



2016

Annual Activity Report

Annexes

**Executive Agency for
Small and Medium-
sized Enterprises
(EASME)**



ANNEXES

ANNEX 1: Statement of the Head of Department Finance and Administration

I declare that in accordance with the Commission's communication on clarification of the responsibilities of the key actors in the domain of internal audit and internal control in the Commission¹, I have reported my advice and recommendations to the Director on the overall state of internal control in the Executive Agency for Small and Medium-sized Enterprises.

I hereby certify that the information provided in Section 2 of the present AAR and in its annexes is, to the best of my knowledge, accurate and complete.

Brussels, 31 March 2017

e-signed

Gianluca Pecchi

¹ SEC(2003)59 of 21.01.2003.

ANNEX 2: Reporting – Human Resources, Better Regulation, Information Management and External Communication

➤ **Human resources**

The table below gives an overview of the performance indicators measuring the achievement of the objectives for HR, as specified in the 2016 Work Programme.

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.	
Indicator 1: Percentage of female representation in middle management	
Source of data: EASME/C2	
Target (2016) 50%	Result: 45%
Indicator 2: Percentage of staff who feel that the Commission cares about their well-being	
Source of data: Commission staff survey	
Target 50%	Result: 68%
Indicator 3: Staff engagement index	
Source of data: Commission staff survey	
Target 71%	Result: 70% (EC average: 65%)
Indicator 4: Percentage of posts filled by the end of 2016	
Source of data: EASME/C2	
Target 95% (= 415 posts filled)	Result: 95% (= 417 posts filled)

The percentage of women in management posts is below the set target as a number of posts for seconded officials remained unfilled by the end of 2016 due to the lengthy approval of process the reorganisation, which enters into force as of 1 January 2017.

The Agency got the very good results for well-being. The target was exceeded by 18%. On the remaining two KPIs the Agency performed as planned. Although, it was a drop of 1% on the staff engagement index (internal survey), the results of the commission's 2016 Staff engagement survey reveal that the Agency has a 70% Staff Engagement Score. This score is a key measure providing insights into the commitment and motivation of staff. Comparing the results of all the Executive Agencies, EASME occupies the first place together with ERCEA. Nevertheless, for 2017, the management supported by HR will put measures in place in order to keep the index at least at the same high level next year.

The following figures reflect the staffing situation by 31 December 2016.

OPERATIONAL STAFF	Staff (EU Budget)						
		TAs	Of which Seconded officials	CAs	SNEs	Total	Percentage
Programme - COSME							
COSME	GROW	14,26	3,37	65,69	N/A	79,96	19,17%
Subtotal		14,26	3,37	65,69	N/A	79,96	19,17%
Programme - H2020							
Innovation in SME's	GROW	2,18	0,34	7,51	N/A	9,69	2,32%
SME Instrument	AGRI	0,46	0,19	2,83		3,29	
	CNECT	2,56	1,06	15,70		18,26	
	ENER	0,70	0,29	4,29		4,99	
	GROW	0,51	0,21	3,10		3,61	
	HOME	0,29	0,12	1,77		2,06	
	MOVE	0,47	0,20	2,89		3,36	
	RTD	5,65	2,34	34,60		40,25	
	Sub-total	10,64	4,41	65,17	N/A	75,82	18,18%
Fast track to innovation	AGRI	0,05	0,02	0,31		0,36	
	CNECT	0,30	0,13	1,72		2,02	
	ENER	0,08	0,04	0,47		0,55	
	GROW	0,06	0,03	0,34		0,40	
	HOME	0,03	0,02	0,19		0,23	
	MOVE	0,05	0,02	0,32		0,37	
	RTD	0,65	0,30	3,79		4,44	
	Sub-total	1,23	0,56	7,14	N/A	8,37	2,01%
Energy – Secure, clean and efficient energy	ENER	6,40	1,83	22,62	N/A	29,02	6,96%
Energy – CIP Legacy	ENER	6,40	1,83	22,62	N/A	29,02	6,96%
LEIT (SILC II)	GROW	0,23	0,10	0,59	N/A	0,81	0,19%
Eco new	RTD	4,65	2,05	12,16	N/A	16,81	4,03%
Climate Action	GROW	1,46	0,68	4,00		5,46	
	RTD	5,90	2,73	16,13		22,03	
	Sub-total	7,36	3,41	20,13	N/A	27,49	6,59%
Raw Materials	GROW	0,48	0,21	1,25		1,73	
	RTD	1,94	0,85	5,04		6,99	
	Sub-total	2,43	1,07	6,30	N/A	8,72	2,09%
CIP Eco-I Legacy	ENV	2,14	0,50	8,26	N/A	10,40	2,49%
Subtotal		43,65	16,10	172,50	N/A	216,15	51,83%
Programme – LIFE							
LIFE	CLIMA	1,58	0,20	4,05		5,63	
	ENV	4,82	0,60	12,35		17,17	
Subtotal		6,40	0,79	16,40	N/A	22,80	5,47%
Programme – EMFF							
EMFF	MARE	7,50	3,24	18,90	N/A	26,41	6,33%
Subtotal		7,50	3,24	18,90	N/A	26,41	6,33%
Subtotal OPERATIONAL		71,82	23,50	273,49	N/A	345,31	82,81%

Management and Administrative Support	Staff (EU Budget)						
		TAs	Of which Seconded officials	CAs	SNEs	Total	Percentage
Programme - COSME							
COSME	GROW	4,61	0,52	11,26	N/A	15,86	3,80%
Subtotal		4,61	0,52	11,26	N/A	15,86	3,80%
Programme - H2020							
Innovation in SME's	GROW	0,69	0,03	1,54	N/A	2,23	0,53%
SME Instrument	AGRI	0,14	0,02	0,53		0,67	
	CNECT	0,79	0,10	2,93		3,73	
	ENER	0,22	0,03	0,80		1,02	
	GROW	0,16	0,02	0,58		0,74	
	HOME	0,09	0,01	0,33		0,42	
	MOVE	0,15	0,02	0,54		0,69	
	RTD	1,74	0,23	6,47		8,21	
	Sub-total	3,29	0,43	12,18	N/A	15,47	3,71%
Fast track to innovation	AGRI	0,02	0,00	0,06		0,08	
	CNECT	0,09	0,01	0,33		0,42	
	ENER	0,03	0,00	0,09		0,11	
	GROW	0,02	0,00	0,06		0,08	
	HOME	0,01	0,00	0,04		0,05	
	MOVE	0,02	0,00	0,06		0,08	
	RTD	0,21	0,03	0,72		0,93	
	Sub-total	0,39	0,05	1,36	N/A	1,74	0,42%
Energy – Secure, clean and efficient energy	ENER	1,92	0,18	4,00	N/A	5,92	1,42%
Energy – CIP Legacy	ENER	1,92	0,18	4,00	N/A	5,92	1,42%
LEIT (SILC II)	GROW	0,07	0,01	0,10	N/A	0,17	0,04%
Eco new	RTD	1,46	0,20	2,24	N/A	3,70	0,89%
Climate Action	GROW	0,48	0,07	0,73		1,21	
	RTD	1,96	0,27	2,94		4,89	
	Sub-total	2,44	0,33	3,66	N/A	6,10	1,46%
Raw Materials	GROW	0,15	0,02	0,22		0,37	
	RTD	0,61	0,08	0,88		1,49	
	Sub-total	0,76	0,10	1,09	N/A	1,86	0,44%
CIP Eco-I Legacy	ENV	1,02	0,08	1,58	N/A	2,60	0,62%
Subtotal		13,96	1,60	31,75	N/A	45,70	10,96%
Programme – LIFE							
LIFE	CLIMA	0,42	0,05	0,62		1,04	
	ENV	1,28	0,15	1,88		3,16	
Subtotal		1,70	0,20	2,50	N/A	4,20	1,01%
Programme – EMFF							
EMFF	MARE	1,91	0,18	4,00	N/A	5,92	1,42%
Subtotal		1,91	0,18	4,00	N/A	5,92	1,42%
Subtotal HORIZONTAL		22,18	2,50	49,51	N/A	71,68	17,19%
TOTAL STAFF		94,00	26,00	323,00	N/A	417,00	100,00%

Management and Administrative Support - Summary		TAs	Of which Seconded officials	CAs	SNEs	Total	Percentage
COSME		4,61	0,52	11,26	N/A	15,86	3,80%
H2020		13,96	1,60	31,75	N/A	45,70	10,96%
LIFE		1,70	0,20	2,50	N/A	4,20	1,01%
EMFF		1,91	0,18	4,00	N/A	5,92	1,42%
Sub-total		22,18	2,50	49,51	N/A	71,68	17,19%

Seconded Officials – "Frozen" posts in the Commission Establishment Plan

Parent DG	Number of posts frozen in 2016	Number of posts filled by 31/12/2016
DG CNECT	2	1
DG ENER	5	5
DG GROW	11	8
DG ENV	2	1
DG MARE	4	3
DG RTD	9	8
Total	33	26 *

Source: Specific financial statement accompanying the mandate extension which received a positive opinion of the CEA on 22.11.2013; Amending decision C(2014)6944 extending the mandate by the Fast Track Innovation pilot scheme

** The recruitment of 5 seconded officials was subject to the approval of the proposed new organigram of the Agency, which explains why none of the vacant seconded posts have been filled during the year.*

➤ **Information management**

The tables below show the results for the main document management and IT outputs:

Objective: Information and knowledge in the Agency is shared and reusable. Important documents are registered, filed and retrievable	
Indicator 1: Percentage of registered documents that are not filed (ratio)	
Source of data: Hermes-Ares-Nomcom (HAN) statistics, DG DIGIT	
Target	Result
0% (sent documents) 6% (received documents)	Average: 3.36%. (Source: SecGen) Detailed: 4.4% for sent documents and 2.5% for received documents. (Source: Ares) <i>There are important discrepancies between units (some reach the 0% target).</i>
Indicator 2: Percentage of HAN files readable/accessible by all units in the Agency	
Source of data: HAN statistics, DG DIGIT	
Target	Result
95 to 98%	98.30% (source: DG DIGIT)
Indicator 3: Number of newcomers trained on ARES	
Source of data: Syslog/DMO/EASME/C2	
Target	Result
80%	11%. The target is clearly not met. Despite regular communication to staff regarding

	E-domec and ARES training courses, few attend them. Nonetheless, informal training sessions were given to staff on an ad-hoc basis.
Indicator 4: existence of a documented strategy to harness knowledge of Agency's staff	
Source of data: EASME/C2	
Target	Result
Strategy ready by 30/06/2016	A draft strategy was finalised in December. The final strategy will be ready early 2017.

Main outputs in 2016:		
<i>Description</i>	<i>Target (date)</i>	<i>Result/ explanation</i>
Implementation of e-Order for DESIS Framework Contracts	1/4/2016	Done in December after fixing number of technical issues with DIGIT.
Increase the use of "e-signatory only"	1/6/2016 (for a first evaluation)	In the framework of the task force on simplification, a number of workflows have been made paperless
Send paper documents to historical archives following SecGen recommendations	1/9/2016	Done
Adapt the filing plan to potential reorganisation	3 months after reorganisation	Reorganisation postponed to 01.2017

Regarding IT, support that was provided to the operational units, the main focus lied on the following:

- SME Instrument: CaseTracker and CaseMatch tools were repatriated from CoachComm2020 and internalised the maintenance. The hosting was moved to the new DIGIT cloud solution. The project "Interactive Platform" for Phase-III support was started in September with the analysis phase. In 2016 important improvements and maintenance tasks of existing the SMEi tools (Casetracker) took place according to plan. As a result, a complementary project that will run in parallel to the "SMEi Interactive Platform" project is being elaborated. The key objective is to address the inefficiencies by consolidating data and information scattered in various H2020 and EASME tools and further automating processes, where possible. It is expected, that benefits will be spread beyond the SME Instrument programme to improve efficiency of other programmes managed by EASME.

- The result of that analysis was presented to the EASME IT Management Board (ITMB) in December.
- EMFF: the internal tool "ePAD" already developed for COSME was adapted to fit the needs of EMFF operations and finance teams.
- Reporting: a new set of automated reports was developed for H2020 operational data and the LIFE programme was added using data from their specific IT Tools, in collaboration with Shared Resource Directorate (SRD).

➤ **Communication**

The table below shows the results for the main communication outputs:

Objectives	Actions	Output indicators			Comments
		Baseline	Target	Result	
Promote the following programmes and results to the relevant stakeholders and make sure they are aware about funding opportunities and programme details: H2020 SME INSTRUMENT H2020 ENERGY EFFICIENCY H2020 CLIMATE & RESOURCES LIFE EMFF	Manage the EASME website, social media accounts and e-newsletters	Website visits: 1.080.000	1,100,000	725,000	Lower figures can be explained because of different algorithms as a result of a switch of measurement tools from SAS Analytics to Piwik (EC corporate tool)
		Page views: 3.100.000	3,400,000	1,851,000	See above
		Overall number of followers: 20.000	33,000	32,500	
		Newsletter subscribers: 31.000	32,500	33,400	
	Promotional items (infographics, posters, roll-ups, etc.)	n/a	n/a	n/a	
	Event Management (info days, events)	Number of events: 3	3	5	
		Satisfaction rate: tbc	Satisfaction rate: 80%	84%	

	Support to policy communication of parent DGs (provision of data and results, input to draft press releases)	n/a	n/a	n/a	
Manage the EU Sustainable Energy Week (EUSEW) , ensuring a successful organisation of the different pillars (Energy Days, High level policy conference, Awards)	Implement the EUSEW with an awards scheme, a policy conference and the support to energy days in Member states	Satisfaction rate: 80%	Satisfaction rate: 80% or higher	80,5%	
		Nr Energy Days: 693	750	455	In agreement with DG ENER a stronger focus on quality meant that less Energy Days were organised
		Website visits: 102.000	110,000	113,000	
		Pageviews: 478.000	520,000	437,000	Slightly lower, but compensated through other opportunities
		Followers: 8.500	10,000	11,700	
		Fans on Facebook: 9.000	10,000	11,700	
		Opportunities to see: 40.220.042	Opportunities to see: 45,000,000	265,000,000 (audience reached)	
Implement an internal communication strategy to increase staff engagement	Manage the intranet, publish newsletters, organise sessions, develop culture and identity	Daily updates: at least 1 per day	At least 1 per day	1 per day	
		Nr of newsletters: 10	10	9	
		Nr of video interviews: 6	10	13	
Ensure a positive and professional reputation of	Transparent information about	EASME website: 1	1 update per	4 per week	

EASME vis-à-vis its stakeholders	the EASME (website, LinkedIn, presentations, corporate identity)	update per week	week		
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ANNEX 3: Draft annual accounts and financial reports*

Annex 3 Financial Reports - DG IEEA - Financial Year 2016

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 (excluding Building Contracts)

Table 12 : Summary of Procedures (excluding Building Contracts)

Table 13 : Building Contracts

Table 14 : Contracts declared Secret

* Please note: The figures in annex 3 are those related to the provisional accounts and not yet audited by the Court of Auditors

TABLE 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2016 (in Mio €)					
			Commitment appropriations authorised	Commitments made	%
			1	2	3=2/1
Title 02 Internal market, industry, entrepreneurship and SMEs					
02	02 02	Competitiveness of enterprises and small and medium-sized enterprises (COSME)	102.7630902	102.712387	99.95 %
	02 04	Horizon 2020 - Research relating to enterprises	135.9313321	133.560662	98.26 %
Total Title 02			238.6944224	236.273049	98.99%
Title 05 Agriculture and rural development					
05	05 09	Horizon 2020 - Research and innovation related to agriculture	19.667479	19.667479	100.00 %
Total Title 05			19.667479	19.667479	100.00%
Title 06 Mobility and transport					
06	06 03	Horizon 2020 - Research and innovation related to transport	20.1903375	20.121475	99.66 %
Total Title 06			20.1903375	20.121475	99.66%
Title 07 Environment					
07	07 02	Environmental policy at Union and international level	202.936684	202.936684	100.00 %
Total Title 07			202.936684	202.936684	100.00%
Title 08 Research and innovation					
08	08 02	Horizon 2020 - Research	505.4988219	503.561274	99.62 %
Total Title 08			505.4988219	503.561274	99.62%
Title 09 Communications networks, content and technology					
09	09 04	Horizon 2020	111.118843	111.101343	99.98 %
Total Title 09			111.118843	111.101343	99.98%
Title 11 Maritime affairs and fisheries					
11	11 06	European Maritime and Fisheries Fund (EMFF)	35.87976	35.87976	100.00 %
Total Title 11			35.87976	35.87976	100.00%
Title 18 Migration and home affairs					
18	18 05	Horizon 2020 - Research related to security	12.306435	12.306435	100.00 %
Total Title 18			12.306435	12.306435	100.00%
Title 32 Energy					
32	32 04	Horizon 2020 - Research and innovation related to energy	134.6803794	133.767306	99.32 %
Total Title 32			134.6803794	133.767306	99.32%
Title 34 Climate action					
34	34 02	Climate action at Union and international level	67.965	67.965	100.00 %
Total Title 34			67.965	67.965	100.00%
Total DG IEEA			1348.938162	1343.5798	99.60 %

· 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).

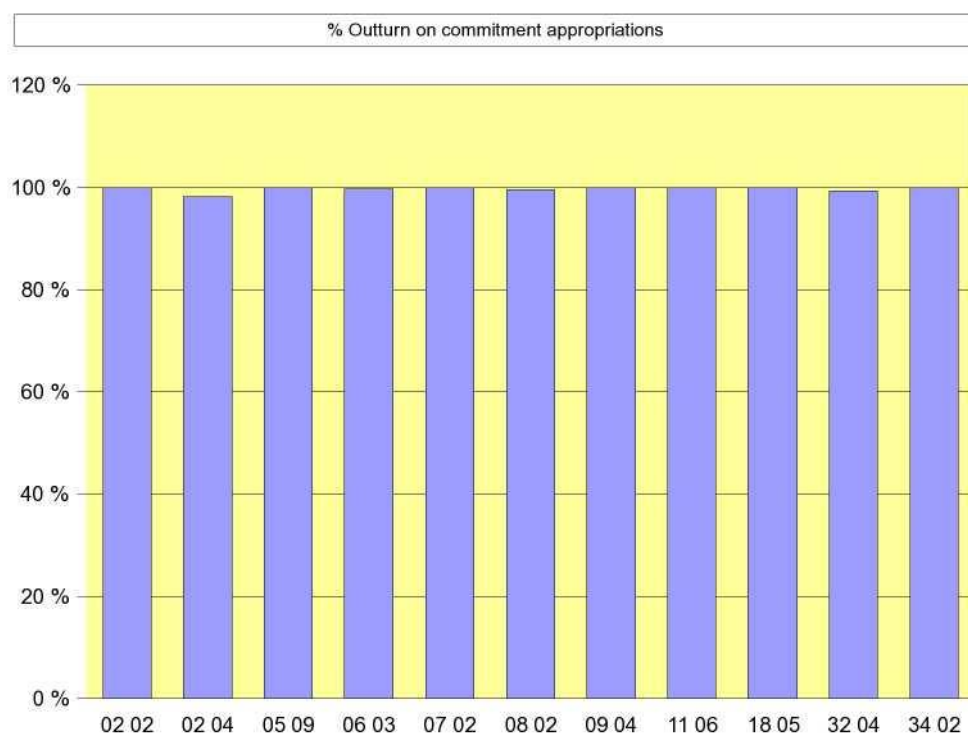
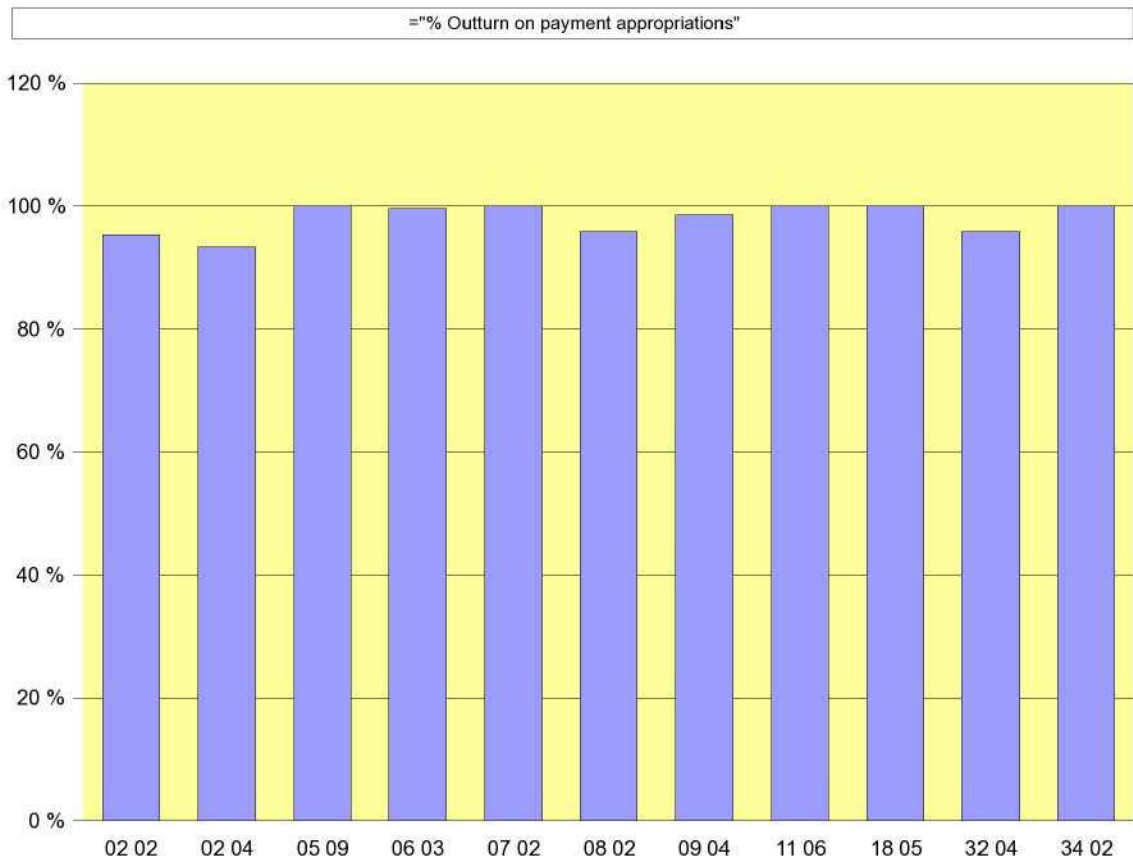


TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS IN 2016 (in Mio €)					
Chapter			Payment appropriations authorised 2	Payments made	%
			1	2	3=2/1
Title 02 Internal market, industry, entrepreneurship and SMEs					
02	02 02	Competitiveness of enterprises and small and mediumsized enterprises (COSME)	50.34	47.96	95.28 %
	02 04	Horizon 2020 - Research relating to enterprises	123.78	115.52	93.32 %
Total Title 02			174.11	163.48	93.89%
Title 05 Agriculture and rural development					
05	05 09	Horizon 2020 - Research and innovation related to agriculture	11.42	11.42	99.98 %
Total Title 05			11.42	11.42	99.98%
Title 06 Mobility and transport					
06	06 03	Horizon 2020 - Research and innovation related to transport	18.52	18.44	99.59 %
Total Title 06			18.52	18.44	99.59%
Title 07 Environment					
07	07 02	Environmental policy at Union and international level	73.48	73.48	100.00 %
Total Title 07			73.48	73.48	100.00%
Title 08 Research and innovation					
08	08 02	Horizon 2020 - Research	468.42	448.88	95.83 %
Total Title 08			468.42	448.88	95.83%
Title 09 Communications networks, content and technology					
09	09 04	Horizon 2020	90.69	89.43	98.61 %
Total Title 09			90.69	89.43	98.61%
Title 11 Maritime affairs and fisheries					
11	11 06	European Maritime and Fisheries Fund (EMFF)	7.85	7.85	100.00 %
Total Title 11			7.85	7.85	100.00%
Title 18 Migration and home affairs					
18	18 05	Horizon 2020 - Research related to security	9.87	9.87	100.00 %
Total Title 18			9.87	9.87	100.00%
Title 32 Energy					
32	32 04	Horizon 2020 - Research and innovation related to energy	178.06	170.63	95.82 %
Total Title 32			178.06	170.63	95.82%
Title 34 Climate action					
34	34 02	Climate action at Union and international level	19.93	19.93	100.00 %
Total Title 34			19.93	19.93	100.00%

² 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).

	Total DG IEEA	1,052.36	1,013.41	96.30 %
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Chapter			2016 Commitments to be settled				Commitments to be settled from	Total of commitments to be settled at end	Total of commitments to be settled at end
			Commitments 2016	Payments 2016	RAL 2016	% to be settled	financial years previous to 2016	of financial year 2016 (incl. corrections)	of financial year 2015 (incl. corrections)
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
Title 02 : Internal market, industry, entrepreneurship and SMEs									
02	02 02	Competitiveness of enterprises and small and medium-sized enterprises (COSME)	102.71	9.97	92.74	90.29 %	79.63	172.37	127.13
	02 04	Horizon 2020 - Research relating to enterprises	133.56	32.28	101.28	75.83 %	158.43	259.71	242.19
Total Title 02			236.27	42.26	194.02	82.12%	238.05	432.07	369.32
Title 05 : Agriculture and rural development									
05	05 09	Horizon 2020 - Research and innovation related to agriculture	19.67	7.82	11.85	60.26 %	5.46	17.32	9.07
Total Title 05			19.67	7.82	11.85	60.26%	5.46	17.32	9.07
Title 06 : Mobility and transport									
06	06 03	Horizon 2020 - Research and innovation related to transport	20.12	7.96	12.16	60.44 %	8.81	20.97	19.29
Total Title 06			20.12	7.96	12.16	60.44%	8.81	20.97	19.29
Title 07 : Environment									
07	07 02	Environmental policy at Union and international level	202.94	5.91	197.03	97.09 %	253.33	450.36	320.90
Total Title 07			202.94	5.91	197.03	97.09%	253.33	450.36	320.9
Title 08 : Research and innovation									
08	08 02	Horizon 2020 - Research	503.56	162.25	341.31	67.78 %	364.33	705.64	651.33
Total Title 08			503.56	162.25	341.31	67.78%	364.33	705.64	651.33
Title 09 : Communications networks, content and technology									

09	09 04	Horizon 2020	111.1	36.68	74.42	66.98 %	32.80	107.22	85.54
Total Title 09			111.1	36.68	74.42	66.98%	32.8	107.22	85.54

TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2016 (in Mio €)									
			2016 Commitments to be settled			Commitments to be settled from		Total of commitments to be settled at end	Total of commitments to be settled at end
Chapter			Commitments 2016	Payments 2016	RAL 2016	% to be settled	financial years previous to 2016	of financial year 2016 (incl. corrections)	of financial year 2015 (incl. corrections)
			1	2	3=1-2	4=1-2/1	5	6=3+5	7
Title 11 : Maritime affairs and fisheries									
11	11 06	European Maritime and Fisheries Fund (EMFF)	35.88	0.53	35.35	98.52 %	36.38	71.73	54.78
Total Title 11			35.88	0.53	35.35	98.52%	36.38	71.73	54.78
Title 18 : Migration and home affairs									
18	18 05	Horizon 2020 - Research related to security	12.31	4.39	7.92	64.33 %	6.55	14.47	12.03
Total Title 18			12.31	4.39	7.92	64.33%	6.55	14.47	12.03
Title 32 : Energy									
32	32 04	Horizon 2020 - Research and innovation related to energy	133.77	43.32	90.44	67.61 %	158.21	248.66	299.41
Total Title 32			133.77	43.32	90.44	67.61%	158.21	248.66	299.41
Title 34 : Climate action									
34	34 02	Climate action at Union and international level	67.97	1.38	66.58	97.97 %	73.77	140.35	92.32
Total Title 34			67.97	1.38	66.58	97.97%	73.77	140.35	92.32
Total DG IEEA			1,343.58	312.50	1,031.08	76.74 %	1,177.7	2,208.78	1,914

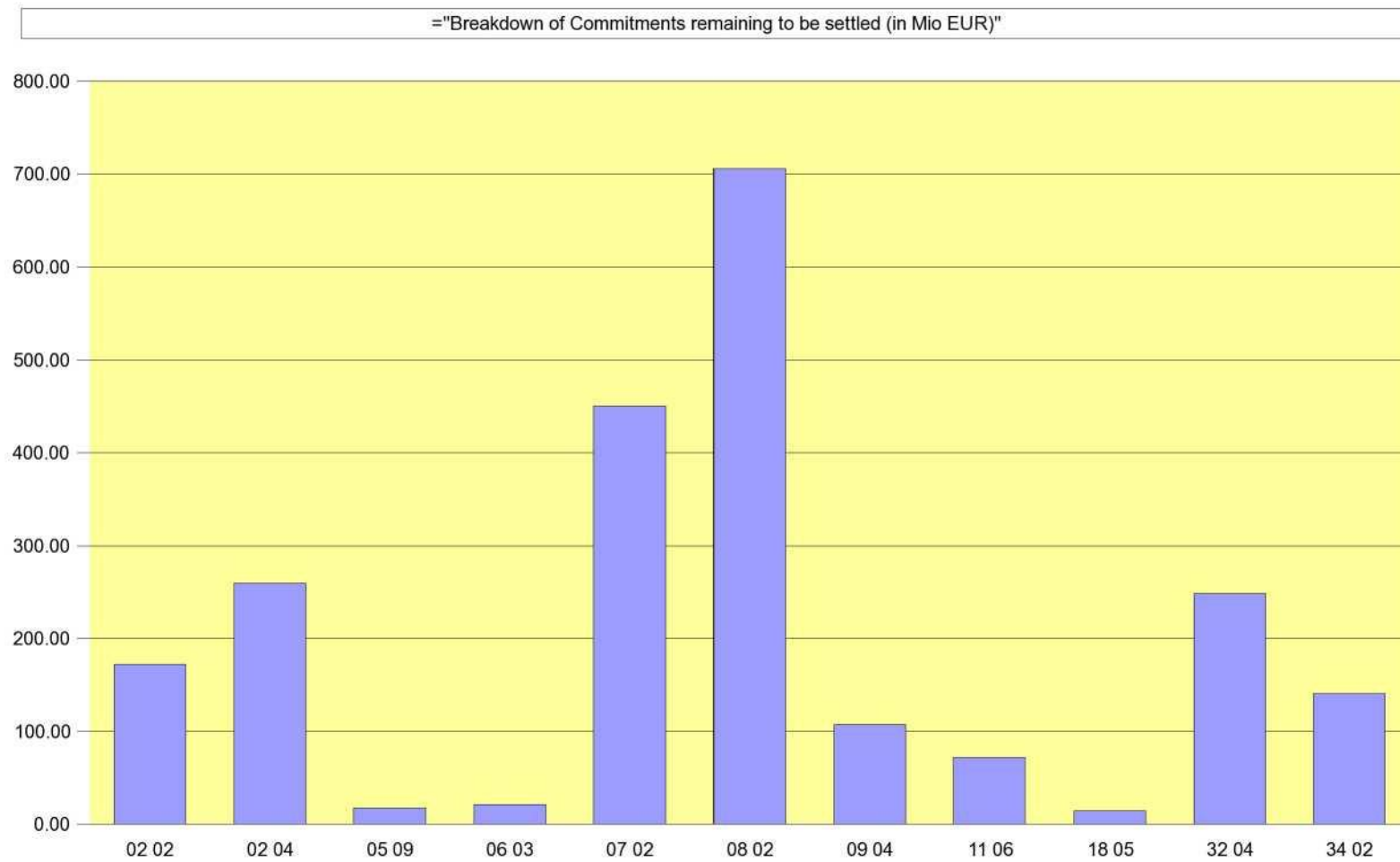


Table 4: Balance Sheet

BALANCE SHEET	2016	2015
A.I. NON CURRENT ASSETS	101,236,047.07	16,019,354.54
A.I.5.Non-Current Pre-Financing	101,236,047.07	16,019,354.54
A.II. CURRENT ASSETS	501,928,763.94	243,865,690.2
A.II.2.Current Pre-Financing	499,313,621.01	241,369,978.69
A.II.3. Curr Exch Receiv &Non-Ex Recoveral	2,615,142.93	2,495,711.51
ASSETS	603,164,811.01	259,885,044.74
P.II. CURRENT LIABILITIES	-162,204,387.13	-100,719,548.7
P.II.4.CurrentPayables	-38,525,063.07	-15,646,186.58
P.II.5. Current Accrued Charges &Defrd Incc	-123,679,324.06	-85,073,362.12
LIABILITIES	-162,204,387.13	-100,719,548.7
NET ASSETS (ASSETS less LIABILITIES)	440,960,423.88	159,165,496.04

P.III.2. Accumulated Surplus / Deficit	688,150,892.79	293,791,144.91
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Non-allocated central (surplus)/deficit*	-1,129,111,316.67	-452,956,640.95
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TOTAL	0.00	0.00
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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

STATEMENT OF FINANCIAL PERFORMANCE	2016	2015
II.1 REVENUES	-213,588.34	-254,886.29
II.1.1. NON-EXCHANGE REVENUES	-863,843.88	-517,132.29
II.1.1.5.RECOVERY OF EXPENSES	-863,843.88	-517,132.29
II.1.2. EXCHANGE REVENUES	650,255.54	262,246
II.1.2.1. FINANCIAL INCOME	-8,333.57	-24,515.67
II.1.2.2. OTHER EXCHANGE REVENUE	658,589.11	286,761.67
II.2. EXPENSES	726,440,896.65	394,614,634.17
II.2. EXPENSES	726,440,896.65	394,614,634.17
II.2.10.OTHER EXPENSES	550,788.65	1,815,060.43
II.2.2. EXP IMPLM BY COMMISS&EX.AC	725,882,809.79	392,742,498.68
II.2.8. FINANCE COSTS	7,298.21	57,075.06
STATEMENT OF FINANCIAL PERFORMANCE	726,227,308.31	394,359,747.88

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 5bis: Off balance

OFF BALANCE	2016	2015
OB.1. Contingent Assets	18,765,476.03	22,464,770.79
GRfor pre-financing	18,765,476.03	22,464,770.79
OB.3. Other Significant Disclosures	-2.046.973.533,47	-1,813,011,303.34
OB.3.2. Commagainstapp. not yet con	-2.046.973.533,47	-1,813,011,303.34
OB.4. Balancing Accounts	2.028.208.057,44	1,790,546,532.55
OB.4. Balancing Accounts	2.028.208.057,44	1,790,546,532.55
OFF BALANCE	0.00	0.00

TABLE 6: AVERAGE PAYMENT TIMES FOR 2016 - DG IEEA

Legal Times							
Maximum Payment Time (Days)	Total Number of Payments	Nbr of Payments within Time Limit	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
30	3126	3008	96.23 %	12.12932181	118	3.77 %	53.55932203
45	38	37	97.37 %	30.64864865	1	2.63 %	48
50	5	5	100.00 %	26.8			
60	104	103	99.04 %	30.69902913	1	0.96 %	62
75	3	3	100.00 %	45.66666667			
90	1231	1194	96.99 %	51.67922948	37	3.01 %	97.89189189

Total Number of Payments	4507	4350	96.52 %		157	3.48 %	
Average Net Payment Time	25.02973153			23.62229885			64.02547771
Average Gross Payment Time	30.44686044			28.7262069			78.12101911

Target Times							
Target Payment Time (Days)	Total Number of Payments	Nbr of Payments within Target Time	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
20	1646	1550	94.17 %	8.462580645	96	5.83 %	27.97916667
30	50	28	56.00 %	18.85714286	22	44.00 %	39.04545455
75	157	106	67.52 %	58.4245283	51	32.48 %	84.45098039

Total Number of Payments	1853	1684	90.88 %		169	9.12 %	
Average Net Payment Time	14.94333513			11.78028504			46.46153846
Average Gross Payment Time	20.15650297			15.45427553			67.01183432

Suspensions							
Average Report Approval Suspension	Average Payment Suspension Days	Number of Suspended Payments	% of Total Number	Total Number of Payments	Amount of Suspended Payments	% of Total Amount	Total Paid Amount
1	36	682	15.13 %	4507	163,667,389.12	17.13 %	955,508,769.49

Late Interest paid in 2016			
DG	GL Account	Description	Amount (Eur)
EACI	65010100	Interest on late payment of charges New FR	7 298.21
			7 298.21

Table 7: Income

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	
52	REVENUE FROM INVESTMENTS OR LOANS GRANTED, BANK AND OTHER INTEREST	700.79	0	700.79	700.79	0	700.79	0
57	OTHER CONTRIBUTIONS AND REFUNDS IN CONNECTION WITH THE ADMINISTRATIVE OPERATION OF THE INSTITUTION	64.71	0	64.71	64.71	0	64.71	0
66	OTHER CONTRIBUTIONS AND REFUNDS	3,363,498.87	2,492,211.51	5,855,710.38	2,753,698.62	588,078.03	3,341,776.65	2,513,933.73
Total DG IEEA		3,364,264.37	2,492,211.51	5,856,475.88	2,754,464.12	588,078.03	3,342,542.15	2,513,933.73

TABLE 8: RECOVERY OF PAYMENTS
(Number of Recovery Contexts and corresponding Transaction Amount)

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2016	Error		Irregularity		Total undue payments recovered		Total transactions in recovery context(incl. non-qualified)		% Qualified/Total RC	
Year of Origin (commitment)	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
2008	4	116,058.94	1	6,087.06	5	122,146.00	5	122,146.00	100.00%	100.00%
2009	3	37,214.82	2	21,194.79	5	58,409.61	5	58,409.61	100.00%	100.00%
2010	14	133,871.32	4	217,862.69	18	351,734.01	18	351,734.01	100.00%	100.00%
2011	8	94,158.75	5	27,460.35	13	121,619.10	13	121,619.10	100.00%	100.00%

2012			3	198,350.95	3	198,350.95	4	281,722.42	75.00%	70.41%
2013	4	554,928.07			4	554,928.07	5	554,992.78	80.00%	99.99%
2014	5	116,991.08	53	616,377.56	58	733,368.64	61	929,618.96	95.08%	78.89%
2015			3	10,591.59	3	10,591.59	14	894,513.59	21.43%	1.18%
No Link	2	109,552.38	4	133,644.32	6	243,196.70	6	243,196.70	100.00%	100.00%
Sub-Total	40	1,162,775.36	75	1,231,569.31	115	2,394,344.67	131	3,557,953.17	87.79%	67.30%

EXPENSES BUDGET	Error		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	Nbr	Amount
INCOME LINES IN INVOICES												
NON ELIGIBLE IN COST CLAIMS	75	6,504,547.41	106	8,384,100.07			181	14,888,647.48	210	16,249,429.59	86.19%	91.63%
CREDIT NOTES	8	89,636.70					8	89,636.70	12	331,650.60	66.67%	27.03%
Sub-Total	83	6,594,184.11	106	8,384,100.07			189	14,978,284.18	222	16,581,080.19	85.14%	90.33%
GRAND TOTAL	123	7,756,959.47	181	9,615,669.38			304	17,372,628.85	353	20,139,033.36	86.12%	74.37%

Table 9: Ageing Balance of Recovery Orders

	Number at 01/01/2016	Number at 31/12/2016	Evolution	Open Amount (Eur) at 01/01/2016	Open Amount (Eur) at 31/12/2016	Evolution
2012	2	2	0.00 %	69,734.74	69,734.74	0.00 %
2013	5	4	-20.00 %	169,250.67	155,004.71	-8.42 %
2014	8	5	-37.50 %	425,519.73	331,147.88	-22.18 %
2015	23	7	-69.57 %	1,827,706.37	1,348,246.15	-26.23 %

2016		11			609,800.25	
	38	29	-23.68 %	2,492,211.51	2,513,933.73	0.87 %

TABLE 10 : RECOVERY ORDER WAIVERS IN 2016 >= EUR 100.000						
	Waiver Central Key	Linked RO Central Key	RO Accepted Amount (Eur)	LE Account Group	Commission Decision	Comments
Total DG						
Number of RO waivers						

Justifications:

Please enter the text directly (no copy/paste of formatted text which would then disappear when saving the document in pdf), use "ctrl+enter" to go to the next line and "enter" to validate your typing.

Table 11: Negotiated Procedures (excluding Building Contracts)

Procurement > EUR 60,000

Negotiated Procedure Legal base	Number of Procedures	Amount (€)

Table 12: Summary of Procedures (excluding Building Contracts)

Internal Procedures > € 60,000		
Procedure Type	Count	Amount (€)
Exceptional Negotiated Procedure without publication of a contract notice (Art. 134 RAP)	10	12.067.813,00
Open Procedure (Art. 104(1) (a) FR)	9	37.780.950,00
TOTAL	19	49.848.763,00

Additional comments

Table 13: Building Contracts

Legal base	Contract Number	Contractor Name	Type of contract	Description	Amount (€)

No data to be reported

Table 14: Contracts declared Secret

Total number of contracts :

Total amount :

Legal base	Contract Number	Contractor Name	Description	Amount (€)

No data to be reported

Annex 3 Financial Reports - IEEA - Financial Year 2016

Administrative Budget

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 1: OUTTURN ON COMMITMENT APPROPRIATIONS IN 2016 (in Mio €)				
Chapter		Commitment appropriations authorised *	Commitments made	%
		1	2	3=2/1
Title 1 Staff expenditure				
1111	Temporary Agents - Remunerations	7,90	7,80	98,79 %
1112	Temporary Agents - Allowances	1,96	1,94	98,97 %
1121	Contract Agents - Remunerations	12,29	12,18	99,10 %
1122	Contract Agents - Allowances	3,58	3,53	98,80 %
1141	Support services & trainees	0,60	0,60	100,00 %
1211	Recruitment expenses	0,04	0,04	100,00 %
1221	Individual entitlements of staff	0,35	0,35	100,00 %
1231	Training	0,45	0,45	100,00 %
1241	Medical Services	0,07	0,07	100,00 %
1242	Mobility & social expenses for the Staff	0,66	0,66	100,00 %
1251	Representation expenses, Events and internal meeti	0,03	0,03	100,00 %
Total Title 1		27,93	27,66	99,04%
Title 2 Infrastructure and operating expenditure				
2111	Rental of building and associated expenses	1,77	1,77	100,00 %
2211	ICT Purchases, Hard - and Software & Maintenances	0,32	0,32	100,00 %
2212	ICT Services	1,47	1,46	99,14 %
2311	Furniture, Technical Installations and associated	0,11	0,08	73,12 %
2312	Office supplies, documentation & correspondence	0,05	0,05	100,00 %
2313	Charges, Insurances & other operating expenses	0,07	0,07	100,00 %
Total Title 2		3,79	3,74	98,91%
Title 3 Programme support expenditure				
3111	Experts and external meetings	2,23	2,20	98,67 %
3112	Missions: Programme management	0,45	0,45	100,00 %
3113	External Audits	0,44	0,44	100,00 %
3114	Communication, Information and Linguistic services	0,99	0,98	99,87 %
3115	Seminars & specific training	0,00		
3116	Programme related IT expenses	0,04	0,04	100,00 %
Total Title 3		4,14	4,11	99,25%
TOTALIEEA		35,85	35,50773906	99,05 %

TABLE 2: OUTTURN ON PAYMENT APPROPRIATIONS IN 2016 (in Mio €)				
Chapter		Payment appropriations authorised *	Payments made	%
		1	2	3=2/1
Title 1 Staff expenditure				
1111	Temporary Agents - Remunerations	7.90	7.80	98.79 %
1112	Temporary Agents - Allowances	1.96	1.94	98.97 %
1121	Contract Agents - Remunerations	12.29	12.18	99.10 %
1122	Contract Agents - Allowances	3.58	3.53	98.80 %
1141	Support services & trainees	0.66	0.55	84.67 %
1211	Recruitment expenses	0.04	0.03	76.11 %
1221	Individual entitlements of staff	0.40	0.34	85.39 %
1231	Training	0.61	0.43	71.08 %
1241	Medical Services	0.09	0.02	18.04 %
1242	Mobility & social expenses for the Staff	0.76	0.52	68.00 %
1251	Representation expenses, Events and internal meeti	0.04	0.02	50.35 %
Total 1		28.31	27.37	96.66%
Title 2 Infrastructure and operating expenditure				
2111	Rental of building and associated expenses	2.32	1.74	75.05 %
2211	ICT Purchases, Hard - and Software & Maintenances	0.39	0.21	53.71 %
2212	ICT Services	1.74	1.36	78.29 %
2311	Furniture, Technical Installations and associated	0.15	0.09	57.57 %
2312	Office supplies, documentation & correspondence	0.08	0.04	43.70 %
2313	Charges, Insurances & other operating expenses	0.09	0.02	24.44 %
Total 2		4.78	3.47	72.45%
Title 3 Programme support expenditure				
3111	Experts and external meetings	5.33	3.67	68.87 %
3112	Missions: Programme management	0.48	0.42	87.43 %
3113	External Audits	1.06	0.61	57.63 %
3114	Communication, Information and Linguistic services	1.17	0.69	59.04 %
3115	Seminars & specific training	0.00	0.00	0.00 %
3116	Programme related IT expenses	0.09	0.06	76.37 %
Total 3		8.12	5.45	67.18%
TOTAL IEAA		41.21	36.29	88.04 %

* 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"

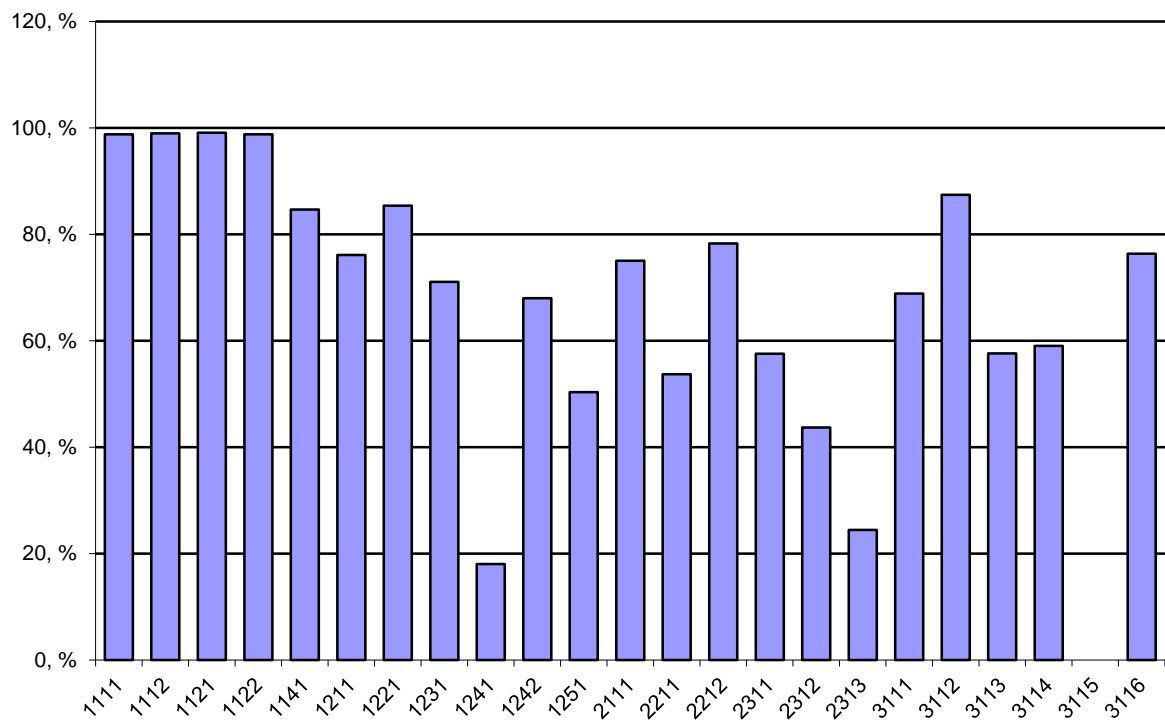


TABLE 3 : BREAKDOWN OF COMMITMENTS TO BE SETTLED AT 31/12/2016 (in Mio €)					
Chapter		2016 Commitments to be settled			
		Commitments 2016	Payments 2016	RAL 2016	% to be settled
		1	2	3=1-2	4=1-2//1
Title 1 Staff expenditure					
1111	Temporary Agents - Remunerations	7.80	-7.80	0.00	0.00 %
1112	Temporary Agents - Allowances	1.94	-1.94	0.00	0.00 %
1121	Contract Agents - Remunerations	12.18	-12.18	0.00	0.00 %
1122	Contract Agents - Allowances	3.53	-3.53	0.00	0.00 %
1141	Support services & trainees	0.60	-0.51	0.10	16.10 %
1211	Recruitment expenses	0.04	-0.03	0.01	23.89 %
1221	Individual entitlements of staff	0.35	-0.31	0.05	12.77 %
1231	Training	0.45	-0.28	0.17	38.11 %
1241	Medical Services	0.07	0.00	0.07	100.00 %
1242	Mobility & social expenses for the Staff	0.66	-0.42	0.24	36.80 %
1251	Representation expenses, Events and internal meeti	0.03	-0.02	0.01	43.34 %
Total 1		27.66	-27.01	0.64	2.33%
Title 2 Infrastructure and operating expenditure					
2111	Rental of building and associated expenses	1.77	-1.19	0.58	32.72 %
2211	ICT Purchases, Hard - and Software & Maintenances	0.32	-0.14	0.18	56.67 %
2212	ICT Services	1.46	-1.11	0.35	23.93 %
2311	Furniture, Technical Installations and associated	0.08	-0.05	0.03	39.75 %
2312	Office supplies, documentation & correspondence	0.05	0.00	0.05	91.30 %
2313	Charges, Insurances & other operating expenses	0.07	-0.01	0.06	91.85 %
Total 2		3.74	-2.50	1.25	33.36%
Title 3 Programme support expenditure					
3111	Experts and external meetings	2.20	-0.62	1.58	71.85 %
3112	Missions: Programme management	0.45	-0.40	0.05	11.44 %
3113	External Audits	0.44	0.00	0.43	98.87 %
3114	Communication, Information and Linguistic services	0.98	-0.52	0.46	47.06 %
3116	Programme related IT expenses	0.04	-0.02	0.02	56.47 %
Total 3		4.11	-1.56	2.55	62.05%
TOTAL		35.50773906	-31.07	4.4415999	12.51 %

= "Breakdown of Commitments remaining to be settled (in Mio EUR)"

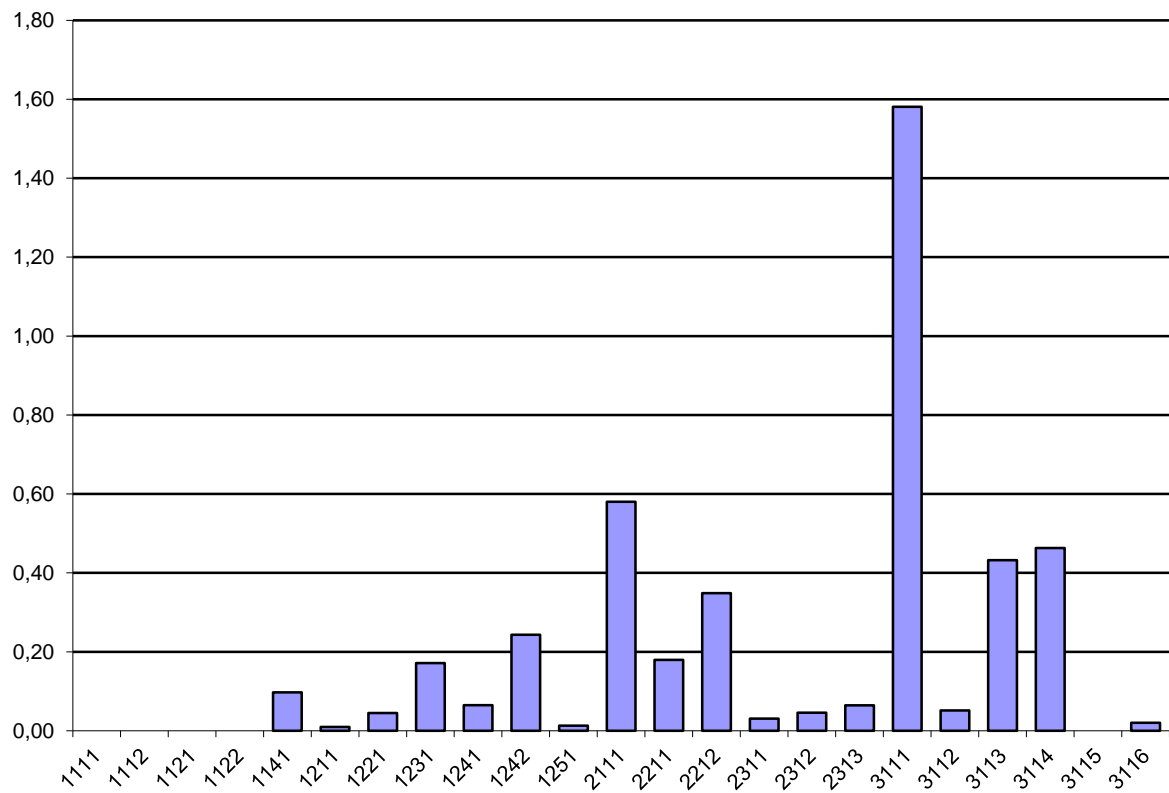


TABLE 4 : BALANCE SHEET IEEA

BALANCE SHEET	2016	2015
A.I. NON CURRENT ASSETS	1822967.01	1928715.26
A.I.1. Intangible Assets	0	0
A.I.2. Property, Plant and Equipment	1822967.01	1928715.26
A.II. CURRENT ASSETS	4982973.64	8376038.27
A.II.2. Current Pre-Financing		0
A.II.3. Curr Exch Receiv & Non-Ex Recoverables	74753.19	2362543.09
A.II.6. Cash and Cash Equivalents	4908220.45	6013495.18
ASSETS	6805940.65	10304753.53
P.II. CURRENT LIABILITIES	-3776769.86	-4122685.22
P.II.2. Current Provisions	-18725	
P.II.4. Current Payables	-550514.68	-706528.53
P.II.5. Current Accrued Charges & Defrd Income	-3207530.18	-3416156.69
LIABILITIES	-3776769.86	-4122685.22
NET ASSETS (ASSETS less LIABILITIES)	3029170.79	6182068.31
P.III.2. Accumulated Surplus / Deficit	-6182068.31	-4218526.05
Non-allocated central (surplus)/deficit*	3,152,897.52	-1,963,542.26
TOTAL	0	0

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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 IEEA

STATEMENT OF FINANCIAL PERFORMANCE	2016	2015
II.1 REVENUES	-35365419.48	-35756772.59
II.1.2. EXCHANGE REVENUES	-35365419.48	-35756772.59
II.1.2.1. FINANCIAL INCOME	-10,644.14	-45888.6
II.1.2.2. OTHER EXCHANGE REVENUE	-35,354,775.34	-35710883.99
II.2. EXPENSES	38518317	33793230.33
II.2. EXPENSES	38518317	33793230.33
II.2.10. OTHER EXPENSES	12,962,434.85	12577623.71
II.2.6. STAFF AND PENSION COSTS	25,552,745.15	21214940.38
II.2.8. FINANCE COSTS	3,137.00	666.24
STATEMENT OF FINANCIAL PERFORMANCE	3152897.52	-1963542.26

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.

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TABLE 5bis : OFF BALANCE SHEET IEEA

OFF BALANCE	2016	2015
OB.1.1. CA Guarantees received	613,164.11	1,357,485.90
GR for performance	613,164.11	1,357,485.90
GR for performance	613,164.11	1,357,485.90
OB.3.2. Comm against app. not yet consumed	-1,532,304.31	
OB.3.2. Comm against app. not yet consumed	-1,532,304.31	
OB.3.2. Comm against app. not yet consumed	-1,532,304.31	
OB.3.5. Operating lease commitments	-9,936,442.50	
OB.3.5. Operating lease commitments	-9,936,442.50	
OB.3.5. Operating lease commitments	-9,936,442.50	
OB.4. Balancing Accounts	10,855,582.70	-1,357,485.90
OB.4. Balancing Accounts	10,855,582.70	-1,357,485.90
OB.4. Balancing Accounts	10,855,582.70	-1,357,485.90
OFF BALANCE	0.00	0.00

The comparative data for 2015 for commitments not yet consumed and operating lease is:

	2015
Outstanding commitments not yet expensed	2,324,696
Future commitments on existing contracts	9,962,443
Total:	12,287,139

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 6: Average Payment Times

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	1224	1178	96.24 %	15.524618	46	3.76 %	48.89130435
45	39	37	94.87 %	14.02702703	2	5.13 %	82
60	3	3	100.00 %	41.66666667			

Total Number of Payments	1266	1218	96.21 %		48	3.79 %	
Average Net Payment Time	16.8601896			15.54351396			50.27083333
Average Gross Payment Time	17.8704581			16.55336617			51.29166667

Target Times

Target Payment Time (Days)	Total Number of Payments	Nbr of Payments within Target Time	Percentage	Average Payment Times (Days)	Nbr of Late Payments	Percentage	Average Payment Times (Days)
30	82	73	89.02 %	15.46575342	9	10.98 %	49.88888889

Total Number of Payments	82	73	89.02 %		9	10.98 %	
Average Net Payment Time	19.2439024			15.46575342			49.88888889
Average Gross Payment Time	22.7439024			19.20547945			51.44444444

Suspensions

Average Report Approval Suspension Days	Average Payment Suspension Days	Number of Suspended Payments	% of Total Number	Total Number of Payments	Amount of Suspended Payments	% of Total Amount	Total Paid Amount
0	49	26.	2.05 %	1,266.	848,012.53	5.07 %	16,715,018.07

Late Interest paid in 2016			
Agency	GL Account	Description	Amount (Eur)
IEEA	65010000	Interest expense on late payment of charges	3 137.00
			3 137.00

TABLE 7 : SITUATION ON REVENUE AND INCOME IN 2016					
Title	Description	Year of Origin	Revenue and Income recognized	Revenue and Income cashed	Outstanding Balance
2000	Subsidy	2016	35,865,112.37	35,865,112.37	0.00
9000	Other income	2016	2,600.00	2,600.00	0.00
TOTAL IEEA			35867712.37	35,867,712.37	0.00

TABLE 8 : RECOVERY OF PAYMENTS
(Number of Recovery Contexts and corresponding Transaction Amount)

INCOME BUDGET RECOVERY ORDERS ISSUED IN 2016 Year of Origin (commitment)	Total undue payments recovered		Total transactions in recovery context (incl. non-qualified)		% Qualified/Total RC	
	Nbr	RO Amount	Nbr	RO Amount	Nbr	RO Amount
No Link			1	2600		
Sub-Total			1	2600		

EXPENSES BUDGET	Error		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	Nbr	Amount
INCOME LINES IN INVOICES												
NON ELIGIBLE IN COST CLAIMS												
CREDIT NOTES	2	5562.02					2	5562.02	10	31,525.27	20.00%	17.64%
Sub-Total	2	5562.02					2	5562.02	10	31525.27	20.00%	17.64%
GRAND TOTAL	2	5562.02					2	5562.02	11	34125.27	18.18%	16.30%

TABLE 9: AGEING BALANCE OF RECOVERY ORDERS AT 31/12/2016 FOR IEEA

Year of Origin	Number at 01/01/2016	Number at 31/12/2016	Evolution	Open Amount (Eur) at 01/01/2016	Open Amount (Eur) at 31/12/2016	Evolution
Totals						

TABLE 10 : RECOVERY ORDER WAIVERS IN 2016 >= EUR 100.000						
	Waiver Central Key	Linked RO Central Key	RO Accepted amount (Eur)	LE Account Group	Commission Decision	Comments
1.						

Total IEEA	
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Number of RO waivers	
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ANNEX 4: Materiality criteria

The five internal control objectives are defined in the Financial Regulation (FR art. 32.2). The Authorising Officer by Delegation (AOD) should set up an appropriate control system (FR art. 66.2) and define specific management and control targets, and in particular, should use the best information available for determining which weaknesses would be subject to a formal reservation to his/her declaration (FR art. 66.9).

The Agency's AOD assesses the significance of any weakness that could lead to a formal reservation. This is done by identifying their potential impact and judging whether it could be material enough to influence the conclusion of the users of the Annual Activity Report.

The Agency's quantitative materiality threshold is set at a residual error rate of 2%³, in application of the Commission's standard practice. In qualitative terms, the following factors are considered: nature and scope of any significant weaknesses, duration, compensatory measures such as mitigating controls, existence of corrective actions to correct any significant weaknesses.

In view of the **multi-annual nature of its programmes**, EASME has built a multiannual ex-post audit strategy based on a multi-annual control strategy, with the residual error rate being multiannual accordingly.

The **EASME Ex-Post Control strategy** is based on the following principles, intended to find an optimal balance between the purposes of being (i) maximum-corrective, (ii) reasonably cost-effective and (iii) sufficiently close to random to allow drawing an assurance conclusion:

1. EASME is managing 3 legacy programmes (Intelligent Energy Europe, Enterprises Europe Network, Eco-Innovation – MFF 2007-2013) and 4 newly delegated current ones (H2020, LIFE, COSME and EMFF – MFF 2014-2020). For each⁴ delegated programme, a sample (covering a range from 5% to 20%⁵ of the programme's cumulative funding) is audited, the audit results are implemented (corrections made) and a cumulative residual error rate is calculated.
2. Taking into account the limited ex-post control resources, the ex-post control strategy aims to detect and correct the most significant errors (*amount in absolute terms*). In that respect, EASME focuses on value-targeted audits (aiming at cleaning the largest amounts and thus maximising assurance). Such approach is considered more control-effective, resulting in higher returns on investment and dissuasive effect, and cost-effective. For the EASME programmes populations, based on our experience from managing the legacy programmes and to the best of our knowledge, there are no indications (at ex-post

³ According to the draft H2020 ex-post audit strategy, the H2020 error rate is expected to be in the range 2-5%, though not necessarily below it.

⁴ Ex-post audits for H2020 will be performed by the Common Support Centre (lead DG is RTD), through a Common Representative audit Sample (CRS).

⁵ depending on the expected detected error rate and on the need for budget 'cleaning' to meet the RER control objective

level⁶) for inherently higher error rates (*error in %*) in the larger participations, thus the value-targeted audits are considered being a non-biased 'proxy' – i.e. random enough to enable drawing conclusions from them.

3. Auditing a statistically representative or even a random sample would not be cost-effective, given that then rather small participations will also be sampled. With an expected detected error rate and thus potential correction of, say, 5% and a typical audit cost of, say, 11,500 EUR, participations audited should be in principle and if possible larger than 230,000 EUR. Furthermore, a 'stratified' approach would not be appropriate given that there appear to be no solid grounds for a clear segmentation of the programmes populations, based on distinct grant modalities, features, etc., and leading to 'distinctly' lower/higher risk profile segments (e.g. less than 2% and/or above 10%).

4. Although the Agency recognises that the above approach is not fully statistically representative, in line with the DG BUDG guidance it is considered as the second-best alternative; as a 'proxy' to a fully representative or a random sample.

5. In addition to the value-targeted audits, the Agency performs to a limited extent risk-targeted audits of beneficiaries. This selection addresses specific concerns, risks or issues, detected and highlighted either by the financial or operational teams. Due to their specific nature, error rates of these "risk-targeted" audits are not included in the average random-proxy error rate calculation.

6. Due to its multi-annual nature, the effectiveness of the ex-post control strategy can only be measured and assessed at the final stages in the lifecycle of each programme and once ex-post audit strategy has been fully implemented.

Ex-post controls on the newly delegated programmes will take place the following years in line with the advancement of the lifecycle of these projects. The sampling approach mentioned above will also apply to the newly delegated programmes of the Agency⁷. In that respect, a specific Ex-Post Audit Strategy for the newly delegated programmes of the Agency has been finalised.

As concerns Horizon 2020, a Common Audit Strategy was adopted on 22.03.2016 to cover all implementing bodies of the Research Family (including EASME). The control system established for Horizon 2020 is aiming to a detected error rate ranging from 2 to 5% (as close as possible to 2%, after corrections). The above range is included in the H2020 legislation.

⁶ i.e. after having applied differentiated ex-ante controls for the largest participations. For example, according to RAP 207, the certificate on the financial statements and underlying accounts shall be compulsory for interim payments and for payments of balances in the following cases:(a) grants for an action for which the amount is EUR 750 000 or more, when the cumulative amounts of payment requests under that form is at least EUR 325 000.

⁷ Except for H2020, for which the sampling approach has been defined by Common Support Center (CSC), based on the Common Audit Strategy.

ANNEX 5: Internal Control Templates for budget implementation (ICTs)

Stage 1: Programming, evaluation and selection of proposals

A - Preparation, adoption and publication of the Annual Work Programme and Calls for proposals

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.

Main risks It may happen that	The 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.
Mitigating controls	<ul style="list-style-type: none"> • The Call for Proposals is based on the annual Work Programme adopted by the Commission and elaborated in cooperation with the parent DGs • Hierarchical validation within the authorising department • Inter-service consultation, including all relevant DGs • Explicit allocation of responsibilities, approval of the call text by the AOD
How to determine coverage, frequency and depth	<ul style="list-style-type: none"> • Coverage / Frequency: 100% • Depth: All work programmes are thoroughly reviewed at all levels, including for operational and legal aspects and adopted by the EC.
How to estimate the costs and benefits of controls	<p>Costs: Estimation of cost of staff involved in the preparation and the validation of the annual work programme and calls.</p> <p>Costs are measured for stage 1 globally (phase A + B). Globally 14% of staff costs are dedicated to stage 1 programming, evaluation and selection.</p> <p>Benefits:</p> <p>Only qualitative benefits. A good Work Programme and well published calls generate a large number of good quality projects, from which the most excellent can be chosen. There will therefore be real competition for funds.</p>
Control indicators	<p>1 a) Effectiveness:</p> <p>% of number of calls successfully concluded / number of calls planned in the AWP</p> <p>% of budget value implemented / budget allocated (commitments from calls)</p>

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 (a good balance of) the proposals selected (effectiveness); Compliance (legality & regularity); Prevention of fraud.

Main risks <i>It may happen that:</i>	<ul style="list-style-type: none"> • The evaluation, ranking and selection of proposals is not carried out in accordance with the established procedures, the policy objectives, priorities and/or the essential eligibility, or with the selection and award criteria defined in the annual work programme and subsequent calls for proposals. • Risk of poor quality of selected proposals reducing the programmes' effectiveness because: <ul style="list-style-type: none"> ✓ the procedure for awarding grants is quite complex with regard to compliance with the legal requirements ✓ only projects of good quality ensuring a high impact of the EU programmes should be funded while avoiding double-financing of the same subsidised action. • The applicant might not have stable and sufficient sources of funding to maintain his activity throughout the period during which the action is being carried out or the year for which the grant is awarded and to participate in its funding
Mitigating controls	<ul style="list-style-type: none"> • The evaluation of proposals is supported by external experts: each proposal is evaluated by at least two experts who work independently from each other; • All persons involved in an evaluation sign a declaration of absence of conflict of interest prior to the start of the evaluation exercise; • Hierarchical validation by the AOD of ranked list of proposals; • During the selection procedure, the exclusion, eligibility, selection and award criteria are checked; • Consultation with other DGs and colleagues in the Agency on special cases concerning potential overlaps with ongoing projects, technical opinion, etc; • A consultation (ISC) on the ranking list of the selected proposals is launched by the AOSD to prevent double funding of the same project; • Redress procedure -an administrative process allowing an applicant, who considers that a procedural act by an authorising officer adversely affects its rights, to challenge this act.
How to determine coverage, frequency and depth	<ul style="list-style-type: none"> • 100% of proposals are evaluated • 100% vetting of experts for technical expertise and independence (e.g. conflicts of interests, nationality bias, ex-employer bias, collusion) • 100% of ranked list of proposals. Supervision of work of evaluators • 100% of ranked list of proposals validated by the AOD • 100% of ranked list of proposals sent for ISC with parent DGs • 100% of contested decisions are analysed by a redress committee
How to estimate the costs and benefits of controls	<p>Costs:</p> <ul style="list-style-type: none"> • Estimation of cost of staff involved in the evaluation and selection of proposals. Costs are measured for stage 1 globally (phase A + B). Globally 14% of staff costs are dedicated to stage 1 programming, evaluation and selection. • External costs: expert expenses

	<p>Benefits:</p> <ul style="list-style-type: none"> Quantitative benefits: the detection of ineligible proposals. In case of non-detection some of these proposals might have been selected. The avoided potential loss can be measured by applying the success rate on the requested funding of the ineligible proposals. Qualitative benefits: expert evaluators from outside the Commission bring independence, state of the art knowledge in the field and a range of different opinions. This will have an impact on the whole project cycle: better planned and better executed projects. Selection controls ensure that the projects with most merit are funded which is a very significant but mostly qualitative benefit.
Control indicators	<p>1a) Effectiveness:</p> <ul style="list-style-type: none"> Success rate: number of selected (funded) proposals / number of eligible proposals % of review requests leading to a re-evaluation /total number of evaluated proposals <p>1b) Efficiency:</p> <p>Average Time to Inform: result versus target</p> <p>(average time from the publication till the signature of grant agreements):</p> <p>(target different according to the programme).</p>

Stage 2: Contracting: Transformation of selected proposals into legally binding grant agreements

Main control objectives: Ensuring that the most promising projects for meeting the policy objectives are among the proposals contracted; optimal allocation of actions and funds allocation (best value for public money; effectiveness, economy, efficiency); Compliance (legality & regularity); Prevention of fraud .

Main risks It may happen that	<ul style="list-style-type: none"> The description of the action in the grant agreement includes tasks which do not contribute to the achievement of the programme objectives Budget foreseen overestimates the costs necessary to carry out the action. Risk of poor technical implementation of the project, including the communication of the projects' results, reducing the programmes' impact The beneficiary lacks operational and/or financial capacity to carry out the actions. A beneficiary is awarded several grants from the budget for a single action Projects are overfunded (e.g. breach of co-financing, non-profit, non-cumulative, or non-retroactivity principles) Procedures do not comply with regulatory framework.
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Mitigating controls	<ul style="list-style-type: none"> • Adjustment phase, prior to the contract signature, during which project officers and financial officers check the technical and financial annexes of the future grant agreement, taking into account the comments made during the evaluation; • Check of the EDES database; • Use of model grant agreements recommended by the Commission, adapted to the programmes. Model Grant agreements are approved by the relevant parent DGs; • Validation of beneficiaries (operational and financial viability checks); • Request of financial guarantee following a risk-based approach; • Signature of the grant agreement by the AOSD; • Implementation of the evaluators' recommendations; • Hierarchical validation of the proposed adjustments.
How to determine coverage, frequency and depth	<ul style="list-style-type: none"> • 100% of the selected proposals and beneficiaries are scrutinised; • Standard model grant agreement always used; • 100% of coordinators financial status evaluated; • Request of financial guarantee based on risk assessment <p>Depth may be differentiated; determined after considering the type or nature of the beneficiary (e.g. SMEs), the modalities (e.g. substantial subcontracting) or the total value of the grant.</p> <p>Remark: for H2020 programmes, given the constraints on the time to grant set out in the H2020 legislation, "negotiation" of projects is kept to a minimum. As far as possible the positively evaluated projects are accepted without modification.</p>
How to estimate the costs and benefits of controls	<p>Costs:</p> <p>Estimation of staff costs involved in the contracting process.</p> <p>Globally 14% of staff costs are estimated to be spent to stage 2 contracting.</p> <p>Benefits:</p> <ul style="list-style-type: none"> • Quantitative benefits: difference between the EC funding value requested in the selected proposals and that of the corresponding grant agreements • Qualitative benefits: The whole committed budget is checked for quality (prevention of later errors). This stage should lead to a higher assurance on the achievement of the projects – and policy objectives.
Control indicators	<p>2a) Effectiveness:</p> <ul style="list-style-type: none"> • % reduction of the EC contribution to the grant agreement as a result of the adjustment process, when applicable. <p>2b) Efficiency:</p> <ul style="list-style-type: none"> • Average time to grant The targets set in the 2016 AWP are: 3 months for SME instrument phase I; 6 months for SME instrument phase II; 8

	months for H2020 calls and 9 months for non-H2020 calls.
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Stage 3: Monitoring the execution. This stage covers the monitoring of the operational, financial and reporting aspects related to the project and grant agreement

Main control objectives: ensuring that the operational results (deliverables) from the projects are of good value and meet the objectives and conditions (effectiveness & efficiency); ensuring that the related financial operations comply with regulatory and contractual provisions (legality & regularity); prevention of fraud; ensuring appropriate accounting of the operations (reliability of reporting, safeguarding of assets and information).

Main risks It may happen that	<ul style="list-style-type: none"> • The actions foreseen are not, totally or partially, carried out in accordance with the technical description and requirements foreseen in the grant agreement; • The amounts paid exceed the amounts due or are not in accordance with the applicable contractual and regulatory provisions; • Risk of overpayment of project costs negatively affecting the efficiency and economy of the granted fund; • The beneficiary unduly obtains financial profit as a result from systemic or recurrent errors, irregularities, fraud or breach of obligations attributable to the beneficiary and having a material impact on a number of grants awarded to that beneficiary under similar conditions; • The agreed action or work programme is not carried out properly, in full or on time; • Operational performance of beneficiaries is inappropriate.
Mitigating controls	<ul style="list-style-type: none"> • Guidelines and templates for applicants and beneficiaries to help prepare the budgets of the proposals and the cost-statements for financial reports; • Kick-off meetings and contractor's meetings involving the project coordinators in order to avoid project management and reporting errors; • Anti-fraud awareness trainings for newcomers; • Operational and financial ex-ante desk checks by the Agency's staff in accordance with the financial circuits, Manual of Procedures, and internal guidelines; detailed checking of final reports against the grant agreement • For riskier operations, enhanced ex-ante controls according to the Internal Control Strategy of the Agency. • Monitoring on-the-spot visits to check technical progress and deliverables; checking of progress and interim reports to detect deviations timely and redirect the project on track • When needed, application of suspension/interruption/deduction of payments, penalties or liquidated damages. • Submitting cases to OLAF in case of suspicion of irregularities/fraud; flagging in EWS
How to determine	<ul style="list-style-type: none"> • 100% of the projects are controlled; • Riskier operations subject to in-depth and/or on-site controls.

coverage, frequency and depth	<ul style="list-style-type: none"> High risk operations identified by risk criteria and red flags such as delayed interim deliverables, suspicion of plagiarism, unstable consortium, EDES, negative audit results, etc.
How to estimate the costs and benefits of controls	<p>Costs:</p> <ul style="list-style-type: none"> Estimation of staff costs involved in the actual management of running projects; Globally 65% of staff costs are estimated to be spent to stage 3 monitoring the execution; Mission costs for on the spot visits; External costs: monitoring expert costs. <p>Benefits:</p> <ul style="list-style-type: none"> Quantitative benefits: value of errors detected during the ex-ante desk checks of the submitted cost claim, resulting in rejected costs. Extracted from ABAC for all programmes. Qualitative benefits: the main non-quantifiable benefit of monitoring, processing amendments and scrutinising costs claims is to ensure the legality and regularity of the transactions (which could be seen as ensuring the near 100% regularity of the payments made).
Control indicators	<p>3a) Effectiveness:</p> <ul style="list-style-type: none"> Value of detected errors (rejected costs) % of detected errors vs total value cost claims submitted <p>3b) Efficiency:</p> <ul style="list-style-type: none"> Time to pay: % of payments within the legal deadlines

Stage 4 - Ex-Post controls

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 (legality & regularity; anti-fraud strategy); addressing systemic weaknesses in the ex-ante controls, based on the analysis of the findings (sound financial management)

Main risks It may happen that	The ex-ante controls fail to prevent, detect and correct erroneous payments or attempted fraud; errors (ineligible costs reimbursed due to the complexity of the rules) remain undetected and uncorrected before the end of the control cycle; "irregularities" (intentional over-claims, fictitious subcontracting/outputs) are not detected and corrected.
Mitigating controls	<ul style="list-style-type: none"> Ex-post control strategy: audits are carried out on a multi-annual basis (programme's lifecycle) to determine the level of errors not detected by ex-ante control at a given moment in time; detect and improve weaknesses in the ex-ante controls; recover the ineligible costs not detected by ex-ante control;

	<ul style="list-style-type: none"> The ex-post control strategy involves value targeted sampling, aiming at cleaning the largest amount and thus maximising assurance and the cost-effectiveness of controls, based on selection criteria such as high amounts granted, high number of projects, geographical balance etc. <p>In addition a number of risk-based audits to address specific risks;</p> <ul style="list-style-type: none"> Ex-post audits are carried out on a multi-annual basis (programme's lifecycle). The on-the-spot audits are carried out independently by an external contractor (i.e. free of conflict of interest) and in conformity with detailed procedures and guidelines. The Agency's ex-post control function is responsible for the coordination of the on-the-spot controls, the review and the follow up of the ex-post audit reports and is independent from the ex-ante control organisation. Beneficiaries who are suspected of committing irregularities of fraud are signalled to OLAF.
How to determine coverage, frequency and depth	<p>Coverage:</p> <ul style="list-style-type: none"> Value targeted sampling, for maximising the value of any transactions and the cost-effectiveness of controls, based on selection criteria such as high amounts granted In addition, a number of risk-based audits for addressing specific risks and/or cases of fraud. <p>Depth: detailed review and testing of supporting documents and transactions related to the cost claims submitted by the beneficiary</p>
How to estimate the costs and benefits of controls	<p>Costs:</p> <ul style="list-style-type: none"> Estimation of staff costs involved in the coordination and execution of the audit strategy External costs: cost of the audit firm for the outsourced ex-post controls Internal costs are measured for stage 4 globally (phase A + B). Globally 7% of all staff costs involved in grant management controls is dedicated to stage 4 ex-post controls and recoveries <p>Benefits:</p> <ul style="list-style-type: none"> Quantitative benefits: Value of the errors detected by the auditors including value of the errors of risk-targeted audits. Only errors detected in the ex-post controls of the reporting year (not on a cumulative basis). Qualitative benefits: Deterrent effect, learning effect for beneficiaries, improvement of ex-ante controls or risk approach in ex-ante controls by feeding back findings from audit, improvement in rules and guidance from feedback from audit.
Control indicators	<p>4a) Effectiveness: <u>Multi-annual indicators (2008 until reporting year)</u></p> <ul style="list-style-type: none"> Number of audits finalised Detected error amount = EC share ineligible costs = Costs accepted ex-post minus costs accepted and paid ex-ante Detected error rate = EC share ineligible costs / EC share costs

	<p>paid</p> <ul style="list-style-type: none"> • %budget value part audited, audit coverage • Residual error rate versus threshold of 2% <p>Due to their specific nature, error rates of risk-targeted audits are not included in the average error rate calculated on the total sample.</p> <p>4b) Efficiency (see phase 4B): recovery status</p> <p>The benefits and costs of ex-post controls and implementation are related to ex-post controls carried out in the reporting year. The figures can therefore not be compared with the figures under 4a) and 4b) which reflect the multi-annual and cumulative indicators. Furthermore to measure the benefits of the ex-post controls in the reporting year, the results of the risk-targeted audits are included as well as they contribute to the detection and correction of errors, in addition to the value-targeted audits.</p>
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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 (legality & regularity; anti-fraud strategy); Ensuring appropriate accounting of the recoveries made (reliability of reporting)

Main risks It may happen that	The errors, irregularities and cases of fraud detected are not addressed or not addressed in a timely manner
Mitigating controls	<ul style="list-style-type: none"> • The operational units have to confirm the implementation of the corrective actions (recovery, payment) and actions taken to avoid similar errors in the future by completing the audit-follow up sheets; • Lessons learned from the implementation of audit results are exploited to reinforce the control systems; for example improvement of guidelines for beneficiaries following unclear instructions ; • The results of prior ex post audits revealing systemic errors are applied to the new grant payment requests of the same beneficiary; • Financial operational validation of recoveries is carried out in accordance with financial circuits; • Authorisation by the AOSD; • In case AOSD decides not to implement audit finding, approval of the AOD is needed.
How to determine coverage, frequency and depth	<p>Coverage: 100% of final audit results <i>with a financial impact</i>.</p> <p>Depth: all audit results are examined in-depth in making the final recoveries. Systemic errors are extended into corrections of non-audited projects by the same beneficiary.</p>
How to estimate	Costs:

the costs and benefits of controls	<ul style="list-style-type: none"> • Estimation of staff costs involved in the implementation of audit results; • Costs are measured for stage 4 globally (phase A + B). Globally 7% of all staff costs involved in grant management controls is dedicated to stage 4 ex-post controls and recoveries. <p>Benefits:</p> <ul style="list-style-type: none"> • Correction of errors detected by ex-post controls (recoveries) in the reporting year (annual basis), including risk-targeted audits
Control indicators	<p>4a) Effectiveness: <u>Multi-annual indicators (2008 until reporting year)</u></p> <ul style="list-style-type: none"> • Errors corrected • Errors not corrected • Uncorrected error rate <p>4b) Efficiency:</p> <ul style="list-style-type: none"> • Recovery status (%): recoveries / detected error amount Multi-annual cumulative basis (2008 until reporting year)

ANNEX 6: Implementation through national or international public-sector bodies and bodies governed by private law with a public sector mission

N.a

ANNEX 7: EAMR of the Union Delegations

N.a

ANNEX 8: Decentralised agencies

N.a

ANNEX 9: Evaluations and other studies finalised or cancelled during the year

N.a

ANNEX 10: Specific annexes related to "Financial Management"

N.a.

ANNEX 11: Specific annexes related to "Assessment of the effectiveness of the internal control systems"

N.a.

ANNEX 12: Performance tables

The tables below report on the delegated actions as planned in the 2016 Work programme (WP) and its subsequent changes following the revisions of the 2016 WPs of the delegated programmes.

1. Cosme

Relevant general objective:			
A New Boost for Jobs, Growth and Investment			
Specific objective:			
To improve access to finance for SMEs in the form of equity and debt			
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: operational expenditure (CA)	
		Budget line	EUR million
		02 02 02	0,7
KEY ACTIONS	Indicator	Target	Latest known result/ Achieved : non-achieved
Promotion of the projects / programme			See annex 2
Management of specific contracts under a framework contract (GRO/SME/16/A/03):			
• Promotional activities	Number of promotional activities	Tbd	Number of case studies published : 7
• Studies	Number of studies	Tbd	Not delegated
• Workshops	Number of workshops	3 to 5	Not delegated
Monitoring of projects	Desk checks	N.A.	Throughout the year
Feedback to parent		The case studies will be promoted on EASME and DG	

DG		GROW website in 2017
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Relevant general objective:			
A New Boost for Jobs, Growth and Investment			
Specific objective:			
To promote entrepreneurship and entrepreneurial culture			
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: operational expenditure (CA)	
		Budget line	EUR million
		02 02 01	99
KEY ACTIONS	Indicator	Target	Latest known result/ Achieved : non-achieved
Promotion of the projects / programme			
Preparation and publication of calls for proposals: <ul style="list-style-type: none"> Erasmus for Young Entrepreneurs(FPA/SGA) (GRO/SME/16/D/011) Migrants Entrepreneurs best practice exchange (GRO/SME/16/D/031) European Network for Early Warning and for Support to Enterprises and Second Starters (GRO/SME/16/D/041) 	Number of calls published	3	3 <ul style="list-style-type: none"> Published Published Published
Preparation and publication of calls for tender: <ul style="list-style-type: none"> Support office EYE 	Number of calls published	1	1 <ul style="list-style-type: none"> Published
Evaluation of the proposals	Time to inform	All applicants informed within 6 months after the call deadline	120 days (on average)

	% of proposals challenged under the evaluation review procedure	Less than 3%	0%
	Number of review requests that lead to re-evaluation	Not more than one	None
Grant agreement preparations:	Time to grant	100% of grant agreements signed within 9 months after the call deadline	<p>out of the 10 calls of the 2015 COSME programme, 6 were signed within the targeted deadlines; of the three other calls an average 90% of the GAs were signed within target; and only in one call 66% of the GAs were signed on time</p> <p>Out of the 3 calls of the 2016 COSME programme, TTG was respected or will be respected.</p>
Evaluation and signature of procurement contracts	Number of signed contracts	1	0
Monitoring of projects	Number of project meetings attended	At least one meeting attended per project	0 all projects will run from 2017 onwards.
	Time to pay	100% of payments within legal deadlines	99%
Feedback to parent DG(s)			<p>EASME sends to DG periodic reports on the implementation of ERASMUS for Young Entrepreneurs as well as for Enterprise Europe Network. These reports feed analysis on the performance of both action and possible current or future improvements.</p>

Relevant general objective:			
A New Boost for Jobs, Growth and Investment			
Specific objective:			
To improve framework conditions for the competitiveness and sustainability of Union enterprises, particularly SMEs, including in the tourism sector			
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: operational expenditure (CA)	
		Budget line	EUR million
		02 02 01	99
KEY ACTIONS	Indicator	Target	Latest known result/ Achieved : non-achieved
Promotion of the projects / programme			See annex 2
Preparation and publication of calls for proposals: <ul style="list-style-type: none"> • <i>Social entrepreneurship in EU Public policies (GRO/SME/16/C/02)</i> • <i>Best practices of social enterprises through their life-cycle (GRO/SME/16/C/022)</i> • <i>Clusters Go International (GRO/SME/16/C/051)</i> • <i>Improving socio-economic knowledge of the tourism sector through cooperation with OECD (ad-hoc grant) (GRO/SME/16/C/074)</i> • <i>Raising awareness of civil drones' operators about Privacy and Data protection obligations (GRO/SME/16/C/131)</i> • <i>CSR in entrepreneurship and business education (GRO/SME/16/C/151)</i> 	Number of calls published	6	2 Published, one postposed, 2 cancelled due to "non delegation" to EASME, 1 implemented via call for tender. <ul style="list-style-type: none"> • New mode of implementation : open call for tender • Not delegated • Will be published in 2017 • Published • Published • Not delegated

Preparation and publication of calls for tender: <ul style="list-style-type: none"> • <i>European Cluster Collaboration Platform (GRO/SME/16/C/052)</i> • <i>Worth Partnership Project (GRO/SME/16/C/061)</i> • <i>EDEN+: selection of new European Destinations of Excellence (GRO/SME/16/C/071)</i> • <i>Supporting tourism-related businesses to find international business partners in target markets (GRO/SME/16/C/076)</i> • <i>European Sustainable Chemicals Support Service (ESCSS) (GRO/SME/16/C/081)</i> • <i>Reinforcing cities and regions as centres of digital transformation (GRO/SME/16/C/101)</i> • <i>European Observatory for clusters and industrial change (GRO/SME/16/C/102)</i> • <i>Regional Cooperation Networks for Industrial Renaissance and Modernisation (RECONFIRM) (GRO/SME/16/C/103)</i> • <i>Study on potential of servitisation for EU SMEs (GRO/SME/16/C/111)</i> • <i>Overall vision on skills for smart industrial specialisation and digital transformation (GRO/SME/16/C/121)</i> • <i>Scaling up best practices and re-focus funds, programmes and incentives (GRO/SME/16/C/122)</i> • <i>Curriculum guidelines for KETs and advanced manufacturing (GRO/SME/16/C/123)</i> • <i>Promoting online training opportunities for the workforce (GRO/SME/16/C/124)</i> 	Number of calls published	16	11 <ul style="list-style-type: none"> • To be published early 2017 • Published • Published • Published • Published • Published • Published • Published • Published • Published • Published • Published
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<ul style="list-style-type: none"> • <i>Developing digital organisation frameworks in support of digital transformation and ICT professionalism (GRO/SME/16/C/125)</i> • <i>Supporting specialised skills development: Big Data, IoT and cyber-Security for SMEs (GRO/SME/16/C/126)</i> • <i>CSR Risk Check Tool (GRO/SME/16/C/152)</i> 			<ul style="list-style-type: none"> • Published • Publication in 2017 • Not delegated
Evaluation of the proposals	Time to inform	All applicants informed within 6 months after the call deadline	120 days
	% of proposals challenged under the evaluation review procedure	Less than 3%	0%
	Number of review requests that lead to re-evaluation	Not more than one	0
Grant agreement preparations:	Time to grant	100% of grant agreements signed within 9 months after the call deadline	As regards to 2015 calls about 93% of grants were signed within the deadline for one tourism call and 66% for another 2015 tourism call.
Evaluation and signature of procurement contracts:	Number of signed contracts	12	3
Management of specific contracts under a framework contract: <ul style="list-style-type: none"> • <i>SME Performance Review (GRO/SME/16/C/011)</i> • <i>SBA Implementation (GRO/SME/16/C/012)</i> • <i>Integrated Report on economic and entrepreneurship studies (GRO/SME/16/C/041)</i> 		6	<ul style="list-style-type: none"> • Specific Contract signed • Specifications will be sent to EASME early 2017

<ul style="list-style-type: none"> • <i>Information and awareness raising activities, organisation and participation in dedicated tourism events (GRO/SME/16/C/072)</i> • <i>"Virtual Tourism Observatory" (GRO/SME/16/C/075)</i> • <i>Review (study) of the implementation of the "Construction 2021" strategy</i> 			<ul style="list-style-type: none"> • 2 Specific contracts signed • Not delegated • <i>Published</i>
Monitoring of projects	Number of project meetings attended	At least one meeting attended per project	2
	Time to pay	100% of payments within legal deadlines	99%
Feedback to parent DG(s)	Number of Programme Committee meetings attended	All meetings attended	2 (100%)
			<i>The reports on results will be communicated to DG GROW at the end of the projects. DG GROW is involved in review and steering committees of all running actions</i>

Relevant general objective:		
A New Boost for Jobs, Growth and Investment		
Specific objective:		
To improve access to markets, particularly inside the Union but also at global level		
Main outputs in 2016:		
EXPENDITURE-RELATED OUTPUTS	INPUTS: operational expenditure (CA)	
	Budget line	EUR million

		02 02 01	99 ⁸
KEY ACTIONS	Indicator	Target	Latest known result/ Achieved : non-achieved
Promotion of the projects / programme			
Preparation and publication of calls for proposals: <ul style="list-style-type: none"> • <i>Organisation of the Network's Annual Conference (GRO/SME/16/B/01) (ad-hoc grant)</i> • <i>Cooperation with national agencies for internationalisation (GRO/SME/16/B/03)</i> • <i>EU-Japan Centre for Industrial Cooperation (GRO/SME/16/B/04) (ad hoc grant)</i> • <i>Points of Single Contact: increasing user-friendliness through users testing (GRO/SME/16/B/05)</i> • <i>Points of Single Contact: awareness raising (GRO/SME/16/B/05)</i> • <i>Improving SMEs' access to public procurement (GRO/SME/16/B/06)</i> 	Number of calls published	6	4 <ul style="list-style-type: none"> • Published • Cancelled • Published • Change of implementation mode : will be published in 2017 under a FWC • Published • Published
Preparation and publication of calls	Number of calls	1	1

⁸ This amount covers all specific objectives of COSME except for the specific objective 'to improve access to finance for SMEs in the form of equity and debt'

for tender:	published		<ul style="list-style-type: none"> Published
Evaluation of the proposals	Time to inform	All applicants informed within 6 months after the call deadline	120 days (on average)
	% of proposals challenged under the evaluation review procedure	Less than 3%	None
	Number of review requests that lead to re-evaluation	Not more than one	None
Grant agreement preparations:	Time to grant	100% of grant agreements signed within 9 months after the call deadline	213 days (on average)
Evaluation and signature of procurement contracts	Number of contracts signed	1	1
Management of specific contracts under a framework contract:	Number of contracts	<p>Tbd</p> <p>1</p>	<ul style="list-style-type: none"> Activities are performed in line with the Annual Guidance note of DG GROW Specific contract for infographic signed
Monitoring of projects	Number of project meetings attended	At least one meeting attended per project	1
	Time to pay	100% of payments within legal deadlines	99%
Feedback to parent of Programme	Number of meetings	All meetings	2

DG(s)	Committee meetings attended	attended	
			<i>DG GROW is involved in evaluation of projects and will receive periodic reports during the course of the projects</i>

2. Innovation in SMEs

Relevant general objective(s): A new boost for jobs, growth and investment			
Specific objective: To ensure an effective and efficient implementation of Horizon 2020 and maximise synergies			
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: operational expenditure (CA)	
		Budget line	EUR million
		02 04 02 03	36,7
KEY ACTIONS	Indicator	Target	Latest known result/ Achieved : non-achieved
Promotion of the projects / programme			
Preparation and publication of calls for proposals: <ul style="list-style-type: none"> European SME innovation associate – pilot (INNOSUP-02-2016) A better access to industrial technologies developed overseas (INNOSUP-08-2017) Enhancing innovation management capacities in SMEs (other action 1) (consultation of EEN) 	Number of calls published	3	3
Preparation and publication of calls	Number of calls published	4	2

		<i>innovation agencies (INNOSUP-05-2016-2017): 25</i>	
Evaluation and signature of procurement contracts: <ul style="list-style-type: none"> • <i>Social Innovation Competition</i> • <i>Provision of innovation management assessment tool (IMP3rove)</i> • <i>Further developing consulting capacity in innovation management in EEN (other action 3)</i> 	Number of signed contracts	3	2 <ul style="list-style-type: none"> • DG GROW action
Monitoring of projects	Time to pay	100% of payments within legal deadlines	99%
Feedback to parent DG(s)			
	<i>Examples of projects' results/feedback that the Agency provided to the parent DG and which can be used by the parent DG for its policy feedback/ work</i>		See in text

3. The SME-Instrument

Relevant general objective(s):		
A new boost for Jobs, Growth and Investment		
Specific objective:		
To ensure an effective and efficient implementation of Horizon 2020 and maximise synergies		
Main outputs in 2016:		
EXPENDITURE-RELATED OUTPUTS	INPUTS: operational expenditure (CA)	
	Budget line	EUR million
	02 04 02 01	11,4
	02 04 03 01	5,3
	05 09 03 01	15,8

		06 03 03 01	15,7
		08 02 02 01	31,8
			7,5
		08 02 03 01	35,0
		08 02 03 02	19,2
		08 02 03 03	23,0
		08 02 03 04	41,9
		08 02 03 05	19,7
		08 02 03 06	7,8
		09 04 02 01	60,0
		09 04 03 01	18,0
		09 04 03 02	3,0
		09 04 03 03	6,0
		18 05 03 01	9,4
		32 04 03 01	23,0
KEY ACTIONS	Indicator	Target	Latest known result/ Achieved : non-achieved
Promotion of the projects / programme			See annex 2
Preparation and publication of calls for tender: <ul style="list-style-type: none"> <i>SME Instrument business community activities (Phase 3: dedicated support actions)</i> <i>SME Instrument Academy (Phase 3: dedicated support actions)</i> <i>Access to New Geographical Markets – Overseas Trade Fair Participation Programme</i> 	Number of calls published	2	2 (SME Instrument business community activities and SME Instrument Academy were merged into one. All calls were published in Dec.2015. And reviewed in January 2016 to update to the new EU financial Regulation)
	Number of networking events	10	Over 10 (Including SIIS, Welcome Days, organisation of participation of SMEIs to pitching sessions and external events/fair)

(Phase 3: dedicated support actions)			trades)
Management of specific contracts under a framework contract: • <i>SME Instrument business community – interactive platform (Phase 3: dedicated support actions)</i>	Number of specific contracts	1	Several contracts were signed via the framework contract to hire developers working on the platform.
Evaluation of proposals	Time to inform	Phase 1: All applicants informed within 2 months after the corresponding cut-off date Phase 2: All applicants informed within 4 months after corresponding cut-off date	Phase 1 applicants informed within 61 day (on average) after the corresponding cut-off date Phase 2: applicants informed within 122 days (average) after corresponding cut-off date
	% of proposals challenged under the evaluation review procedure	Less than 3%	0%
	Number of review requests that lead to re-evaluation	Not more than one	0 (in 2016 received 132 requests (out of 12.055 proposals received) and none lead to re-evaluations)
Grant agreement preparations	Time to grant	Phase 1: 100% of grant agreements signed within 3 months after the final date for submission ⁹ Phase 2: 100% of grant agreements signed within 6 months after the final date for submission	Phase 1: 85 days (on average) for 100% of GAs. Phase II: 145 days (on average) for 100% of GAs. The delays in TTG were caused by: full ethics screening and subsequent commission decision for certain projects;

⁹ Excluding activities under the topic SMEInst-13-2016-2017: Engaging SMEs in security research and development

			SME validation can take considerable amount of time, especially when there are questions about its link to a third party.
	Number of grant agreements signed	Phase 1: 500 Phase 2: 150	Phase 1: 694 Phase 2: 214
Evaluation and of signature procurement contracts	Number of contracts signed	3	<p>1 contract was signed for Access to New Geographical Markets – Overseas Trade Fair.</p> <p>The signature of the contract for a merged call "SME Instrument business community activities and SME Instrument Academy" is delayed due to complaint from a tenderer under the Art. 22 Regulation 58/2003. The re-evaluation of the offer was undertaken. If no further comments the contract can be signed in the Q1 of 2017.</p>
Monitoring of projects	Time to pay	100% of payments within legal deadlines	95%
	Number of projects to be monitored	Phase 1: 950 Phase 2: 200	<p>Phase 1 : Around 900 projects running in the course of 2016 (Started before 31/12/2016 and finalised after 1/01/2016)</p> <p>Phase 2 : Around 400 projects running in the course of 2016 (Started before 31/12/2016 and finalised after 1/01/2016)</p>
Feedback to parent	Number of Programme	All meetings attended (upon	Yes

DG(s)	Committee meetings attended	invitation)	
	<i>Examples of projects' results/feedback that the Agency provided to the parent DG and which can be used by the parent DG for its policy feedback/ work</i>		<p>The report "Catalysing European Innovation" was published summarising lessons learnt from implementation 2014-2015 and first results.</p> <p>Multiple ad hoc requests were provided to DGs. Eg. Analysis of NMBP projects for DG RTD or Clustering of ODI projects for DG CONNECT.</p>

4. FTI

Relevant general objective(s):		
A new boost for Jobs, Growth and Investment		
Specific objective:		
To ensure an effective and efficient implementation of Horizon 2020 and maximise synergies		
Main outputs in 2016:		
EXPENDITURE-RELATED OUTPUTS	INPUTS: operational expenditure (CA)	
	Budget line	EUR million
	02 04 02 01	3,4
	02 04 03 01	1,5
	05 09 03 01	3,9
	06 03 03 01	4,4
	08 02 02 01	10,1
	08 02 03 01	14,7
	08 02 03 02	5,0
	08 02 03 03	6,9

		08 02 03 04	10,2
		08 02 03 05	5,7
		08 02 03 06	2,3
		09 04 02 01	17,9
		09 04 03 01	2,6
		09 04 03 02	0,8
		09 04 03 03	1,0
		18 05 03 01	2,9
		32 04 03 01	6,9
KEY ACTIONS	Indicator	Target	Latest known result/ Achieved : non-achieved
Promotion of the projects / programme			See annex 2
Evaluation of proposals	Time to inform	All applicants informed within 3 months after the corresponding cut-off date	applicants informed within 3 months (on average) after the corresponding cut-off date
	% of proposals challenged under the evaluation review procedure	Less than 3%	2 proposals (0,36%)
	Number of review requests that lead to re-evaluation	Not more than one	0
Grant agreement preparations	Time to grant	100% of grant agreements signed within 6 months after the final date for submission	100% of GA were signed after 276(1 st call) and 205 (2 nd call) days
	Number of grant agreements signed	60	48 (the budget available allowed only for this amount of projects)
Monitoring of projects	Time to pay	100% of payments within legal deadlines	achieved
	Number of projects	90	77

	to be monitored		
Feedback to parent DG(s)	Number of Programme Committee meetings attended	All meetings attended	Yes
	<i>Examples of projects' results/feedback that the Agency provided to the parent DG and which can be used by the parent DG for its policy feedback/ work</i>		See section 1.2.2

5. Societal challenge 'Secure, clean and efficient energy'

Relevant general objective(s):			
A resilient Energy Union with a forward looking climate policy			
Specific objective:			
Tapping the job and growth potential of the energy sector and further developing energy technologies (Horizon 2020), including ITER and the safe and secure use of nuclear energy.			
To contribute to the Research, Innovation and Competitiveness dimensions of the Energy Union, and climate-change policy			
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: operational expenditure (CA)	
		Budget line	EUR million
		32 04 03 01	94,1
KEY ACTIONS	Indicator	Target	Latest known result/ Achieved : non-achieved
Promotion of the projects / programme	Number of Info Days	At least one Info Day in Brussels and 5 events abroad	Achieved
			For more promotion activities please refer to annex 2
Preparation of calls for proposals:	Pool of experts established on time	Large pool of experts ready one month prior to the Call deadlines	achieved

Preparation and publication of calls for tender: <ul style="list-style-type: none"> <i>Sustainable energy investment forums</i> <i>Support to local energy actors</i> 	Number of calls published	2	1. "Sustainable energy investment forum" tender started on 28 th June 2016 2. "Support initiative to assist actors working on sustainable energy at the local and regional level (Managenergy initiative)": Call published on 23 November 2016
Evaluation of the proposals: <ul style="list-style-type: none"> <i>H2020-EE-2016</i> 	Time to inform	All applicants informed within 5 months after the call deadline	Achieved
	Number of proposals to be evaluated	450	284 proposals (less than expected but it seems a general trend in H2020)
	% of proposals challenged under the evaluation review procedure	Less than 3%	0 % There has not been any complaint from applicants on the evaluation results.
	Number of review requests that lead to re-evaluation	Not more than one	0%
Grant agreement preparations: <ul style="list-style-type: none"> H2020-EE-2015 (June 2015 deadline) H2020-EE-2016 (Jan 2016 deadline) 	Time to grant	100% of grant agreements signed within 8 months after the call deadline	Achieved

Evaluation and signature of procurement contracts	Number of service contracts signed	2	Achieved
Management of concerted actions	Number of concerted actions signed	1 (RES Directive concerted action follow-up) in Q3	Achieved
	Number of concerted actions meetings attended	All plenary meetings of the EPBD IV and RES III concerted actions attended	Achieved
Monitoring of projects	Number of project meetings attended	50 meetings attended	58 project meetings attended
	Time to pay	100% of payments within legal deadlines	Achieved
Feedback to parent DG(s)	Number of Programme Committee meetings attended	All meetings attended	Achieved
	Number of liaison meetings	At least 8 meetings	Achieved
	Number of policy-support events	At least 10 events (e.g. debriefing meeting on Call results/lessons; tender evaluation; inputs to policy documents; organisation and logistic support for EU Sustainable	Achieved. See section on 1.2.4 (the Agency has organised 4 policy sessions in EUSEW participated in 7 tender evaluations, liaise with DG ENER to input the Clean Energy package with more than 140 success stories from projects, participated in more than 9 workshops for preparing H2020 2018-2020 priorities.

		Energy Week	
		<p><i>Examples of projects' results/feedback that the Agency provided to the parent DG and which can be used by the parent DG for its policy feedback/work</i></p>	<p>The agency strongly supported DG ENER during the drafting of the Commission Staff Working Document 'Good practices in energy efficiency' as part of the Clean Energy Package adopted on 30th November 2016. The agency provided more than 140 success stories from its CIP IIE and H2020 projects in particular on: split incentives, project development assistance for deep renovation, energy efficiency obligations, metering and billing practices, role of cities and regions for target setting, energy services, public procurement, etc. It accompanies the package and make the case for energy efficiency measures.</p> <p>https://ec.europa.eu/energy/en/news/commission-proposes-new-rules-consumer-centred-clean-energy-transition</p> <p>In addition, the Agency joined every inter-service meeting and participated in all Programme Committee' meetings. It also participated in the board meetings of the H2020 contractual Public Private Partnership on processing industries (SPIRE) and energy-efficient buildings (EeB).</p> <p>The agency also assisted DG ENER in the preparation evaluation and monitoring of 7 of their own tenders:</p> <ul style="list-style-type: none"> • Tender on "Support in the preparatory work for Eco-design and energy labelling measures, including tyres labelling and Energy Star labelling programme"; • Tender on "Fuel poverty European Observatory"; • Tender on "Maintenance and update of the EU Building Stock Observatory"; • Tender on "data collection and benchmarking of energy efficiency investments performance (DEEP platform)"; • Tender on the "review of energy efficiency financing schemes"; • Tender on "Support for setting up a Smart Readiness Indicator for Buildings and related impact assessment"; • Tender "Feasibility study to finance low-cost energy efficiency measures in low-income households from EU fund".

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6. Societal challenge 'Climate action, environment, resource efficiency and raw materials'

Relevant general objective(s):			
A resilient Energy Union with a forward-looking climate-change policy			
Specific objective:			
To contribute to the Research, Innovation and Competitiveness dimension of the Energy Union and climate-change policy			
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: operational expenditure (CA)	
		Budget line	EUR million
		02 04 03 01	59,0
		08 02 03 05	238,0
KEY ACTION S	Indicator	Target	Latest known result/ Achieved : non-achieved
Promotion of the projects / programme	Number of Info Days	One Info Day on 2017 WP	As planned the Agency had one Horizon 2020 Information Day & Brokerage Event "Climate Action, Environment, Resource Efficiency & Raw Materials" which took place on September 14. The new 2017 Calls were introduced by 19 speakers from DG RTD and DG GROW, JRC and EASME. The event was web-streamed (with up to 481 live web-streams) and there was a possibility to submit questions on twitter. 457 participants attended the Info day. Around 200 participants attended the afternoon brokerage session, during which over 500 bilateral meetings were held. Results of the Info day's survey were very positive, with 94% fully satisfied participants, also with highly appreciated brokerage session.
	Number of meetings	At least 3 (project/networking meetings, GEO European Projects	On 15 February the Agency organised a workshop to share lessons learnt from the evaluations exercise of 2015 with colleagues from DG RTD and DG GROW. The GEO European Projects Workshop took place between 31 May and 2 June. This event was organized jointly by the Agency, DG RTD, the

		Workshop)	<p>Museum für Naturkunde and Federal Ministry of Transport and Digital Infrastructure of Germany. Representatives from science, business and public administration met in Berlin to discuss the European Earth observation initiative's contributions to the Global Earth Observations System of Systems (GEOSS). The event also allowed a number of EU-funded projects managed by EASME to meet stakeholders, share experiences, and discuss cooperation. More than 200 participants including over 100 speakers attended the event.</p> <p>In May, 3 CSAs funded under call H2020-Water4a-2016 presented their progress and outlined planned activities including expected impacts and potential synergies with other EU projects and initiatives at the event "What's next in EU water research and innovation" where parent DGs were present.</p> <p>In October, the Agency organised an Air Quality Workshop, as a side-event of the European Week of Regions and Cities. The workshop brought together three recently started H2020 projects (CLAiR-CITY, iSCAPE, ICARUS) and relevant stakeholders from cities and regions in order to discuss ways to improve air-quality and carbon footprint. Representatives from DG REGIO, DG GROW, DG ENV, JRC and DG RTD participated in the workshop.</p> <p>On November 22 a "Resource efficiency workshop" organised by Construction Products Europe (CPE) took place in Brussels. The first part of the workshop was dedicated to the EC initiatives in the field of buildings, with presentations delivered by colleagues of DG GROW and DG ENV. During the second part, three H2020 projects (FISSAC, BAMB, and HISER) managed by EASME were presented providing feedback to EC services.</p> <p>The Agency together with DG RTD organized a coordination workshop of Citizens' Observatories projects, bringing together representatives of concluded FP7 projects and on-going H2020 projects in the area of citizens' observatories from 24 to 25 November.</p> <p>Agency representatives participated in several events of the first edition of the Raw Materials week (from 28 November to 2 December) organized by DG GROW, to present the implementation of the Raw Materials part of Horizon 2020 delegated to EASME. The Agency also organized the First Cluster & Networking event "Critical Raw Materials and Substitution", where nine H2020 projects presented and discussed their work.</p>
		<u>Promotional items</u>	The Programme Climate Action, Environment,

	<u>(infographics, posters, roll-ups)</u>		<p>Resource Efficiency and Raw Materials has six roll-ups. 2994 infographics and 99 posters were distributed during 2016 in the Info day 2016, workshops, conferences, project meetings and joint events.</p> <p>Social media</p> <p>At least 6 colleagues in Unit B2 have a twitter account and communicate regularly on the development of their projects. Several of the colleagues have been "nominated" as EASME digital ambassadors by the Communication services</p>
<p>Preparation of calls for proposals :</p> <ul style="list-style-type: none"> • H2020 -SC5-2016-One-Stage • H2020 -SC5-2016-Two-Stage • H2020 - CIRC-2016-One-Stage • H2020 - CIRC-2016-Two-Stage • H2020 -SCC-NBS-2016-One-Stage • H2020 -SCC-NBS-2016-Two-Stage • H2020 -BG-2016-One-Stage 	<p>Pools of experts established on time</p>	<p>Two pools of around 550 experts ready one month prior to the Call deadlines</p>	<p>In order to conduct the evaluation of the proposals of the topics coordinated by EASME B2, two pools of 624 experts' evaluators were set up: one pool of 535 for the one stage and first stage of two stage topics and another pool of 89 experts for the second stage of two stage topics. In addition, there was a pool with 4 observers and two pools with 6 Ethics experts. The pools of experts were established within the deadlines.</p> <p>The following figure offers some information about the expert's evaluators selection conducted for the evaluation of proposals during 2016:</p> <p><u>Figure 1: Experts Evaluators involved in 2016 calls for proposal</u></p> <p>Planning for the evaluations of the 2017 calls is ongoing with the input of the Parent DGs. In 2016,</p>

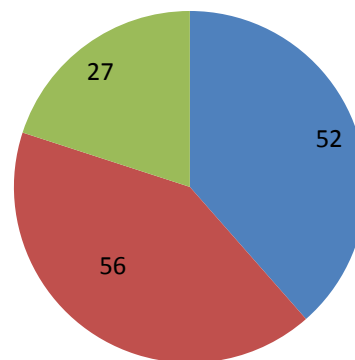
<ul style="list-style-type: none">• H2020-SC5-2017-One-Stage• H2020-SC5-2017-Two-Stage• H2020-CIRC-2017-Two-Stage• H2020-SCC-2017-One-Stage• H2020-BG-2017-Two-Stage• H2020-SFS-2017-1		<p>EASME started the coordination of the following calls with a due date during the first quarter of 2017:</p> <table><tr><th>CALL</th><th>CALL ID</th></tr><tr><td>H2020-IND-CE-2016-2017</td><td>H2020-CIRC-2017-two-stage</td></tr><tr><td>H2020-SC5-2016-2017</td><td>H2020-SC5-2017-OneStage</td></tr><tr><td>H2020-SC5-2016-2017</td><td>H2020-SC5-2017-OneStageA</td></tr><tr><td>H2020-SC5-2016-2017</td><td>H2020-SC5-2017-Twostage</td></tr><tr><td>H2020-SCC-2016-2017</td><td>H2020-SCC-2017-Twostage</td></tr><tr><td>Other Actions</td><td>IPCC Secretariat_2017</td></tr></table> <p>The submission period for proposals related to call H2020-SC5-2017-one-stageA closed on 24 January 2017. The submission period for proposals related to calls H2020-SC5-2017-one-stage, H2020-SC5-2017-two-stage, H2020-CIRC-2017-TwoStage and H2020-SCC-2017-TwoStage is ongoing and will close on 7 March 2017. The parent DGs have been consulted on the pool of experts that will evaluate these calls. For the Other actions - IPCC secretariat the deadline is 2 May 2017.</p> <p>For these topics, the submission period will close 14 February 2017 and the lists of experts were sent to REA in December 2016.</p>	CALL	CALL ID	H2020-IND-CE-2016-2017	H2020-CIRC-2017-two-stage	H2020-SC5-2016-2017	H2020-SC5-2017-OneStage	H2020-SC5-2016-2017	H2020-SC5-2017-OneStageA	H2020-SC5-2016-2017	H2020-SC5-2017-Twostage	H2020-SCC-2016-2017	H2020-SCC-2017-Twostage	Other Actions	IPCC Secretariat_2017
CALL	CALL ID															
H2020-IND-CE-2016-2017	H2020-CIRC-2017-two-stage															
H2020-SC5-2016-2017	H2020-SC5-2017-OneStage															
H2020-SC5-2016-2017	H2020-SC5-2017-OneStageA															
H2020-SC5-2016-2017	H2020-SC5-2017-Twostage															
H2020-SCC-2016-2017	H2020-SCC-2017-Twostage															
Other Actions	IPCC Secretariat_2017															

Evaluation of proposals <ul style="list-style-type: none">• H2020-SC5-2016-One-Stage• H2020-SC5-2016-Two-Stage• H2020-CIRC-2016-One-Stage• H2020-CIRC-2016-Two-Stage• H2020-SCC-NBS-2016-One-Stage• H2020-SCC-NBS-2016-Two-Stage• H2020-BG-2016-One-Stage	Time to inform	All applicants informed within 5 months after the call deadline	<p>All awarded projects during 2016 complied with the deadlines of Time To Inform (TTI) and Time To Grant (TTG).</p> <p>The following table shows the TTI and TTG statistics for 2016:</p> <p><u>Table 1: Grant Agreements 2016, Time to Inform/Time to Sign/Time to Grant</u></p> <table><tr><th>Days</th><th>Deadline</th><th>Interval</th><th>Average</th></tr><tr><td>TTI</td><td>153</td><td>98-148</td><td>123</td></tr><tr><td>TTS</td><td></td><td>82-143</td><td>114</td></tr><tr><td>TTG</td><td>245</td><td>125-244</td><td>235</td></tr></table>	Days	Deadline	Interval	Average	TTI	153	98-148	123	TTS		82-143	114	TTG	245	125-244	235
	Days	Deadline	Interval	Average															
	TTI	153	98-148	123															
	TTS		82-143	114															
TTG	245	125-244	235																
Number of proposals to be evaluated	Around 1000	In 2016 296 proposals were evaluated including the re-evaluation of 2 redressed proposals.																	
% of proposals challenged under the evaluation review procedure	3%	Less than 3%																	
Number of review requests that lead to re-evaluation	Not more than one	The total redress requests in 2016 were: 6 in the framework of second stage of the H2020-SC5-WASTE-WATER-2015-TwoStage (Evaluation Review Committee recommended re-evaluation of two of the project proposals) and 1 redress corresponded to 2016 calls (H2020-CIRC-Two Stage Firststage). During 2016 there were two re-evaluations sessions for successful redresses.																	
Grant agreement preparations	Time to grant	100% of grant agreements signed within 8 months	<p><u>Table 1: Grant Agreements 2016, Time to Inform/Time to Sign/Time to Grant</u></p> <table><tr><th>Days</th><th>Deadline</th><th>Interval</th><th>Average</th></tr></table>	Days	Deadline	Interval	Average												
Days	Deadline	Interval	Average																

<ul style="list-style-type: none">• H2020-SC5-2015-Two-Stage• H2020-WASTE-2015-Two-Stage• H2020-WATER-2015-Two-Stage• H2020-DRS-2015-One-Stage• H2020-BG-2015-Two-Stage• H2020-SC5-2016-One-Stage• H2020-CIRC-2016-One-Stage• H2020-SCC-NBS-2016-One-Stage• H2020-BG-2016-One-Stage		after the call deadline	<table><tr><th colspan="4">e</th></tr><tr><td>TTI</td><td>153</td><td>98-148</td><td>123</td></tr><tr><td>TTS</td><td></td><td>82-143</td><td>114</td></tr><tr><td>TTG</td><td>245</td><td>125-244</td><td>235</td></tr></table>	e				TTI	153	98-148	123	TTS		82-143	114	TTG	245	125-244	235
	e																		
	TTI	153	98-148	123															
	TTS		82-143	114															
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Number of grant agreements signed	Around 70	During 2016, 65 Grant Agreements (GAs) were signed from 04/02/2016 corresponding to 2015 calls (two stage) and 2016 calls (one stage). One GA corresponded to a proposal from the reserve list (H2020-WASTE-2015-two-stage). By the end of 2016, 24 GAs were under preparation to be signed in the course of 2017, of which, 1 GA under preparation corresponds to a reserve list proposal. GAs were signed, responding to H2020-SC5-2015-two-stage, H2020-BG-2016-1, H2020-BG-2015-2, H2020-WATER-2015-two-stage, H2020-SC5-2016-OneStageB, H2020-DRS-2015, H2020-WASTE-2015-two-stage, H2020-SCC-NBS-1stage-2016 and H2020-CIRC-2016OneStage calls, between 82 up to 143 days after the calls' deadlines and being granted between 125 to 244 days after calls' deadlines.																	
Monitoring of projects	Number of kick-off meetings attended	Around 45 meetings attended	In 2016, PAs attended a total 59 Kick-off meetings. In 2016, some Project Advisors arranged to participate in the kick-off meetings via skype.																
	Number of interim	37	24																

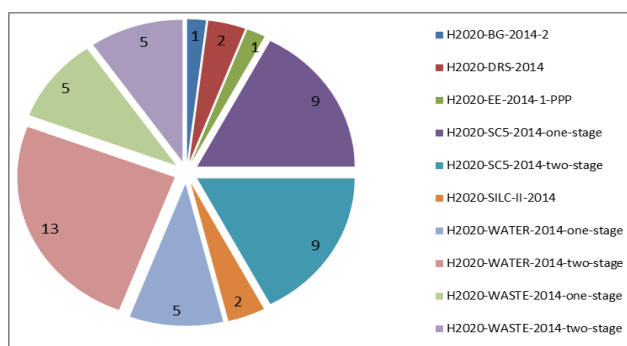
	reports received																																			
	Number of projects monitored	108	<p>On December 31 2016, 135 projects were being monitored under Societal Challenge 5. 52 projects corresponded to 2014 calls, 56 projects from 2015 calls and 27 projects from the 2016 one stage calls. The following table shows the projects that will end in 2017:</p> <table><tr><th>PROJECT</th><th>CALL</th><th>TOPIC</th></tr><tr><td>BlueSCities</td><td>H2020-WATER-2014-one-stage</td><td>WATER-4a-2014</td></tr><tr><td>FREEWAT</td><td>H2020-WATER-2014-one-stage</td><td>WATER-4a-2014</td></tr><tr><td>KINDRA</td><td>H2020-WATER-2014-one-stage</td><td>WATER-4a-2014</td></tr><tr><td>MSP-REFRAM</td><td>H2020-WASTE-2015-one-stage</td><td>WASTE-4d-2015</td></tr><tr><td>OptimOre</td><td>H2020-SC5-2014-one-stage</td><td>SC5-11b-2014</td></tr><tr><td>PPI4Waste</td><td>H2020-WASTE-2014-one-stage</td><td>WASTE-5-2014</td></tr><tr><td>ProSUM</td><td>H2020-WASTE-2014-one-stage</td><td>WASTE-4c-2014</td></tr><tr><td>T2gE</td><td>H2020-SC5-2016-OneStageA</td><td>SC5-24-2016</td></tr><tr><td>WATERINN EU</td><td>H2020-WATER-2014-one-stage</td><td>WATER-4a-2014</td></tr><tr><td>WIDEST</td><td>H2020-WATER-2014-one-stage</td><td>WATER-4a-2014</td></tr></table> <p>The following graphs show new projects managed by year and by call</p> <p><u>Graph 4: Projects in the pipeline</u></p>	PROJECT	CALL	TOPIC	BlueSCities	H2020-WATER-2014-one-stage	WATER-4a-2014	FREEWAT	H2020-WATER-2014-one-stage	WATER-4a-2014	KINDRA	H2020-WATER-2014-one-stage	WATER-4a-2014	MSP-REFRAM	H2020-WASTE-2015-one-stage	WASTE-4d-2015	OptimOre	H2020-SC5-2014-one-stage	SC5-11b-2014	PPI4Waste	H2020-WASTE-2014-one-stage	WASTE-5-2014	ProSUM	H2020-WASTE-2014-one-stage	WASTE-4c-2014	T2gE	H2020-SC5-2016-OneStageA	SC5-24-2016	WATERINN EU	H2020-WATER-2014-one-stage	WATER-4a-2014	WIDEST	H2020-WATER-2014-one-stage	WATER-4a-2014
PROJECT	CALL	TOPIC																																		
BlueSCities	H2020-WATER-2014-one-stage	WATER-4a-2014																																		
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WIDEST	H2020-WATER-2014-one-stage	WATER-4a-2014																																		

■ 2014 ■ 2015 ■ 2016

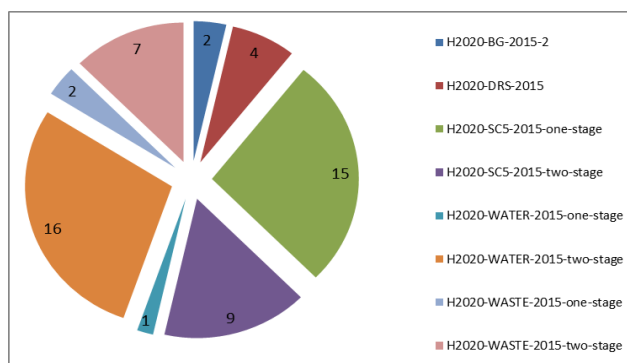


Graph 5: Projects by Call (2014-2016)

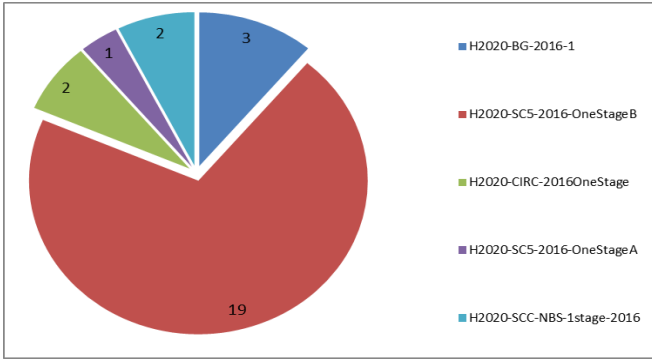
2014



2015



2016

			 <p>Legend:</p> <ul style="list-style-type: none"> H2020-BG-2016-1 H2020-SC5-2016-OneStageB H2020-CIRC-2016OneStage H2020-SC5-2016-OneStageA H2020-SCC-NBS-1stage-2016
	Time to pay	100% of payments within legal deadlines	96%
Feedback to parent DG(s)	Number of Programme Committee meetings attended	All meetings attended	All Programme Committee meetings have been attended with exception of one. The Head of Unit made three presentations to the H2020 SC5 Programme Committee – on "SME in SC5 Two Stage 2015" in February, on "2016 One Stage and first stage of Two Stage evaluation results" in June and on "2016 Two Stage evaluation results" in November
	Number of liaison meetings	Throughout the year on a regular basis, usually weekly	<p>On December 8, EASME participated in the Cross Cutting Issues Group meeting. The draft guidelines for implementing the focus areas in the H2020 WP 2018-2020 were discussed. Some issues remain open as it regards the number of topics that can be considered enough to represent a stand-alone call and the topic identifier. During the meeting, several times the chair express the willingness to open as much as possible the preparation of the H2020 WP 2018-2020 to the Executive Agencies. The Agency participates in CCIG meetings every 15 days</p> <p>EASME is managing 6 Blue Growth projects for a total budget of around EUR 70 million, is participating in the Blue Growth coordination meetings organised by DG RTD F4. 3 meetings were held in 2016. Beyond improving synergies between services, the objective of these meetings is to assess the progress made in the implementation of the Blue Growth policy agenda.</p> <p>The Agency is officially represented in the Gender and Innovation in Research and Innovation group which is led by DG RTD in order to contribute to gender equality in research and innovation (5 meetings in 2016).</p>

	Evaluation results / impacts transmitted to parent DGs	For every call	In 2016, the Agency prepared several Call Evaluation Reports (CERs) per call/part of call, one-stage, first-stage and second-stage. The reports were prepared as request from the vademecum and they are shared with the parent DG for information (some are co-signed by them). The Agency is working with the following parent DGs: GROW and RTD. Both DGs had access to the report and the annexes.
	<i>Examples of projects' results/feedback that the Agency provided to the parent DG and which can be used by the parent DG for its policy feedback/ work</i>		See section 1.2.5

7. LIFE

Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: operational expenditure	
		Budget line	EUR million (CA)
		07 02 01	75,5
		07 02 02	97,5
		07 02 03	29,14
		34 02 01	25,13
		34 02 02	32,71
		34 02 03	10,13
KEY ACTIONS	Indicator	Target	Latest known result/ Achieved : non-achieved
Promotion of the projects / programme			See annex 2
Preparation and publication of calls for proposals: • <i>Action grants for traditional projects</i>	Number of calls published	4	- 12/09/2016 (LIFE ENV - - 15/09/2016 (LIFE NAT and GIE) - 07/09/2016 (LIFE

<ul style="list-style-type: none"> • CLIMA integrated projects • NGO annual operating grants • CLIMA technical assistance projects 			Clima) - 26/09/2016 - 28/07/2016
Evaluation of the proposals	Time to inform	All applicants informed within max. 6 months after the call deadline	Between 56 and 182 days = within the max.
	Number of proposals to be evaluated	Around 1300	909 proposals to be evaluated (less proposals were submitted by applicants)
	% of proposals challenged under the evaluation review procedure	Less than 3%	1 %
	Number of review requests that lead to re-evaluation	Not more than one	1
Grant agreement preparations	Time to grant	100% of grant agreements signed within 9 months after the call deadline	91% were signed on time, between 147 – 400 days
	Number of revisions and signed grant agreements	Around 200	217 project revised and Grant agreements signed
Monitoring of projects	Number of projects to be monitored	Around 200	397 open projects in 2016 (this includes the NGO SGA 2014 for which the final payment was made in 2016)
	Time to pay	100% of payments within legal deadlines	100% on time
Conferences, National Contact Point (NCP) training sessions, meetings	Number	1 NCP training Around 8 thematic kick-off meetings	80 participants from members states 9 LIFE2015 KO meetings: 336 participants 127 participants to NGO KO +1 meeting (organised by

			Neemo). European Infoday in Brussels (125 participants) Unit staff participated in 4 info days/meeting organised in MS (outreach of 500 participants)
Feedback to parent DG(s)	Policy Integration Strategy (as defined in the MoU) drafted and agreed with DG ENV/DG CLIMA	Strategy sent to DG ENV and DG CLIMA by end of first quarter 2016	Finalised and agreed. The implementation already started.
	Contribution to the mid-term evaluation exercise of LIFE	Throughout 2016	Throughout 2016 and Staff working document presented.
	<i>Examples of projects' results/feedback that the Agency provided to the parent DG and which can be used by the parent DG for its policy feedback/ work</i>		- LIFE15 ENV/IT/000585 LIFE DOP - LIFE15 ENV/NL/000217 CLINSH

8. EMFF

Relevant general objectives:		
A New Boost for Jobs, Growth and Investment		
A Resilient Energy Union with a Forward-Looking Climate Change Policy		
Towards a New Policy on Migration		
Specific objective:		
Sustainable and competitive fisheries and aquaculture		
Main outputs in 2016:		
EXPENDITURE-RELATED OUTPUTS	INPUTS: operational expenditure (CA)	
	Budget line	EUR million
	11 06 61	32,1

		00	
		11 06 62 01	1,7
		11 06 62 02	10,2
KEY ACTIONS	Indicator	Target	Latest known result/ Achieved : non-achieved
Promotion of the projects / programme	Number of Info Days	<p>One Info Day for the 3 Blue Growth calls for proposals (depending on the readiness of the 3 calls concerned).</p> <p>For other calls, information sessions will be organised as part of or back-to-back with other events as necessary</p>	<ul style="list-style-type: none"> • Launch event for the 3 Blue Growth calls for proposals organised in cooperation with DG MARE on 5/4/2016. 120 attendants from 17 countries mainly public and private maritime stakeholders. • Information sessions on other calls: <ul style="list-style-type: none"> ○ For the 2016 MSP projects call for proposals, the objectives were presented on 22 November 2016 at the MSP Expert Group meeting in Riga; ○ The 2016 call for proposals on Nautical Routes was launched on 29 November 2016 by Commissioner Vella at the occasion of the European Tourism Day. ○ The 3 Blue Growth calls for proposals were also promoted at the Farnet meeting on 16 March 2016.
			For further communication activities, please refer to annex 2.
Preparation and publication of calls for proposals:	Number of calls published	5	<p>5 (100%)</p> <p>In view of synergies and cost-efficiency, the 2016 <i>CISE implementation</i> call for proposals jointly with the same 2017 <i>CISE</i> action under the 2017 EMFF WP begin 2017.</p>

<ul style="list-style-type: none"> • Blue technology • Blue labs • MSP projects (4 lots) • CISE implementation • Chartering & purchase of joint means for fisheries control 			<p>The <i>Chartering & purchase of joint means for fisheries control</i> action was withdrawn in the second amendment of 2016 EMFF WP.</p> <p>The same amendment introduced a new call for proposals to the 2016 EMFF WP, <i>Nautical Routes for Europe</i>, which was launched in 2016.</p>
<p>Preparation and invitation to apply for ad hoc grants:</p> <ul style="list-style-type: none"> • Promoting the blue economy in the Mediterranean sea basin • European Coast Guard Functions Forum • Mediterranean Coast Guard Functions Forum • Work plan for developing Coast Guard Functions in the EU • Development of Sectorial Qualifications 	Number of invitations to apply issued	5	5 (100%)

Framework for Coast Guard Functions			
<p>Preparation and publication of calls for tenders:</p> <ul style="list-style-type: none"> • EMODnet (6 lots: geology, habitats, chemistry, biology, physics, human activity) • EMODnet secretariat • Assistance mechanism for MSP • International Ocean Governance – Scientific support • FWC for expert support for maritime affairs and blue economy • Study on ownership of exclusive rights of fisheries means of 	Number of calls published	8	<p>8 (100%)</p> <p>The planned number of calls for tenders was published in 2016, with the following changes:</p> <ul style="list-style-type: none"> • the Assistance mechanism for MSP action was implemented through a contract renewal instead of a call for tenders; • the FWC for expert support for maritime affairs and blue economy was withdrawn in the second amendment of the 2016 EMFF WP; • under the same amendment of the 2016 EMFF WP two new calls for tenders were launched: <ul style="list-style-type: none"> ◦ Inter-institutional service framework contract for Better Regulation related activities in Common Fisheries Policy (CFP), excluding its international dimension and Integrated Maritime Policy (IMP) ◦ Study on validating age-determination of anglerfish and hake.

production <ul style="list-style-type: none"> • FWC for scientific advice for fisheries beyond EU waters • FWC for scientific advice for the Mediterranean and the Black Sea 			
Preparation and issuing of service requests under framework contracts: <ul style="list-style-type: none"> • Integrated Maritime Surveillance Communication Strategy • Scientific advice for fisheries beyond EU waters (up to 5 specific contracts) • Scientific advice for the Mediterranean and Black Sea (up to 4 specific contracts) 	Number of service requests issued	7	4 (57%) The Integrated Maritime Surveillance communication Strategy was withdrawn in the second amendment to the 2016 EMFF WP. The Framework Contract to be used initially for Scientific Advice for fisheries beyond EU waters was terminated by DG MARE. The successor Framework Contract for scientific advice for fisheries beyond EU waters was signed in the last quarter of 2016. Pending policy instructions, the call for tenders for the Framework Contract for the Mediterranean and Black Sea could be launched only in the second semester of 2016. As a consequence, the planned service requests under these framework contracts had to be postponed to 2017.

Evaluation of grant proposals	Time to inform	All applicants informed within 6 months after the call deadline	100%
	Number of ad hoc grant proposals evaluated	5	5 (100%)
	Number of calls for proposals evaluated	7	6 (86%) The evaluation of the Blue Technology call for proposals was undertaken in 2016 but the award decision will be signed begin 2017.
	% of proposals challenged under the evaluation review procedure	Less than 3%	1.5%
	Number of review requests that lead to re-evaluation	Not more than one	0 No redress committee was held in 2016.
Grant agreement preparations	Time to grant	100% of grant agreements signed within 9 months after the	100%

		call deadline	
Evaluation and signature of procurement contracts	Number of calls for tenders evaluated	10 calls for tenders resulting in 16 contracts	<p>5 calls for tenders resulting in 5 contracts (50%-31%)</p> <p>While the evaluation was finalised in 2016, the award decision for 3 of the planned calls for tenders and the resulting 7 contracts will be signed begin 2017.</p> <p>The call for tenders for a Framework Contract for expert support for maritime affairs and the blue economy was withdrawn from the 2016 EMFF WP.</p> <p>The call for tenders for a Framework Contract for the Mediterranean and Black Sea was launched in the second semester of 2016; the evaluation and contracting will take place in 2017.</p>
	Number of service offers evaluated	7 service requests resulting in 7 contracts	<p>7 service requests resulting in 6 contracts (100%-71%)</p> <p>Due to the termination of a Framework Contract for scientific advice for fisheries beyond EU waters (see above) one service request had to be cancelled after the award decision.</p>
Monitoring of projects / grant agreements	Number of project meetings attended	One meeting per project during the project lifetime and kick-off meeting where appropriate	6 kick-off meetings and 31 individual project meetings (100%)
	Number of ongoing grant agreements	36	<p>32 grant agreements ongoing</p> <p>The slightly lower number of grant agreements than planned is mainly due to the limited number of proposals received under the 2015 CISE implementation call for proposals.</p>
	Time to pay	100% of payments within legal deadlines	100%

Monitoring of procurement contracts	Number of ongoing contracts	53	37 contracts ongoing (70%) The lower number of contracts than planned is due to the slower finalisation of calls for tenders and issuing of service requests (see evaluation and signature of procurement contracts above).
	Number of meetings with contractors	As stipulated in each contract	100% All contractually required meetings with contractors were held, resulting in a total of 117 meetings for a total of 30 service contracts. This means an average of more than three meetings per contract.
	Time to pay	100% of payments within legal deadlines	100%
Feedback to parent DG(s)	Number of Programme Committee meetings attended	All meetings attended	All 3 meetings of the EMFF Committee held on 2/3, 27/6, 24/10 were attended and the necessary contributions delivered for the reporting on the implementation progress and planning of EMFF delegated actions.
	Number of liaison meetings	4 quarterly high level coordination meetings (Bi)weekly coordination meetings at HoU level Regular progress meetings at project adviser level	One high level coordination meeting took place on 16/3. As there were no major issues to discuss in the second and third quarters, it was agreed not to hold a high level meeting in those periods. As to the meeting for the 4 th quarter, it was agreed that it would be more useful to meet early 2017, after the entry into force of the reorganisation of DG MARE. Coordination meetings at Heads of Unit level were held regularly, in particular in the period of the preparation of the 2017 EMFF WP and the revisions of the 2016 WP, as well as on a bilateral basis to take individual delegated actions forward where necessary. 3 bilateral unit meetings were organised to discuss the state of play of delegated actions. Project advisers continued to collaborate with DG MARE policy officers regularly for the implementation of the delegated actions; meetings were particularly frequent for the preparation of calls, evaluation committees and implementation of service contracts requiring a significant policy steer.
	Feedback on completed	Feedback sheet upon closure of the	Only a few delegated actions ended in 2016. For service contracts, DG MARE was kept continuously up to date on policy relevant results through the instant communication of reports and

	actions	action	<p>deliverables and its participation in the meetings with contractors.</p> <p>For grants, DG MARE was equally invited to meetings with beneficiaries and systematically informed on the outcomes of on the spot monitoring visits.</p>
	<p><i>Examples of projects' results/feedback that the Agency provided to the parent DG and which can be used by the parent DG for its policy feedback/ work</i></p>		<p>As main outcome of the service contract for the <i>Ocean Energy Forum secretariat</i> (action 2014/1.3.1.6), a Strategic Roadmap "Building Ocean Energy for Europe" was delivered to the Commission in November 2016. This roadmap is already guiding EU investment initiatives in this emerging sector of the blue economy.</p> <p>The contract on the Estimation of surplus for Sustainable Fisheries Partnership Agreements resulted in scientific advice to the Commission on the concept of "surplus", to be used in the negotiations and signature of the Sustainable Fisheries Partnership Agreements (SFPA) with third countries. Those SFPA aim at ensuring a sustainable exploitation of marine resources and that EU fishing vessels operating in third countries' waters limit their catch to the available biological potential catch minus the potential catch of the national fleet. The final report of the study was published in 2016</p>

9. CIP-Intelligent Energy - Europe Programme

Relevant general objective(s):			
A resilient Energy Union with a forward looking climate policy			
Specific objective:			
Promoting the moderation of energy demand			
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: operational expenditure (PA)	
		Budget line	EUR million
		32 04 53	45
KEY ACTIONS	Indicator	Target	Latest known result/ Achieved : non-achieved
Communication	Number of contractors	At least 3 meetings	4 contractor meetings have been organised with IEE and H2020

	meetings		projects. They are explained under H2020 Energy Efficiency Challenge section.
Monitoring of projects	Number of project meetings attended	30 meetings attended	Achieved; 53 consortium meetings of IEE projects have been attended
	Time to pay	100% of payments within legal deadlines	98.21%
Follow-up of IEE facilities	Number of IEE facilities delivering high quality service	2 IEE portals: Energy Efficient Products Facility and Build Up	Achieved
Management of concerted actions	Number of concerted actions meetings attended	All plenary meetings of EED and RES II concerted actions attended	Achieved
Feedback to parent DG	Number of new energy policy initiatives using IEE results	At least 3 policy files (Heating & Cooling Strategy, Buildings Directive review, EE Directive review)	Achieved. Bioenergy tender results, overview of heating and cooling projects, buildings-related projects tender evaluation, Build Up Skills projects evaluation. They are explained under H2020 Energy Efficiency Challenged section.
	Number of articles and speeches	At least 10 articles or public interventions or other forms of communication (e.g. web-based media tools)	Achieved. See section 1.2.4
	<i>Examples of projects' results/feedback that the Agency provided to the parent DG and which can be used by the parent DG for its policy feedback/ work</i>		Achieved. The three Concerted Actions managed by the Agency (EPBD, EED, RES) have provided timely input to the revision of the EPBD, RES and EED

		<p>Directives.</p> <p>The agency contributed to the work of the Energy Efficiency Finance Institutions Group (EEFIG) on the performance of real, executed energy efficiency investments and assisted DG ENER for the drafting of the Smart Finance for Smart Buildings Initiative based on the input of IEE financing projects.</p> <p>The Agency has provided continuous feedback to DG ENER on IEE projects results in 2016. For example:</p> <p>The Agency provide feedback to DG ENER Study on low cost energy efficiency measures for low income households with (FIESTA, ACHIVE, EC LINC and Energy Ambassadors projects) are showcased in the report and in the summary brochure. The Agency also promoted the outputs of these projects to DG JUST and in the frame of the Vulnerable consumers working group and within the energy poverty observatory launched by DG ENER in 2016.</p> <ul style="list-style-type: none"> •The Agency fed back to DG GROW, DG ENER, and the Advisory Committee for Eco
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		design/Labelling on the new development regarding the Information and Communication System for Market Surveillance (ICSMS) and the Directive Related Product Information (DRPI) based on the results of the IEE project Ecopliant.
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10. CIP Eco Innovation

Relevant general objective(s):			
A New Boost for Jobs, Growth and Investment			
Specific objective:			
To turn the EU into a resource-efficient, green and competitive economy			
Main outputs in 2016:			
EXPENDITURE-RELATED OUTPUTS		INPUTS: operational expenditure (PA)	
		Budget line	EUR million
		02 04 53	14,5 (C1,C4 & C5 budget lines)
KEY ACTIONS	Indicator	Target	Latest known result/ Achieved : non-achieved
Communication	Published infograph on impact of eco-innovation projects	1	http://europa.eu/!fH77HJ
	Eco-innovators Day	1 (100 projects represented, 3 policy units represented, 2 other units of EASME represented)	28 projects represented in the B2I matchmaking event/Tallinn 26-28October 2016.
Monitoring of projects	Number of projects monitored	Around 120	150 ongoing projects
	Number of reports	Around 80	73 reports (PR, IR & FR)

	assessed		
	Number of amendments	Around 30	38 Amendment requests 2016
	Number of project visits	40	43 ECO-I missions performed in 2016
	Number of beneficiaries invited to Brussels	10	8 meetings with Coordinator projects took place in Brussels
	Time to pay	100% of payments within legal deadlines	93% payments made within legal deadlines
Feedback to parent DG(s)	<i>Examples of projects' results/feedback that the Agency provided to the parent DG and which can be used by the parent DG for its policy feedback/ work</i>		- Recall (Eco/11/304440) (see above)