, actions and implementation discussed and promoted during the meetings.	✔	Systematic discussion on Unit PF plan, actions and implementation.

Spreading Excellence, Widening Participation

Policy Feedback Plan 2020 - scoreboard

REA.B5 unit - Spreading Excellence and, Widening Participation		✅ on track		
		⚠️ delayed/to be improved		
		❌ not achievable		

Code	Action	Indicator + target	Status	Comments
SUPP01	Encouraging projects to have an interface with policy DGs	Attendance of policy officers at events - continuous

Policy uptake in project related presentations/ discussions - continuous | ✅ | During 2020 Policy Officers attended kick-off meetings, several reviews, although since March 2020 due to Covid-19 most of the reviews/ kick-offs have been organised remotely. Project Officers are always encouraged to invited Policy Officers to these events and this has been done systematically. Preliminary schedules of kick-off meetings and reviews are indicated in the shared callendar, on the REA-RTD shared drive. |
| SUPP04 | Joint projects recommendations | REA B5 Brainstorming Paper: "Brainstorming on Future Widening Actions in Horizon Europe: Contribution from REA B5"
Twinning policy report - indirect impact for beneficiaries
Semi-structured questionnaires for Twinning 2017 Call and ERA Chair 2017 Call - indirect impact for beneficiaries | ✅ | This activity aims at supporting our beneficiaries by taking into account their opinion as contribution to programming activities and policy development. Prelimary results from Twinning (2017 Call) and ERA Chair (2017 Call) have been presented to RTD Policy Officers in the PO2PO meetings on 25/06 and 22/10. The Policy Feedback Reports reflecting are in preparation and will be finalised in early 2021. |
| ORG 01 | Single/Multiple Point of Contact for policy - dedicated person(s) in unit responsible for Policy Feedback | Organisation and Coordination of PF work in the Unit (e.g.PO2PO collaboration, policy feedback reports, invitation to policy meetings etc.)
PFTF activities
D&E Net activities | ✅ | 1) REA B5 Unit has Policy Feedback Coordinator (Agne DOBRANSKYTE-NISKOTA) responsible for developing PF activities in close collaboration with the partner DG RTD. This main contact person is strongly supported by the DHoU (Federica ROFFI) and Head of Sectors (Patricio ORTIZ DE LA TORRE and Deirdre FURLONG) and by Project Officer (Soraya IMPENS) who's horizontal task is linked to PF activities. This includes coordination of activities such as PO2PO collaboration, policy feedback reports, invitation to policy meetings etc. 2) on a wider scale B5 PF Coordinator contributes to REA Policy Feedback Task Force (back-up of PFTF Chair Paloma MARTIN for PF Communication activities). In 2020 major contribution was in relation to eficiency gains exercise (REA B5 PF Coo chaired the WG1 sub-group on Data Sphere Scenario). |
| ORG 02 | Shared folders/common IT platform with project-related information | Use of subfolders (updating project related information, including the reports, policy events, fact sheets, WP/ FAQ, success stories) | ✅ | REA B5 and its mirror unit in RTD have a common shared drive with all the information which is regularly shared betweeen them. \\net1\ci\Public\REA.B5.RTD.G1 |
| ORG 03 | Shared calendars with key events | Update of all relevant information: Calendar linked to projects
Update of all relevant information: Events/ Policy Info. | ✅ | The calendar file exists for SEWP (\\net1\ci\Public\REA.B5.RTD.G1) and discussions should take place in 2021 on the usefulness of this calendar and how it can be enhanced. The possibility of using SharePoint callendar in the future will be discussed. |
ORG 04	Meetings REA-EC	Ad-hoc meetings to discuss preparation for PO2PO meetings, for Coordinators briefings, NCP events preparations, discussions on PF plans etc.	✅	REA B5 presents PF related work in biannual RTD-REA Director's Meetings. Ad hoc meetings with RTD colleagues are organised on various topics (WP, evaluations related, PF related etc.).
ORG 07	Feedback from parent DGs on feedback provided	DG RTD to inform REA B5 on the extent to which the PF was reflected in the implementation of their activities	✅	The template for Survey on PF for RTD has been prepared in September/ October 2020 and the EU Survey for RTD G1 colleagues has been published in November 2020. 11 answers from RTD Widening unit have been received. The answers have been reviewed and the results will be presented for REA B5 unit in January 2021.
ORG08	Coordination meetings/ PO2PO	Exchange of key information on key PF activities - continuous/ Exchange information on evaluations, experts, monitoring of projects, WP etc. - 1/2 per year	✅	In 2020 three PO2PO meetings have been organized: 1) 25th of June on Twinning 2) 1st of October on Teaming and 3) 22nd of October on ERA Chair. For the occasion of Twinning PO2PO meeting Twinning Harmonization Paper has been developed and the preliminary results from Twinning (Call 2017) Survey have been presented. For ERA Chair PO2PO meeting ERA Chair Harmonization Paper has been prepared and preliminary results from ERA Chair Survey have been presented in the meeting to RTD colleagues. For Teaming PO2PO Meeting the first draft of Teaming Phase 2 Survey has been presented which served as a good base for brainstorming discussion. In addition, monthly management meetings are organised between RTD G1 and REA B5 for discussing relevant policy/implementation issues.

Code	Action	Indicator + target	Status	Comments
ORG 11	Appointment of programme knowledge manager(s) in each REA unit	Work on project portfolio analysis performed by dedicated Project Officer	✅	REA B5 has dedicated project officer Wilco GRAAFMANS working on project portfolio analysis (clustering activities), supported by PF Co and D&E represenytatives of the unit. In 2020 SEWP project portfolio analysis according to thematic taxonomy (FET-OPEN descriptors) has been finalised clustering Widening (Teaming, Twinning and ERA Chair) projects into 22 scientific fields. Text mining activities have been carried out using CORTEX tool to cluster SEWP projects per HE missions. All the clustering results are in the final analysis stage and will be presented to DG RTD G1 on 26th of January 2020.
ORG 15	Interactions with NCPs	Number of events, participation of REA B5	✅	Upon the request from NCP Widenet REA B5 contributed to preparation of Widening related introduction featuring successful projects and key statistics. In addition, as requested by NCP Widnet REA B5 prepared an article on Covid-19 related activities on 13 SEWP projects.
COM 02	REA-EC Communication activities	Production of communication material related to projects	✅	In 2020 REA B5 produced numerous blogs in REA Intranet featuring SEWP projects. This has also included active involvment/ participation of REA B5 in 2020 R&I Days. In addition, REA B5 has developed Countrypedia document, which is a compilation of 33 successful SEWP projects and includes all key information and impact in relation to these projects. This was used by DG RTD for creation of their Countrypedia tool/ page.
IT 02	use of relevant corporate tools	Continous use: Agile Network / Using ARCGiS tool for Programme Committee slides Using ARCGiS tool for mapping the flows (ERA Chairs) Clustering (project portfolio analysis) activities using IRIS tool / Use of Dashbaord tool for various presentations	✅	In 2020 we had an Agile Network request on REA projects having COVID-19 activities . This work for REA B5 has been done using CORTEX (former IRIS) tool, information was extracted in collaboration with colleagues from REA PFTF. Moreover, CORTEX is continuosly used by REA B5 for textmining in clustering activities (for the work on HE missions). REA B5 uses Dashboard tool as well to produce numerous presentations/ visuals.
IT 03	Use of in-house tools	Using Twitter tool for impact analysis - continuous	✅	ARCGis tool was used for preparing certain maps for Programme Committee slidesas wel as for mapping of ERA Chair flows, however in 2020 it was not used as much as in previous years - there is a limitation in relation to ARCGis licences and as Data Intelligence Task Force suggested a more flexible approach which encourages the use of other tols (e.g. Dashboard, QGIS) in combination with ARCGis. Analysis by REA Twitter tool is also not continued by Data Intelligence Task Force, however REA B5 has prepared summary analysis unsing this tool and reflects upon the use of this tool/ data in the future.
PLD01	Involvement in the drafting of Work Programme	Provided input on draft WP when consulted by parent DG	✅	The Work Programme is prepared by RTD G1 Unit, however REA provides input based on evaluations, reviews, survey analysis. In 2019 REA B5 has prepared as report on ''Brainstorming on Future Widening Actions in Horizon Europe: Contribution from REA B5'' which served as an important contribution for drafting Widening Work Programme for HE. In 2020, REA B5 has an opprtunity to provide comments on the draft of HE Work Programme.
PLD02	Contribution to Drafting of technical FAQs	Discussion during meetings with partner DGs Contribution with documents/ information towards partner DG RTD G1	✅	SEWP Call Coordinators are contributing to the updates of FAQ. FAQs and their yearly updates are accessible in our shared REA- RTD drive.
PLD03	Participation/Organisation of Info Days	Collaborative activity of RTD and REA. If one takes the lead, the other has active participation.	✅	In 2020, the classical Widening Days have been replaced by the event of R&I Days. SEWP project coordinators were invited to participate and several virtual dedicated sessions on Widening have been organised managed by our RTD G1 colleagues.
PLD04	Involvement in preparation of policy reports	Quality reports addressing critical questions in terms of ERA Chairs Quality reports addressing critical questions in terms of Twinning Quality reports addressing critical questions in terms of Teaming	✅	In 2020 three documents on Harminisation practices for Teaing, Twinning and ERA Chairs have been prepared/ updated. Two Policy Feedback reports, namely: on Twinnig 2017 Call and ERA Chairs 2017 Call are in preparation - preliminary results have been analysed and presented to RTD during the dedicated PO2PO meetings in 2020.
PLD07	Feedback to parent DGs on the Work Programme implementation	Preparation of info packages (summary points from debriefings, panel reports etc.). Production of country fact sheets Preparation of internal policy briefs (country based information	✅	1) Feedback to RTD has been provided by REA Call Coordinators after the Twinning, ERA Chair in 2020 (i.e.Call Evaluation Reports) 2) Country fact sheets have been continuosly updated depending on the RTD requests 3) Contributions to policy briefs for country visits of RTD representatives have been regularly provided for numerous countries. 4) Data on Complimentary funding in Teaming 2 projects has been revised and provided to RTD as requested.

Code	Action	Indicator + target	Status	Comments
EVL01	Expert briefing: presentation of policy aspects by the EC	Quality of slides Quality of recording easily accessible to experts	✅	1) REA B5 Call Coordinators ensured that briefing slides are of highest quality and are correctly reflecting the key points highlighted in SEWP Work Programme 2018-2020. 2) Recording for SEWP Calls was done by Call Coordinator, REA B5 management and RTD policy officers for the evaluations of 2020.
EVL02	Drafting of Guidance documents for experts and/or applicants	Improved briefing material (guides, checklists, slides)	✅	REA Call Coordination have prepared the informative slides for experts/ applicants for Twinnning and ERA Chair evaluations of 2020 Call.
EVL03	Panel/ consensus meeting: the EC acting as observer	Invitation to panel meetings	✅	In 2020 ERA Chair, Twinning Call evaluations RTD G1 took part in the final panel meetings.
EVL04	Evaluation results and conclusion/remarks presented to the EC	Production of the panel report/ slides	✅	After each Evaluation session Call Coordinators prepare the Call Evaluation Report and share this information with DG RTD. This report serves as a base for preparation of Programme Committee slides. This information was finalised and provided to DG RTD in February/ March 2020.
EVL05	Preparation to Programme Committee and/or Advisory Groups	Programme Committee Slides Invitation to PC meetings to answer technical questions	✅	1) REA B5 has developed a universal template used for Programme Commitee meetings for all SEWP calls. 2) HoU/DHoU/HoS/Call Coordinators participate in the Programme Commitee meetings where RTD presents the main slides and REA representatives support them providing answers to technical questions. Due to Covid-19 related situation, Programme Commitee meeting was postponed to autumn 2020.
GAP01	Cross-cutting issues in the Grant Preparation Report	Some markers are predefined by EC and others are flagged by Pos	✅	During the GAP project officers were invited to refer to the project DoAs and to identify the cross-cutting issues in the Grant Preparation Report (GPR). REA B5 Head of Sectors have prepared guidance document which helped POs to correctly identify cross-cutting issues for SEWP proposals in the GPR. GAPs for Twinning and ERA Chair Calls were finalised in 2020 and crosscutting issues have been identified by POs.
PRM01	Coordinators Day linked to specific programme	All coordinators from Teaming-1, ERA Chairs and Twinning Actions are invited to Brussels for a 1-day Coordinators Day	✅	In 2020 REA B5 has organised Coordinators' Days for 2020 Call Twinning and ERA Chair projects and RTD supported this activity with their presentations. Due to COVID-19 related pandemic all the Coordinators' Days in 2020 have been organised virtually.
PRM02	Kick off/review meeting with policy officers attending	Policy Officers regulary invited	✅	The PF reporting period of 01/2020 -12/2020 included several kick-off and review meetings where policy officers were invited to attend and share the information from a policy perspective.
PRM03	Thematic cluster events linked to policy	Thematic Events events are organised by DG RTD in collaboration with REA B5 (Widening days: for Twining, Teaming Actions, thematic and policy events if applicable)	✅	1) Clustering analysis of REA B5 has been advancing and all the data was prepared in December 2020. Presentation on project portfolio analysis is envisaged for DG RTD for 26th of December and first Widening cluster event is planned for spring/ summer 2020. 2) in 2020 Widening Days took place in the form of R&I Days and SEWP coordinators were invitaed to participate where several sessions were dedicated to Widening. Widening Dyas are currently considered as thematic events linked to policy for SEWP programmes.
PRM07	Input from projects for EC communication/dissemination	Selection of projects/ success stories (number); Preparation of material for publication; Analysis of exploitable results REA B5 input for Twitter analysis	✅	1) Colombe WARIN as REA B5 representative for Communication activities on a continous basis is collecting project success stories from POs which are then further transmitted to DG RTD. Success stories are selected following certain criteria/ justifications provided by POs. In 2020 upon request of RTD, REA B5 prepared a compilation of success stories called Countrypedia featuring 33 SEWP projects. 2) D&E team in REA B5 has been reinforced in 2020 - active work took place in 2020 as a result developing D&E dedicated survey, guidelined for POs on D&E and input to REA B5 Impact Paper (planned for 2021). 3) Twitter accounts of SEWP projects have been collected and analysis has been finalised. Upon the decision of Data Intelligence Task Force, this activity is not further continued in REA.
PRM08	Project portfolio analysis for clustering	Further analysis of project portfolios in order to identify a meaningful structure of clusters; to identify the emerging themes/ scientific hubs evolving from Widening projects.	✅	This activity in REA B5 is conducted by Wilco GRAAFMANS and in 2020 the clustering work has been supported by D&E represenytative and PF Coo. A preliminary analysis of SEWP portfolio has been done by grouping all the projects into the scientific themes (using FET-OPEN descriptors) and CORTEX tool was used for textmining to identify the SEWP project clusters into 5 Horizon Europe Missions. Results to be presented to DG RTD in January 2021.

Science with and for Society

Policy Feedback Plan 2020 - scoreboard

REA.B5 unit -Science with and for Society			✅	on track
			🟠	delayed/to be improved
			❌	not achievable

Code	Action	Indicator + target	Status	Comments
SUPP01	Encouraging projects to have an interface with policy DGs	Attendance of policy officers at events, reviews, KOs;	✅	Policy officers attended many of the review meetings which was facilitated by the online format in view of COVID. All project kick-offs, reviews and other project-related events are recorded in the REA B5-DG RTD shared calendar. In addition, REA POs systematically invite policy officers to these events.
SUPP03	Supporting networking among projects	Exchange of information & best practices notably during Cluster Events	✅	On 4 March 2020, DG R&I's Gender Sector together with REA.B5 held a co-creative brainstorming at Covent Garden on 'Fostering institutional change through Gender Equality Plans' which was opened by Director General Jean-Eric Paquet. The workshop brought together practitioners, project coordinators and experts on gender equality in R&I organisations, to discuss how to ensure sustainable and impactful change within institutions through gender equality plans, and how to improve and strengthen this approach in Horizon Europe. It helped confirm that the upgrading of ambitions for gender equality under the next Framework Programme was very much in line with stakeholders' expectations.
SUPP04	Joint projects recommendations	Cluster Event Policy Report from Cluster Event	✅	DG R&I Gender Sector, commissioned an expert to draft the report on the cluster event described under SUPP03. See SwafS Achievements report below PLD04
SUPP05	Policy-Relevant Information from projects like 'Policy Rounds', 'Policy Papers' and external 'Policy Briefs'	Depending on the specific topic/project, policy briefs are produced as project deliverables (in SyGMa)..	✅	For the 2019 projects, policy briefs have been included as a mandatory deliverable at the end of each reporting period. In January 2020, a template for policy briefs was established for each of the respective themes in collaboration with the policy officers. At the end of 2020, an institutional changes data gathering exercise was launched among all SwafS projects.
ORG 01	Single/Multiple Point of Contact for policy - dedicated person(s) in unit responsible for Policy Feedback	Organisation and Coordination of PF work in the Unit (e.g.PO2PO collaboration, policy feedback reports, invitation to policy meetings etc.),	✅	Niamh DELANEY is the Policy Feedback Coordinator for SwafS and is strongly supported by the DHoU (Federica ROFFI), Head of Sector (Deirdre FURLONG) and by Project Officer (Raluca IAGHER) whose horizontal task is linked to PF activities. Niamh DELANEY is a member of REA Policy Feedback Task Force Chair. In 2020, the main contribution was in relation to the efficiency gains exercise.

Code	Action	Indicator + target	Status	Comments
ORG 02	Shared folders/common IT platform with project-related information	Latest documents available in subfolders	✅	REA B5 and partner units in RTD have a common shared drive where final versions of documents are saved and used for joint-collaboration on files: O:\REA.B5.RTD.G2
ORG 03	Shared calendars with key events	Update of all relavant information in calendar	✅	REA.B5 Project Officers actively ensure the calendar is updated with key project events. In 2021, its enhancement and exploitation will be assessed.
ORG 04	Meetings REA-EC	PO2PO meetings	✅	REA B5 presents PF related work in the biannual RTD-REA Director's Meetings. Ad hoc meetings with RTD colleagues are organised on various topics. PO2PO meetings would normally be held in the Autumn. However, given the upcoming organisational changes with many new team members to join both REA and RTD teams, it was agreed by both services to forego the Autumn round until Spring 2021 when new staff would be in place.
ORG 05	Thematic cluster encounters with parent/ policy DGs	Cluster Event\n\nPolicy Report from Cluster Event	✅	As mentioned under SUPP03, the Gender cluster event was held in March 2020.
ORG07	Feedback from parent DGs on feedback provided	DG RTD to inform REA B5 on the extent to which the PF was reflected in the implementation of their activities	✅	All RTD counterparts collaborating with REA.B5 on SwafS were invited to partake in an online survey in December. 10 respondents partook corresponding to a response rate of 43%. The results will be analysed in January 2021.
ORG 08	Coordination meetings/ PO2PO	Exchange of information on key PF activities/ Exchange information (evaluations, experts, monitoring of projects, WP etc.)	✅	REA.B5 and RTD.G2 management met on a monthly basis to discuss programme implementation matters and PF was systematically included in the agenda.\n\nSee ORG04 for comment on PO2PO meetings.
COM02	REA-EC Communication Activities	DG RTD is encouraged to keep REA updated on relevant policy matters (events, Horizon Europe updates etc.)	✅	In 2020, a total of 5 news alerts on SwafS activities were published on REA Intranet, for example on the occasion of World Children's Day the project CoM_n_Play-Science featured.\n\nRTD consulted with REA.B5 on various briefings including cabinet notes.
IT02	Use of relevant corporate tools	Agile Network\nClustering activities using IRIS tool/ Using ARCGiS tool for Programme Committee slides/Using Dashboard for various presentations	✅	In 2020, we had an Agile Network request on REA projects with COVID-19 activities. Corporate tools were used for preparing the maps for the Programme Committee slides for the results of the SwafS evaluations.
IT03	Use of in-house tools	REA Twitter tool to assess impact of projects	✅	REA Data Intelligence Task Force advised against continuing with REA Twitter tool.

Code	Action	Indicator + target	Status	Comments
PLD01	Involvement in drafting of Work Programme	Provided input on draft WP when consulted by parent DG	✓	In Autumn 2020, REA.B5 provided several rounds of feedback on draft versions of the Work Programme and partook in a brainstorming meeting with RTD.G2 colleagues coordinating the 'strengthening the European Research Area' part of the Work Programme.
PLD02	Drafting of FAQs	In preparation for call opening FAQs are prepared jointly by RTD-REA	✓	REA.B5 Call Coordinators prepared FAQs in collaboration with RTD and these are published on the Portal.
PLD03	Participation/Organisation of Info Days/NCP Events	Collaborative activity of DG RTD and REA. RTD takes the lead, REA presents evaluation & project portfolio	✓	For the calls H2020-IBA-SwafS-Support-1-2020 and 2-2020, a dedicated Info Day session was organised prior to opening access to the submission tool. The Info Day session addressed questions from applicants on the Work Programme and the use of a special funding scheme (Lump Sum option II) which was a feature of this pilot.
PLD04	Involvement in preparation of policy reports	Quality reports addressing critical questions in terms of SwafS themes	✓	**In July 2020, a report on the SwafS achievements and recommendations for Horizon Europe was published together with 8 individual publications on the respective SwafS themes based on the individual chapters. The report was tweeted by the Commissioner and Director-General.** Citizen Science project portfolio analysis report on four projects in the context of their first periodic review. Report was drafted by expert contracted for the review of two out of the four projects on the basis of outline agreed with polilcy officer. The expert carried out an in-depth, transversal analysis of the selected project portfolio. This was the first report of its kind produced for SwafS. All thematic fact-sheets updated for SwafS to include the projects funded under the SwafS-2020 call.
EVL01	Expert briefing: presentation of policy context by EC	Quality of briefing / easily comprehended by experts	✓	REA.B5 Call Coordinator ensures that briefing slides are of highest quality and are correctly reflecting the key points highlighted in SwafS Work Programme 2018-2020. Recording for SwafS calls was organised by Call Coordinator, REA.B5 management and RTD policy officers for the evaluations of 2020. For SwafS 2020 calls, policy briefing recordings of RTD policy officer presenting their topic were published on the Funding Portal for applicants. These briefings form part of the topic specific briefing for experts. For each topic an interactive session with the experts and respective RTD Policy Officer was organised before consensus discussions commenced.

Code	Action	Indicator + target	Status	Comments
EVL02	Drafting of Guidance documents for experts	High quality briefing material customised for each topic	✅	Tailored briefings for each topic to ensure that experts consider evaluation criteria in relation to Work Programme requirements (recording, slides and assessment grid for each topic). For the calls H2020-IBA-SwafS-Support-1-2020 and 2-2020, the Guidance document was prepared by REA Call Coordinator in collaboration with DG-RTD. Based on the recording of the Info Day session described in PLD03, a Q&A document was co-elaborated by the REA Call Coordinator and DG-RTD, which was shared with all identified beneficiaries before call closure.
EVL03	Panel meeting: the EC acting as observer	Invitation to panel meetings	✅	RTD policy officers were invited to panel meetings of their topic during 2020 evaluations. For SwafS-2019-2 in particular, there was an extensive feedback session from the experts to RTD's Policy Officer.
EVL04	Evaluation results and conclusion/remarks presented to the EC	Production of the the Call Evaluation Report	✅	As part of the standard procedure, the Call Coordinators prepared the Call Evaluation Report for the SwafS 2019 stage-2 call and the SwafS-2020 single submission call.
EVL05	Reporting to Programme Committee and/or Advisory Groups	REA invited to PC meetings to present evaluation results/cluster events	✅	The results of the SwafS 2019 stage-2 call and the SwafS-2020 single submission call were presented by REA.B5 Call Coordinator to the PC in September 2020. Furthermore, a novelty this year was that the observers also made a presentation on their take of the evaluation.
GAP01	Cross-cutting issues in the Grant Preparation Report	Some markers are predefined by EC and others are flagged by Pos	✅	During the GAP, project officers flag the cross-cutting issues in the Grant Preparation Report (GPR) in accordance with the project's Description of Action.
PRM02	Kick off/review meeting with policy officers attending	Policy Officers systematically invited	✅	Policy officers actively partook in many of the review meetings taking place in Brussels. At the kick-off meetings in particular, it's an opportunity for policy officers to present the policy background. All the project kick-offs, reviews and other project-related events are recorded in the REA B5-DG RTD shared calendar. In addition, REA POs systematically inform policy officers of these events.

Code	Action	Indicator + target	Status	Comments
PRM07	Input from projects for EC communication/dissemination	Selection of projects/ success stories (number); Preparation of material for publication; Analysis of exploitable results REA B5 input for Twitter analysis	✔	Colombe WARIN as REA.B5 representative for Communication activities collects project success stories from POs which are then transmitted to DG RTD. The following projects were identified as success stories: Baltic Gender, Path2Integrity, SHERPA, EU-CitizenScience, STARBIOS, EQUAL-IST, GEECO DITOs has been taken as an example in the REA brochure. REA.B5 Communication Correspondent was actively involved in promoting 2020 R&I Days and also monitored the questions and answers in the session about the Citizen Science Green Deal call. ParCos was part of the suite of projects exhibited at the R&I Days. Path2Integrity project developed the 'Trust in Science' tool, one of the 117 winners of the EUvsVirus hackathon. Their tool is based on Path2Integrity's initial results and won in the category of Social and Political Cohesion, and in particular in mitigating the spread of fake news. The team was invited to the Matchathon to meet with end-users and investors, on 22-25 May. REA and RTD supported project's running two workshops in the EU Regions Week (thematic cluster area: empowering citizens) entitled "Citizen's Voices - Citizens' Knowledge" and "Citizens safeguarding the environment". Many SwafS projects partook in the online Citizen Engagement and Deliberative Democracy Festival (6-12 Dec), organised by the JRC. REA.B5 and RTD-G4 assisted in the organisation of the conference 'Knowledge for Change: A decade of Citizen Science (2020-2030) in support of the SDGs', held 14-15 October 2020. Twitter accounts of SwafS projects have been collected and analysis is in progress. Guidance on social media and how POs can support projects will be presented in a unit meeting in January.