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DRAFT GENERAL BUDGET OF THE EUROPEAN UNION

for the financial year 2021

#EUBUDGET

Bodies set up by the EU having
legal personality

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Working Document Part III

Budget

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DRAFT GENERAL BUDGET
of the European Union
for the financial year 2021

Working Document
Part III

**Draft General Budget
of the European Union
for the Financial Year 2021**

Working Document Part III

Bodies set up by the European Union having legal personality

Draft Budget Working Documents

The 2021 Draft Budget is accompanied by twelve ‘Working Documents’, as follows:

Part I: Programme Statements of operational expenditure

Working Document I contains, pursuant to Article 41(3)(h) of the Financial Regulation, Programme Statements, which are coherent with the current legal bases and provide details on the resources dedicated to each spending Programme for the period 2014-2020.

Part II: Human Resources of the EU institutions and executive agencies

Working Document II presents information on the human resources of the EU institutions and executive agencies, and in particular for the Commission, both for the establishment plans and for external personnel and across all headings of the multiannual financial framework. Moreover, pursuant to Article 41(3)(b) of the Financial Regulation, it provides a summary table for the period 2014 – 2021 which shows the number of full-time equivalents for each category of staff and the related appropriations for all institutions and bodies referred to in Article 70 of the Financial Regulation.

Part III: Bodies set up by the European Union having legal personality

Working Document III presents detailed information relating to all decentralised agencies and Joint Undertakings, with a transparent presentation of revenue, expenditure and staff levels of various Union bodies, pursuant to Article 41(3)(c) of the Financial Regulation.

Part IV: Pilot projects and preparatory actions

Working Document IV presents information on all pilot projects and preparatory actions which have budget appropriations (commitments and/or payments) in the 2021 Draft Budget, pursuant to Article 41(3)(f) of the Financial Regulation.

Part V: Budget implementation and assigned revenue

Working Document V presents the budget implementation forecast for 2020, information on assigned revenue (implementation in 2019 and estimation for 2021), and a progress report on outstanding commitments (RAL) and managing potentially abnormal RAL (PAR) for 2019, pursuant to Article 41(3)(d) of the Financial Regulation.

Part VI: Commission expenditure under the administrative heading of the multiannual financial framework

Working Document VI encompasses administrative expenditure to be implemented by the Commission under the administrative heading of the multiannual financial framework (heading 7) in accordance with Article 317 of the Treaty on the Functioning of the European Union, as well as the budgets of the Offices (OP, OLAF, EPSO, OIB, OIL and PMO), pursuant to Article 41(3)(e) of the Financial Regulation.

Part VII: Commission buildings

Working Document VII presents information on buildings under Section III - Commission, pursuant to Article 266(1) of the Financial Regulation.

Part VIII: Expenditure related to the external action of the European Union

Working Document VIII presents information on human resources and expenditure related to the external action of the European Union, pursuant to Article 41(10) and (11) of the Financial Regulation.

Part IX: Funding to international organisations

Working Document IX presents funding provided to international organisations, across all MFF headings, pursuant to Article 41(3)(g) of the Financial Regulation.

Part X: Financial Instruments

Working Document X presents the use made of financial instruments, pursuant to Article 41(4) of the Financial Regulation.

Part XI: EU Trust funds

Working Document XI presents the activities supported by EU Trust Funds, their implementation and performance, pursuant to Article 41(6) of the Financial Regulation.

Part XII: Payment schedules

Working Document XII presents summary statements of the schedule of payments due in subsequent years to meet budgetary commitments entered into in previous years, pursuant to Article 41(3)(i) of the Financial Regulation.

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INTRODUCTION

1 GENERAL CONTEXT

The thirteenth edition of this Draft Budget (DB) Working Document aims at presenting key budgetary information for Bodies set up under the TFEU and the Euratom Treaty to respond to the requirements laid down in Article 41.3 (c) of Regulation (EU, Euratom) 2018/1046.

Section 2 of this introduction presents the main types of EU bodies, as used throughout this document. Subsequently, Part I of the Working Document provides detailed information on ‘decentralised agencies’ and Part II on bodies having legal personality created in the field of research and innovation (the EIT and joint undertakings). Each Part contains a description of the main budgetary trends for the main types of bodies, as well as detailed budgetary financial statements for each EU body individually.

The present Working Document III does not provide financial statements for Executive Agencies pending the finalisation of the cost-benefit analysis for the possible externalisation of post-2020 spending programmes to the current six executive agencies (see section 2.4.4 of the introduction).

2 TYPES OF EU BODIES

This section presents the main types of EU bodies¹:

- Decentralised agencies (35 established decentralised agencies in DB 2021);
- EIT and Joint Undertakings (9 in DB 2021) under TFEU;
- ITER Joint Undertaking (F4E) under the Euratom Treaty.
- Executive agencies (6 in 2020)

2.1 Decentralised agencies

2.1.1 *Decentralised agencies: set-up*

Legal bases of decentralised agencies

Most decentralised agencies are either created by the Council on the basis of Article 352 of the Treaty on the Functioning of the European Union, or by the Parliament and the Council (ordinary legislative procedure) on the basis of a specific Treaty provision. Currently, 35 decentralised agencies have been established on this basis, over a period of 40 years.

Furthermore, three decentralised agencies have been set up to carry out very specific technical, scientific and management tasks within the framework of the Common Foreign and Security Policy (CFSP). However, these three² agencies fall outside the scope of this Working Document, as these agencies (including their financing) are entirely inter-governmental.

Tasks

The tasks of decentralised agencies are diverse, inter alia:

- Some decentralised agencies have the power to adopt binding rules and/or individual decisions with direct effect (so-called 'regulatory' agencies, such as EUIPO, *European Union Intellectual Property Office*);
- Other decentralised agencies provide assistance to the Commission, and where necessary to the Member States, in the interest of the Union, in the form of technical or scientific opinions and/or inspection reports (e.g. EFSA, *European Food Safety Authority*); whereas
- Other decentralised agencies focus on networking between competent national authorities and on organising cooperation between them in the interest of the Union with a view to gathering, exchanging and comparing information and good practices (e.g. ENISA, *European Network and Information Security Agency*).

Creation

Decentralised agencies were created to meet specific needs on a case-by-case basis, starting from 1975, and mostly in two large 'waves', following the Brussels European Councils of October 1993 and December 2003. The European Council also decides on the location ('seat') of the decentralised agencies, which are spread throughout the territory of the Union.

Governing structure

The decentralised agencies are governed by an Administrative Board, which as a rule is composed of representatives of all Member States, and which has the following key roles: defining the agency's operating guidelines within the legal framework established by the legislator; in particular, the Administrative Board is responsible for the adoption of the agency work programme and rules of procedure. Furthermore, the Board plays a central role in the adoption of the agency's budget, which is independent from the EU budget. As the decentralised agencies have a separate legal personality, their budgets are published separately in the EU Official Journal, under their own responsibility.

2.1.2 *Decentralised agencies: budgetary and financial arrangements*

Decentralised agencies in the EU budget

In addition to the information contained in the agency budgets, the EU budget also includes detailed information on decentralised agencies, such as the authorised EU contribution to the agencies and the agency establishment plans.

¹ This Working Document does not include information on administrative Offices (OP, OLAF, EPSO, PMO, OIB and OIL), as these do not have their own legal personality. More information on the Offices is given in DB Working Document VI (Administrative expenditure under Heading 5).

² European Defence Agency (EDA), European Union Institute for Security Studies (ISS) and European Union Satellite Centre (EUSC).

The EU contribution appears in the general budget, under the cluster concerned, on a dedicated budget line from operational appropriations. Accordingly, the amount of the EU contribution entered into the budget and the establishment plan are subject to the approval of the Budgetary Authority.

For decentralised agencies, since 2014, the dedicated agency budget line is no longer divided into two items, so as to reflect more clearly the unity of the EU contribution. Nonetheless, the structure of the agency budgets remains unchanged, in order to present the running costs of the agency (Titles 1 and 2) separately from the operational activities (Title 3).

Financing structure

Most decentralised agencies are funded entirely by contributions from the EU budget, as described above. Some agencies, however, depend fully or partially on other revenue, such as revenue received from industry (fees):

Partially self-financed agencies: *European Chemicals Agency (ECHA)*, *European Aviation Safety Agency (EASA)*, *European Medicines Agency (EMA)*, *European Railway Agency (ERA)* and the *Agency for the Cooperation of Energy Regulators (ACER)*;

– Fully self-financed agencies: *European Union Intellectual Property Office (EUIPO)*, *Community Plant Variety Office (CPVO)*, *Single Resolution Board (SRB)* and *Translation Centre for the Bodies of the European Union (CdT)*; and

– Agencies partially co-financed by national public authorities: *European Banking Authority (EBA)*, *European Insurance and Occupational Pensions Authority (EIOPA)* and *European Securities and Markets Authority (ESMA)*.

The financing structure as outlined above also has an impact on the annual budgetary procedure, in particular as regards three of the fully self-financed agencies: in the case of EUIPO, CPVO and SRB, the effective control over revenue, expenditure and staffing issues is exercised by their respective Boards, but not by Parliament and Council. As a consequence, this Working Document mostly presents some general information on EUIPO, CPVO and SRB in the overview tables for decentralised agencies; a less detailed budgetary financial statement is included for these self-financed bodies, reflecting the information received from these bodies.

Framework Financial Regulation

Article 70 of the General Financial Regulation³ lays down that the “Commission is empowered to adopt delegated acts in accordance with Article 269 of this Regulation to supplement this Regulation with a framework financial regulation for bodies which are set up under the TFEU and the Euratom Treaty and which have legal personality and receive contributions charged to the budget. The framework financial regulation shall be based on the principles and rules set out in this Regulation, taking into account the specificities of the bodies referred to in paragraph 1. The financial rules of the bodies referred to in paragraph 1 shall not depart from the framework financial regulation except where their specific needs so require and subject to the Commission’s prior consent”.

The Commission has revised the Framework Financial Regulation⁴, notably with a view to aligning the text with the new General Financial Regulation and to respond to certain new developments surrounding decentralised agencies. The revised version of the Framework Financial Regulation has entered into force on 1 January 2019.

Discharge procedure

The financing structure of agencies (whether or not they actually receive contributions from the EU budget) also has an impact on the discharge procedure applicable, as laid down in Article 70(4) of the General Financial Regulation: with the exception of three fully self-financed agencies⁵, all decentralised agencies are subject to discharge for the implementation of their budgets by the European Parliament on the recommendation of the Council.

³ Regulation (EU, Euratom) No. 2018/1046 of 18 July 2018 on the financial rules applicable to the general budget of the Union.

⁴ Commission Delegated Regulation (EU) No 2019/715 of 18 December 2018, OJ L 122, 10.5.2019.

⁵ European Union Intellectual Property Office (EUIPO), Community Plant Variety Office (CPVO) and the Single Resolution Board (SRB) are subject to discharge of their governing boards only.

Single Programming Documents

Article 32 of the Framework Financial Regulation as revised in December 2018 requires agencies to prepare a ‘programming document’ containing multiannual and annual programming. This single programming document integrates previous documents such as annual work programmes, multiannual work programmes and the staff policy plan, with a view to providing a consolidated presentation of agency activities and resources needs. The Commission opinion on the single programming documents looks amongst others at the conformity of general staff policy with the Staff Regulations (including implementing rules), the Commission policy and the Commission guidelines, conformity with the multi-annual financial programming, justification of any additional posts on the basis of new tasks assigned by the legislative authority, workload indicators and past implementation, recruitment at basic grades and promotion rates.

Evaluations

In their joint statements of 13 July 2007, the European Parliament and the Council also requested the Commission to present information on ongoing and planned evaluations of decentralised agencies, each year at the October budgetary Trilogue at the latest. The evaluation of decentralised agencies depends on the legal act applicable. Usually, the responsibility for these evaluations, which are often required every five years, lies with the agency's board. As a follow-up to the joint declaration of July 2007, information on agency evaluations has been included in the individual budgetary financial statements (Part I section 2.2.1).

Decentralised agency governance: the inter-institutional working group

The wider issue of decentralised agency governance has attracted much attention in recent years. Further to a Commission Communication of March 2008⁶, the Parliament and the Council agreed to set up an inter-institutional working group, which had its first meeting at political level on 10 March 2009 in Strasbourg. The inter-institutional working group concluded its work in July 2012, which resulted in endorsement of a Common Approach on decentralised agencies, notably with a view to addressing a series of governance issues surrounding the growing number of agencies, at a time when streamlining of activities and improved performance are expected to contribute to efficiency gains. The Common Approach has been translated into a dedicated Roadmap, on which the Commission has regularly informed the European Parliament and the Council, in particular in December 2013 and April 2015.

Decentralised agency resources: the inter-institutional working group

During the Conciliation on the 2014 budget, the European Parliament, the Council and the Commission agreed on the creation of an inter-institutional working group on decentralised agencies’ resources, with a view to defining a clear development path for agencies, based on objective criteria. The working group met in March 2014, April 2014, September 2015, March 2016, October 2016, March 2017 and October 2017. The work of the inter-institutional working group reached its conclusion in the final meeting in July 2018, in which the Commission presented a stocktaking of the number of establishment plan posts. The conclusion was that the 5% staff reduction target set out in the current IIA has been achieved. The institutions also discussed the follow-up to be given to the recommendations of the Group, which were agreed in October 2017.

Application of IIA point 31

Point 31 of the Inter-institutional Agreement of 2 December 2013 on budgetary discipline, cooperation in budgetary matters and on sound financial management foresees a procedure for the two arms of the budgetary authority (Parliament and Council) to assess the budgetary impact of the creation of new agencies and to arrive at a timely agreement on the financing of the agency, as proposed by the Commission.

- Firstly, the Commission shall systematically present any proposal for setting up a new agency to the first trilogue following the adoption of its proposal, and shall present the financial statement accompanying the draft legal act proposing the creation of the agency and shall illustrate the consequences thereof for the remaining period of the financial programming.
- Secondly, during the legislative process, the Commission shall assist the legislator in assessing the financial consequences of the amendments proposed. Those financial consequences should be considered during the relevant legislative trilogues;
- Thirdly, before the conclusion of the legislative process, the Commission shall present an updated financial statement taking into account potential modifications by the legislator; this final financial statement shall be placed on the agenda of the final legislative trilogue and formally endorsed by the legislator. It shall also be

⁶ 'European agencies – the way forward', COM(2008) 135 final, 11 March 2008.

placed on the agenda of a subsequent budgetary trilogue (in urgent cases, in simplified form), in view of reaching an agreement on the financing;

- Fourthly, the agreement reached during a trilogue, taking into account the Commission's budgetary assessment with regard to the content of the legislative process, shall be confirmed in a joint declaration. That agreement shall be subject to approval by the European Parliament and the Council, each in accordance with its own rules of procedure.

The same procedure would be applied to any amendment to a legal act concerning an agency in question which would have an impact on the resources of the agency in question. Should the tasks of an agency be modified substantially without an amendment to the legal act setting up the agency in question, the Commission shall inform the European Parliament and the Council by means of a revised financial statement, so as to allow the European Parliament and the Council to arrive at a timely agreement on the financing of the agency.

2.2 Bodies having legal personality created in the field of research and innovation under Article 173 and 187/188 TFEU

2.2.1 The European Institute of Innovation and Technology (EIT)

Legal base of EIT

The draft budget request for the EIT is in line with the Commission proposal for a Regulation on the EIT, extending its mandate to 2021-2027⁷.

Tasks

In short, the task of EIT is to reinforce the innovation capacity of the Union and the Member States, by bringing together the best actors operating in the 'knowledge triangle' (higher education, research and innovation).

Creation

The EIT has been created in 2008 (Regulation 294/2008), adopted on the basis of Article 173 TFEU (ordinary legislative procedure).

Governing structure

In terms of budgetary and financial arrangements, EIT follows largely the example of the decentralised agencies as described in section 2.1.2 above. This applies in particular as regards:

- The inclusion of information in the EU budget;
- The budget structure: one article, plus (unlike the decentralised agencies) one article for completion;
- The application of the Framework Financial Regulation (albeit with some derogations, in view of the special character of EIT);
- The single programming document;
- The discharge procedure;
- The principle of periodic evaluations.

EIT has become financially autonomous in June 2011.

2.2.2 Joint Undertakings

Legal bases/ creation

Essentially, the joint undertakings have been set up to attract public and private knowledge and capital, as public-private partnerships and public-public partnerships with Member States in key areas where research and development could contribute to Europe's wider competitiveness goals and where traditional instruments are not adequate. The bodies will lead to the formation of wide partnerships that will involve a large number of players from industry, including notably SMEs, the research community and wider society.

⁷ COM(2019)331, 11.07.2019

The legal bases for the first generation of joint undertakings and joint technology initiatives have been adopted in 2007 and 2008, and have been amended in May 2014 (BBI, IMI2, Clean Sky2, FCH2 and ECSEL) and June 2014 (SESAR2 and S2R).

At the time of presenting the Draft Budget, the legal bases of the current (Horizon 2020) seven joint undertakings created on the basis of the Treaty on the Functioning of the European Union (Art. 187, 188) provides for the completion of the activities launched under Horizon 2020 as from 2021.

Work is ongoing to assess their continuation adapted to the needs and priorities of Horizon Europe and in line with the streamlined policy for the creation of institutionalised partnerships.

Overview of the JU's under assessment:

<i>Joint Undertaking (JU)</i>	<i>Financially autonomous as from</i>
<i>Innovative Medicines Initiative 2 JU/JTI (IMI2)</i>	<i>16/11/2009</i>
<i>Fuel Cells and Hydrogen 2 JU/JTI (FCH2)</i>	<i>15/11/2010</i>
<i>Clean Sky 2 JU</i>	<i>17/11/2009</i>
<i>Electronic Components and Systems for European Leadership JU/JTI (ECSEL), former ARTEMIS</i>	<i>26/10/2009</i>
<i>Electronic Components and Systems for European Leadership JU/JTI (ECSEL), former ENIAC</i>	<i>03/05/2010</i>
<i>Single European Sky Air Traffic Management Research JU (SESAR)</i>	<i>01/01/2009</i>
<i>Bio-Based Industries JU/JTI (BBI)</i>	<i>26/10/2015</i>
<i>Shift2Rail JU/JTI (S2R)</i>	<i>24/05/2016</i>

- Innovative Medicines Initiative (IMI2): to improve European citizens' health and wellbeing by providing new and more effective diagnostics and treatments such as new antimicrobial treatments;
- Fuel Cells and Hydrogen (FCH2): to develop commercially viable, clean, solutions that use hydrogen as an energy carrier and of fuel cells as energy converters;
- Clean Sky (Clean Sky 2): to radically reduce the environmental impact of the next generation of aircraft;
- Electronic Components and Systems for European Leadership (ECSEL): to keep Europe at the forefront of electronic components and systems and bridge faster the gap to exploitation;
- Single European Sky – Air Traffic Management Research (SESAR2): to ensure the coordination of research and innovation in view of modernising Air Traffic Management in Europe;
- Bio-Based Industries (BBI): to develop new and competitive bio-based value chains that replace the need for fossil fuels and have a strong impact on rural development;
- Shift2Rail (S2R): to ensure the coordination of research and innovation in view of supporting the completion of the Single European Railway Area and increasing the competitiveness of the EU rail sector vis-à-vis the other transport modes and vis-à-vis foreign competition.

In addition, the EuroHPC JU, which was created under 'Horizon 2020' and CEF on 28 September 2018, will continue its activities under the successor programmes with the specific contribution still to be determined as the result of the Strategic Planning and Programming process. Its mandate is to provide a framework for acquisition and access to an integrated world-class pre-exascale supercomputing and data infrastructure in the Union and support the development of latest High Performance Computing and Data Infrastructure technologies and its applications. The JU is expected to become financially autonomous by the end of 2020.

Hence, awaiting the Commission proposal for the next generation of JU's, only payment appropriations and human resources needed for the completion of their activities under Horizon 2020 are included in the Draft Budget.

A new Joint Undertaking for Cyber Security has been proposed by the Commission in 2018⁸ and is subsequently included in the Draft Budget with its contributions from the Digital Europe Programme. The contributions from Horizon Europe

⁸ COM(2018)630

are still to be determined. The European Cybersecurity Industrial, Technological and Research Competence Centre JU (CYBER JU) has been proposed to complement the existing capacity building efforts in this area at Union and national level.

With the exception of the EuroHPC JU and the CYBER JU, which is under negotiation, the JU's have reached 'cruising speed', e.g. in terms of recruitment activities and financial autonomy.

In addition to the information contained in the budgets of the JUs, the EU budget also includes detailed information on these bodies, such as the authorised establishment plans of the joint undertakings.

Financing structure

The joint undertakings are typically funded by contributions from the EU budget on the one hand and public / private parties on the other (the latter both in appropriations and in kind). This concerns both the operational expenditure and the running costs of the bodies.

Framework Financial Regulation and Model Financial Regulation

As for the decentralised agencies (see section 2.1.2 above), the Framework Financial Regulation for bodies under Article 70 of the Financial Regulation applies to the SESAR joint undertaking and the proposed CYBER JU. This means that 'the financial rules of these bodies may not depart from the Framework Regulation except where their specific operating needs so require and with the Commission's prior consent'.

However, the Model Financial Regulation for bodies under Article 71 of the Financial Regulation⁹ applies to the other Joint Undertakings, which are Joint technology initiatives (JU JTI's), in order to take account of their specific situation. Joint technology initiatives joint undertakings (JTI JUs) are a type of JU set up to implement part of a strategic research agenda of a broader industrial initiative (the JTI) arising primarily from the work of European technology platforms.

Discharge procedure

In accordance with Article 70(4) of the General Financial Regulation, the JU's are subject to discharge for the implementation of their budgets by the European Parliament on the recommendation of the Council. In accordance with their respective founding Regulations, the same discharge procedure applies to the JTI JUs.

Single Programming Documents

As for the decentralised agencies (see section 2.1.2 of the Introduction above), Single Programming Documents are drawn up for the Joint Undertakings under Article 70 of the Financial Regulation.

Evaluations

The evaluation of the JUs and JTI JU's depends on the legal act applicable, bearing in mind also that they have been set up for a limited period (typically until 2024, with the exception of ITER – F4E, see 2.3). Information on evaluations of JU's and JTI JU's is included in the individual budgetary financial statements (Part II section 2.2).

2.3 Bodies having legal personality created in the field of research and innovation under the Euratom Treaty

2.3.1 Fusion4Energy (F4E)

Tasks

Fusion for Energy (F4E) is the Joint Undertaking to implement an international agreement on the development of Fusion Energy.

Fusion is expected to play an important role in Europe's future energy landscape as a virtually inexhaustible climate-friendly energy source. The ITER project aims at key scientific breakthroughs in the development of fusion. It is particularly important following the 2015 Paris Agreement on climate change and the EU commitment to lead the way in decarbonising the economy and tackling climate change in a cost effective manner.

European participation in ITER project is based on the ITER Agreement signed in November 2006 between seven global partners, Euratom, the United States, the Russian Federation, Japan, China, South Korea and India. ITER represents a unique first-of-a-kind project developed through international scientific collaboration, which allows for the synergies and mobilisation of financial resources that would not be possible for a single state. As the Host Party of the project

⁹ Commission Delegated Regulation (EU) No 110/2014 of 30 September 2013, OJ L 38, 7.2.2014.

according to the ITER Agreement, Europe has a stronger legal commitment under the ITER Agreement and accordingly has taken the lead in this project with a 45% share of the construction costs (the other ITER Members' shares are around 9% each) to ensure timely completion of the construction.

The overall architecture of the ITER project calls for contracting parties to operate through Domestic Agencies. The establishment of a Fusion for Energy Joint Undertaking under Chapter 5 of the Euratom Treaty was considered in 2007 as the most appropriate solution to operate this role of Domestic Agency and to discharge the Euratom obligations towards the ITER Organization pursuant to the conclusion of the ITER Agreement.

Legal bases/creation

The legal basis for the Fusion for Energy JU has been adopted on 16 March 2007. It establishes the JU for a period of 35 years starting from 19 April 2007. The amendment proposed by the Commission in June 2018¹⁰ provides for the funding under MFF 2021-2027.

Financing structure

The funding of F4E comes from Euratom contribution, French contribution and Members contributions.

Framework Financial Regulation and Model Financial Regulation

As for the decentralised agencies (see section 2.1.2 above), the Framework Financial Regulation for bodies under Article 70 of the Financial Regulation applies to F4E. This means that 'the financial rules of these bodies may not depart from the Framework Regulation except where their specific operating needs so require and with the Commission's prior consent'.

Discharge procedure

In accordance with Article 70(4) of the General Financial Regulation, F4E is subject to discharge for the budget implementation by the European Parliament on the recommendation of the Council.

Single Programming Document

As for the decentralised agencies (see section 2.1.2 of the Introduction above), a Single Programming Document is drawn up for the F4E.

Evaluations

For the period of funding 2021-2027 an interim evaluation is foreseen to take place no later than 2024, and final evaluation no later than four years after end of funding period. Information on evaluations of F4E JU is included in the individual budgetary financial statements (Part II section 2.2).

2.4 Executive agencies

Firstly, this section recalls the reasons for the setting up of executive agencies, as part of the major Commission reform of 1999 / 2000. This section then looks at practical experience with the current six executive agencies, in terms of actual set-up of the agency, recruitment of staff, impact on the human resources of the Commission, cost savings generated, buildings policy and evaluations. The section ends with information on the state of play of the analysis for the possible externalisation of post-2020 spending programmes.

2.4.1 Executive agencies: context of creation

Commission reform – guidelines on externalisation policy

In December 1999, the Commission undertook a major review of its externalisation policy¹¹, in order to correct the shortcomings detected previously due to the poor control of some technical administrative support offices (TAOs, also known under the French acronym of BATs). Essentially, the guidelines aimed to re-focus the Commission's attention and staff on its core tasks, i.e. the development and monitoring of policies under the Treaty, and to define acceptable forms of externalisation, including a new type of implementing bodies: executive agencies.

Main features of executive agencies: autonomy and dependence

The fundamental features of executive agencies are autonomy and dependence:

¹⁰ Proposal for a Council Decision amending Decision 2007/198/Euratom establishing the European Joint Undertaking for ITER and the Development of Fusion Energy and conferring advantages upon it COM(2018) 445 of 7 June 2018.

¹¹ Guidelines for the Commission's externalisation policy; Communication of Mrs Schreyer and Mr Kinnock, SEC (1999) 2051, 14 December 1999.

- Autonomy, as these bodies have their own legal personality and hence the ability to adopt legal acts (such as agreements, contracts and individual decisions) themselves when managing projects; they have their own operating budget and are subject to a separate discharge in respect of its implementation.
- Dependence, as these structures are set up only to perform the tasks entrusted by the Commission,
 - In accordance with strict rules determined by the Commission, laying down the tasks, the conditions and the arrangements for performing them in such a way as to comply with the objectives set by the Commission, and the institutional restrictions in the performance of the tasks, in particular the absence of any margin of discretion implying political choices;
 - With managing organs appointed by the Commission (steering committee and director), and administered, at least in part, by Commission staff, given that positions of responsibility are to be filled by EU officials on secondment; and
 - Under the control and responsibility of the Commission.

Desirability of establishing an executive agency

Whether an agency should be set up, or whether the mandate of an existing agency should be extended, will depend on a number of factors, such as:

- The need for a high level of technical and financial expertise throughout the project's cycle;
- Clear separation between programming stages (the Commission's core business), for which the Commission remains fully responsible, and back-up for implementation of technical projects, where no political decision-making implying discretionary powers is involved;
- The possibilities of economies of scale through a high level of specialisation or the regrouping of similar programmes or activities within one agency; achieving economies will depend to a large degree on the ability of agencies to recruit contract staff, on renewable contract;
- The need for the Commission to focus on legislative and strategic tasks in policy making and monitoring, including those connected to EU programmes;
- The need to carry out certain activities with increased visibility without any intervention by third parties as intermediaries.

These factors must appear in detail in the required cost-benefit analysis, which guides the choice of the appropriate organisational solution (see also section 2.4.3 below on cost savings and evaluations).

Legal framework of executive agencies

The principle of executive agencies was already laid down in the recasting of the General Financial Regulation adopted by the Council on 25 June 2002 (Articles 54 and 55 of Regulation (EC, Euratom) No. 1605/2002).

Council Regulation (EC) No. 58/2003 of 19 December 2002 ('the Framework Regulation') 'lays down the statute of executive agencies to which the Commission, under its own control and responsibility, may entrust certain tasks relating to the management of Community programmes' (Article 1 of the Framework Regulation).

Furthermore, executive agencies have a 'Standard Financial Regulation' which applies to their own operating budget (Commission Regulation (EC) No. 1653/2004, as last amended by Commission Regulation (EC) No. 651/2008 of 9 July 2008).

2.4.2 Executive agencies: set-up

State of play

All six executive agencies are fully operational, as shown in the table below:

Acronym	Name	Fully operational as from
EASME	Executive Agency for Small and Medium-sized Enterprises (EASME) ¹²	01/01/2006
EACEA	Executive Agency for Education, Audiovisual and Culture (EACEA)	01/01/2006
CHAFEA	Consumers, Health and Food Executive Agency (CHAFEA) ¹³	01/01/2007

¹² This agency was initially set up as the Intelligent Energy Executive Agency (IEEA), after which its name was changed to Executive Agency for Competitiveness and Innovation (EACI). Its new name, as from 2014, reflects the extension of its mandate to new programmes.

INEA	Innovation and Networks Executive Agency (INEA) ¹⁴	15/04/2008
ERCEA	European Research Council Executive Agency (ERCEA)	15/07/2009
REA	Research Executive Agency (REA)	15/06/2009

In this context, 'fully operational' is defined as 'full operational and accounting autonomy', in terms of both management of operational programmes and management of the operating budget of the agency. However, agencies are already operational before full autonomy is granted, for instance in the launch of the call for proposals.

The time needed to plan and set up executive agencies is substantial, due to the need for drafting and getting the delegation instrument agreed, implementing internal control standards, putting in place robust financial circuits, recruiting temporary or contract agents and seconding officials. A key step in this regard is the appointment of the Director of the agency, after which the recruitment of agency personnel can start.

Staff recruitment

Executive agency personnel consists of two main groups, with different characteristics and different recruitment procedures applicable:

- Temporary Agents, either Commission officials seconded to positions of responsibility, or external temporary agents recruited by the agency;
- Contract Agents and Seconded National Experts, recruited by the agency.

2.4.3 Executive agencies: impact on posts and administrative resources

Impact on human resources of the Commission: freed and frozen posts

As foreseen in the Framework Regulation 58/2003, the creation of executive agencies has a two-fold impact on the Commission human resources:

- 'Freed' posts (Art. 13 § 6c): tasks transferred from Commission services to executive agencies free Commission resources.
- 'Frozen' posts (Art. 18 § 2b): in accordance with Article 38.c of the Staff Regulations, the posts of Commission officials seconded to executive agencies remain vacant in the Commission during their secondment (i.e., the posts are 'frozen'). A corresponding number of posts are without budgetary coverage in the establishment plan of the Commission. This generates a corresponding reduction of administrative appropriations in the Commission Budget.

Essentially, the question whether and to what extent the creation of an executive agency leads to freed and frozen posts depends on whether the executive agency takes over the responsibility for an existing programme from the Commission services; and whether the budget to be managed for a given programme grows significantly, as compared to the past.

Cost savings generated by the establishment of executive agencies

As mentioned above, the primary reason for the creation of executive agencies was to re-focus the Commission's attention on its core tasks as well as to improve the management and implementation of certain operational programmes, through dedicated bodies with a high level of technical and financial expertise. Nonetheless, the establishment of executive agencies should also lead to some cost savings as compared to the alternative costs that would have been required for 'in-house' Commission management, as indicated in the cost-benefit analyses made when setting up individual agencies. Such cost savings are also relevant in the context of ensuring the budgetary neutrality of the delegation of tasks to executive agencies. The cost-benefit analysis (CBA) to be carried out as part of the obligatory three-yearly evaluation of agencies (see below) should, inter alia, take into account savings within the EU budget, as was done in the *ex ante* cost-benefit analysis.

Buildings policy

In accordance with the Framework Regulation 58/2003 (Art. 5 § 1), agencies are located at the place where the Commission and its departments are located. In practice, this means that the agencies are located in Brussels, with the exception of CHAFEA (Luxembourg).

External evaluations of executive agencies

¹³ This agency was initially set up as the Public Health Executive Agency (PHEA), after which its name was changed to Executive Agency for Health and Consumers (EAHC). Its new name, as from 2014, reflects the extension of its mandate to new programmes.

¹⁴ This agency was initially set up as TEN T-EA. Its new name, as from 2014, reflects the extension of its mandate to new programmes.

The Framework Regulation 58/2003 (Art. 25) requires the Commission to draw up an external evaluation report on the first three years of operation of each executive agency. This evaluation, which has to include a cost-benefit analysis, is to be submitted to the steering committee of the executive agency, to the European Parliament, to the Council and to the Court of Auditors. The evaluation then has to be repeated every three years, under the same conditions.

Court of Auditors Special Report on executive agencies

In November 2009, the Court of Auditors published a Special Report on executive agencies¹⁵. Overall, the report presented positive findings, especially as regards the quality of the work carried out by the agencies, as well as from the point of view of cost savings generated. However, the Court was more critical with regard to governance and supervision issues and the quality of the cost-benefit analyses. The Commission ensures the follow-up to the recommendations contained in the Court's report, in particular by having integrated further methodological improvements in the CBA.

2.4.4 Executive agencies: the 2021-2027 multiannual financial framework

As part of its proposals for the 2021-2027 multiannual financial framework, the Commission expressed its intention to use the option of more extensive recourse to existing executive agencies, in view of their service delivery and visibility in the management of EU programmes. Subsequently, and as foreseen in the Framework Regulation 58/2003, in its proposals for the new legal bases for the operational programmes of the post-2021 programming period, the Commission has indicated for each programme whether it intended to delegate budget implementation tasks to executive agencies.

Currently, the Commission is finalising the cost-benefit analysis for the possible externalisation of post-2020 spending programmes to the current six executive agencies, with a view to presenting the file to the Regulatory Committee for Executive Agencies (CREA) and the European Parliament ('working arrangements') in time before the start of the new programming period.

In this context, it is not possible at this stage to provide an appropriate picture of the staff and amount to be implemented under the 2021-2027 multiannual financial framework. This information will be provided at a later stage in the frame of an amending letter.

¹⁵ European Court of Auditors, Special Report 13/2009, "Delegating implementing tasks to executive agencies: a successful option?", Luxembourg, 20 November 2009.

2.5 Types of EU bodies: comparison table

	Decentralised agencies	Joint undertakings and joint technology initiatives JU's and EIT	Executive agencies
Number of EU bodies included in DB 2021	– 35 established decentralised agencies	3 joint undertakings and 7 joint technology initiatives JU's + EIT	6 executive agencies
Legal base	Dedicated basic acts – currently, 35 decentralised agencies established by Council (Art. 352 TFEU) or Parliament and Council (ordinary legislative procedure)	Dedicated basic acts – Euratom: ITER – F4E – Council Decision / Regulation (Art. 187, 188 TFEU): IMI, FCH, Clean Sky, ECSEL, BBI, Shift2Rail, SESAR and EuroHPC – Commission Decision CYBER – Ordinary legislative procedure (Art. 173 TFEU): EIT	Basic act for the operational programme whose implementation they support Commission decision in order to delegate the implementation of all or part of an EU programme(s)
Financial Regulation	Framework Financial Regulation for the bodies referred to in Article 70 of the General Financial Regulation	Framework Financial Regulation for the bodies referred to in Article 70 of the General Financial Regulation (Joint Undertakings, EIT); Model Financial Regulation for the bodies referred to in Article 71 of the General Financial Regulation (Joint Technology Initiative JU's)	Standard Financial Regulation for Executive Agencies
Tasks	– Power to adopt binding rules and/or individual decisions with direct legal effect – Provide assistance to the Commission and where necessary to the Member States in the interest of the Union in the form of technical or scientific opinions and/or inspections reports – Focus on networking between national competent authorities and on organising between them in the interest of the Union with a view of gathering, exchanging and comparing information and good practices	– Efficient execution of EU research, technological development and demonstration programmes – Reinforce innovation capacity of the Union and the Member States	Tasks in the management of EU programmes – executive and operational tasks, not involving 'political choices'
Transfer of Commission tasks	In general, no	Partially yes (but pooling with other actors)	Yes (certain implementation tasks), often combined with growing programmes
Procedure for creation			Reference in the explanatory memorandum of the proposal for the basic act of the programme to be managed
Preparatory actions	Prior to Commission proposal: impact assessment study and ex-ante evaluation	Prior to Commission proposal: impact assessment study and ex-ante evaluation	Cost-benefit analysis prior to Commission decision covering, in accordance with Art 3§1 of Regulation 58/2003, factors such as identification of tasks justifying outsourcing, cost of coordination & checks, impact on HR, possible savings within the general budgetary framework, efficiency and flexibility in the implementation of tasks outsourced, simplification of the procedures used, proximity of outsourced activities to final beneficiaries, visibility of the Union as promoter of the EU programme concerned and the need to maintain an adequate level of know-how inside the Commission
Involvement of the Budgetary Authority	Council and Parliament are involved in accordance with the legislative procedure applicable and respecting the provisions of IIA Proposal point 25	Council and Parliament are involved in accordance with the legislative procedure applicable and respecting the provisions of IIA point 31	Needs approval from the Committee for Executive Agencies (CREA) and prior information of the budget authority (code of conduct convened with the Parliament as revised in 2007)
Budget – financing structure	Most decentralised agencies: EU funded Exception:	Joint undertakings: funding from Horizon 2020 budgets (and from CEF for EuroHPC) together with other external sources	Fully subsidised as a part of the financial envelope of the operational programme concerned

	Decentralised agencies	Joint undertakings and joint technology initiatives JU's and EIT	Executive agencies
	EMA, EASA, ECHA, ERA and ACER: combination of EU contributions and self-financing (fees) EUIPO, CPVO, SRB and CdT: fully self-financed (fees) EBA, EIOPA and ESMA: partially co-financed by national public authorities	(partially in kind) CYBER JU: co-funded from Horizon Europe and Digital Europe Programme EIT: combination of EU and other contributions	

PART I – DECENTRALISED AGENCIES

1 MAIN BUDGETARY TRENDS

This section on 'main budgetary trends' starts with a historical table (section 1.1) showing the evolution, over the period 2007 – 2019, of decentralised agency budget contributions and staff (authorised establishment plans). The historical table is followed by an updated classification of agencies ('phasing in', 'new tasks' or 'cruising speed', section 1.2) and a method for determining the EU contribution to the agencies, taking into account agency assigned revenues and cancellation of appropriations in the budgets of the agencies (section 1.3). This leads to the presentation of the EU contribution and staffing level for 2021 by heading (section 1.4). Finally, this part I presents overview tables on Commission budget implementation for decentralised agencies in 2019 (section 1.5) and on staffing issues (establishment plan posts, contract agents and seconded national experts actually filled by year-end 2019, section 1.6).

1.1 Historical tables 2007 - 2019

Tables below show, by financial framework heading, the historical evolution of the decentralised agencies over the period 2007 – 2019, in terms of EU budget contribution to and authorised staff levels of the agencies. These historical tables should be seen as a complement to the overview tables in 1.4 below, which show the EU contribution and staff levels for the years 2020 and 2021.

1.1.1 Historical table 2007-2019: Decentralised agencies of Heading 1 - Single Market, Innovation and Digital

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	EU budget contribution / authorised establishment plan												
				2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
European Aviation Safety Agency <i>Authorised establishment plan</i>	02 10 01 (06 02 02)	Köln	2002	24,530 467	30,000 452	31,540 506	32,879 570	33,316 574	33,297 634	34,862 692	34,236 685	36,370 679	36,370 676	35,985 678	36,915 680	37,643 680
European Maritime Safety Agency Of which anti-pollution measures <i>Authorised establishment plan</i>	02 10 02 (06 02 03) (06 02 03 02)	Lisbon	2002	48,100 25,000 153	44,300 18,000 181	24,435 18,900 192	52,449 20,500 200	50,696 23,000 208	53,229 20,000 213	55,892 22,663 213	50,453 19,675 210	52,656 20,600 207	53,379 21,600 202	72,359 22,800 212	79,686 24,675 212	78,632 25,050 212
European Union Agency for Railways <i>Authorised establishment plan</i>	02 10 03 (06 02 04)	Lille Valenciennes	2004	16,645 110	18,000 116	16,060 124	23,260 139	24,375 144	24,487 144	25,007 143	25,007 140	25,613 137	26,000 135	30,000 139	28,135 148	26,500 148
European Union Agency for Network and Information Security (ENISA) <i>Authorised establishment plan</i>	02 10 04 (09 02 03)	Heraklion	2004	8,000 44	8,160 44	7,800 44	7,288 44	7,188 44	8,244 47	8,335 47	8,821 48	9,156 48	10,120 48	10,322 48	10,529 47	15,910 59
Body of European Regulators for Electronic Communications (BEREC) — Office <i>Authorised establishment plan</i>	02 10 05 (09 02 04)	Riga	2009			p.m. 0	3,470 10	3,579 12	4,293 16	4,191 16	4,163 16	4,017 15	4,246 15	4,246 14	4,331 14	5,701 16
Agency for the Cooperation of Energy Regulators (ACER) <i>Authorised establishment plan</i>	02 10 06 (32 02 10)	Ljubljana	2009			p.m. 0	2,000 25	5,000 40	7,242 43	8,941 49	10,880 54	11,266 54	15,873 69	13,272 68	13,562 67	16,147 67
European Chemicals Agency — Chemicals legislation <i>Authorised establishment plan</i>	03 10 01 01 (02 03 03)	Helsinki	2006	15,294 101	62,619 220	64,529 324	35,150 426	p.m. 456	p.m. 456	p.m. 451	p.m. 441	p.m. 431	72,805 420	69,490 410	30,517 404	62,880 404
European Chemicals Agency — Activities in the field of biocides legislation <i>Authorised establishment plan</i>	03 10 01 02 (17 04 07)	Helsinki	2011					p.m. 11	2,728 47	6,071 48	5,064 48	5,789 47	0,780 39	3,940 44	2,226 47	5,122 50
European Banking Authority (EBA) <i>Authorised establishment plan</i>	03 10 02 (12 02 04)	London	2010					5,073 46	8,299 68	10,387 93	13,000 111	12,606 120	14,678 127	14,543 134	15,100 145	19,888 155
European Insurance and Occupational Pensions Authority (EIOPA) <i>Authorised establishment plan</i>	03 10 03 (12 02 05)	Frankfurt	2010					4,267 46	6,262 69	8,812 80	8,866 87	8,206 90	8,257 93	8,946 101	9,365 112	12,443 124
European Securities and Markets Authority (ESMA) <i>Authorised establishment plan</i>	03 10 04 (12 02 06)	Paris	2010					6,784 58	7,120 75	8,766 121	12,618 133	9,703 137	10,203 140	11,020 150	11,768 156	27,282 210

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	EU budget contribution / authorised establishment plan												
				2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
European Union Agency for the Space Programme	04 10 01 (02 05 11)	Prague	2004	9,425	10,560	5,800	5,135	8,200	11,840	13,660	24,587	26,840	28,350	27,847	31,538	32,859
<i>Authorised establishment plan</i>				46	50	23	28	29	44	77	96	102	113	116	128	139
Total decentralised agencies – heading 1				121,994	173,639	150,164	161,632	148,477	167,041	184,924	197,695	202,222	281,061	301,969	273,673	341,007
<i>Authorised establishment plan</i>				921	1 063	1 213	1 442	1 657	1 820	2 029	2 069	2 067	2 077	2 114	2 160	2 264

1.1.2 Historical table 2007-2019: Decentralised agencies of Heading 2 - Cohesion and Values

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	EU budget contribution / authorised establishment plan													
				2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	
European Foundation for the Improvement of Living and Working Conditions	07 10 01 (04 03 11)	Dublin	1975	19,600	20,000	19,450	19,067	20,210	20,289	20,371	20,371	20,371	20,371	20,371	20,371	20,371	20,779
<i>Authorised establishment plan</i>				94	101	101	101	101	101	101	99	97	95	93	91	91	
European Agency for Safety and Health at Work	07 10 02 (04 03 12)	Bilbao	1994	14,000	14,400	13,800	13,743	14,316	14,570	14,678	14,095	14,679	14,679	14,679	14,973	15,273	
<i>Authorised establishment plan</i>				42	44	44	44	44	44	44	43	42	41	40	40	40	
European Centre for the Development of Vocational Training (Cedefop)	07 10 03 (04 03 13)	Thessaloniki	1975	16,730	17,060	15,910	16,920	15,742	17,009	17,434	17,434	17,434	17,434	17,434	17,434	17,434	
<i>Authorised establishment plan</i>				97	99	101	101	101	101	100	98	96	94	92	91	91	
European Union Agency for Fundamental Rights (FRA)	07 10 04 (33 02 06)	Vienna	2007	4,619	15,000	17,000	19,100	20,000	20,196	21,246	21,229	21,229	21,359	22,567	22,180	22,088	
<i>Authorised establishment plan</i>				46	49	61	72	72	75	78	75	73	74	72	72	72	
European Institute for Gender Equality (EIGE)	07 10 05 (33 02 07)	Vilnius	2006	4,500	6,430	6,860	6,940	7,530	5,901	7,478	7,340	7,628	7,628	7,628	7,781	7,937	
<i>Authorised establishment plan</i>				15	20	20	25	27	30	30	29	29	28	27	27	27	
European Training Foundation (ETF)	07 10 06 (04 03 14)	Turin	1990	19,700	17,984	14,772	18,282	20,350	20,045	20,144	20,144	20,144	20,145	20,144	20,144	20,546	
<i>Authorised establishment plan</i>				105	96	96	96	96	96	96	94	92	90	88	86	86	
The European Union's Judicial Cooperation Unit (Eurojust)	07 10 07 (33 03 04)	The Hague	2002	18,414	22,240	24,800	30,163	29,776	31,670	32,359	33,665	32,994	43,540	48,379	38,607	38,136	
<i>Authorised establishment plan</i>				147	175	185	185	186	213	213	209	205	203	208	209	208	
European Public Prosecutor's Office (EPPO)	07 10 08 (33 03 05)	Luxembourg	2019													4,911	
<i>Authorised establishment plan</i>																37	
European Labour Authority (ELA)	07 10 09 (04 03 15)	Brussels (Bratislava)	2019													2,125	
<i>Authorised establishment plan</i>																16	
Total decentralised agencies – heading 2				97,563	113,114	112,592	124,216	127,924	129,680	133,710	134,278	134,479	145,156	151,202	141,490	149,229	

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	EU budget contribution / authorised establishment plan												
				2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
<i>Authorised establishment plan</i>				546	584	608	624	627	660	662	647	634	625	620	616	668

1.1.3 Historical table 2007-2019: Decentralised agencies of Heading 3 - Natural Resources and Environment

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	EU budget contribution / authorised establishment plan												
				2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
European Fisheries Control Agency <i>Authorised establishment plan</i>	08 10 01 (11 06 64)	Vigo	2005	5,000 38	7,300 49	5,704 55	7,695 53	12,665 53	9,031 54	9,217 54	9,217 53	9,217 52	9,217 51	17,113 61	16,813 61	16,747 61
European Chemicals Agency — Environmental directives and International conventions <i>Authorised establishment plan</i>	09 10 01 (07 02 05)	Helsinki	2012						1,456 3	1,562 5	1,297 6	1,222 6	1,151 6	1,183 6	1,096 7	1,564 7
European Environment Agency <i>Authorised establishment plan</i>	09 10 02 (07 02 06)	Copenhagen	1990	28,950 116	31,672 123	34,560 133	35,258 133	35,105 134	35,727 136	36,309 138	36,309 135	36,309 133	36,309 130	36,309 127	37,724 124	39,734 124
Total decentralised agencies – heading 3 <i>Authorised establishment plan</i>				33,950 154	38,972 172	40,264 188	42,953 186	47,770 187	46,214 193	47,088 197	46,823 194	46,748 191	46,677 187	54,605 194	55,634 192	58,045 192

1.1.4 Historical table 2007-2019: Decentralised agencies of Heading 4 - Migration and Border Management

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	EU budget contribution / authorised establishment plan												
				2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
European Asylum Support Office (EASO) <i>Authorised establishment plan</i>	10 10 01 (18 03 02)	Valletta	2010				5,250 24	8,000 38	10,000 38	12,000 45	14,656 51	15,586 89	19,440 91	69,206 155	91,971 214	96,686 284
European Border and Coast Guard Agency (Frontex) <i>Authorised establishment plan</i>	11 10 01 (18 02 03)	Warsaw	2004	33,980 49	68,000 94	78,000 117	83,000 143	108,000 143	88,500 143	79,500 153	82,910 152	133,528 227	238,686 225	281,267 352	298,286 418	329,609 859
European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice ('eu-LISA') <i>Authorised establishment plan</i>	11 10 02 (18 02 07)	Tallin - Strasbourg	2011					5,450 75	19,800 75	41,000 120	59,380 120	67,599 120	80,022 118	153,334 131	200,666 136	296,692 172
Budget lines contribution to the European Agency for Reconstruction <i>Authorised establishment plan</i>	(22 02 05 07 22 02 05 08)	Thessaloniki	2000	[24,559] 108	- 91	-										

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	EU budget contribution / authorised establishment plan												
				2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Total decentralised agencies – heading 4				33,980	68,000	78,000	88,250	121,450	118,300	132,500	156,946	216,713	338,148	503,807	590,923	722,987
<i>Authorised establishment plan</i>				<i>157</i>	<i>185</i>	<i>117</i>	<i>167</i>	<i>256</i>	<i>256</i>	<i>318</i>	<i>323</i>	<i>436</i>	<i>434</i>	<i>638</i>	<i>768</i>	<i>1 315</i>

1.1.5 Historical table 2007-2019: Decentralised agencies of Heading 5 – Resilience, Security and Defence

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	EU budget contribution / authorised establishment plan												
				2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
European Union Agency for Law Enforcement Cooperation (Europol)	12 10 01 (18 02 04)	The Hague	1995			1,250	79,724	83,469	82,505	82,121	84,290	94,860	102,242	114,624	122,246	138,305
<i>Authorised establishment plan</i>							<i>453</i>	<i>457</i>	<i>457</i>	<i>457</i>	<i>450</i>	<i>483</i>	<i>505</i>	<i>550</i>	<i>576</i>	<i>591</i>
European Union agency for law enforcement training (CEPOL)	12 10 02 (18 02 05)	Bramshill	2005	7,439	8,700	7,800	7,800	8,000	8,451	8,450	8,305	8,471	8,641	9,280	9,217	9,293
<i>Authorised establishment plan</i>				<i>23</i>	<i>23</i>	<i>26</i>	<i>26</i>	<i>26</i>	<i>28</i>	<i>28</i>	<i>27</i>	<i>27</i>	<i>28</i>	<i>31</i>	<i>32</i>	<i>32</i>
European Monitoring Centre on Racism and Xenophobia (EUMC)	(18 04 05)	Vienna	1997	9,881												
<i>Authorised establishment plan</i>																
European Monitoring Centre for Drugs and Drug Addiction (EMCDDA)	12 10 03 (18 06 02)	Lisbon	1993	13,000	13,400	14,150	14,800	15,170	14,565	15,550	14,794	14,794	14,794	15,136	15,446	15,287
<i>Authorised establishment plan</i>				<i>82</i>	<i>82</i>	<i>82</i>	<i>84</i>	<i>84</i>	<i>84</i>	<i>84</i>	<i>82</i>	<i>80</i>	<i>79</i>	<i>77</i>	<i>76</i>	<i>76</i>
European Centre for Disease Prevention and Control	14 10 01 (17 03 10)	Stockholm	2004	26,500	39,100	48,100	56,255	52,770	56,727	56,727	56,766	56,766	56,766	56,766	56,766	57,833
<i>Authorised establishment plan</i>				<i>90</i>	<i>130</i>	<i>170</i>	<i>200</i>	<i>200</i>	<i>200</i>	<i>198</i>	<i>194</i>	<i>190</i>	<i>186</i>	<i>182</i>	<i>180</i>	<i>180</i>
European Food Safety Authority	14 10 02 (17 03 11)	Parma	2002	57,000	63,500	70,700	69,041	72,333	75,080	76,000	77,333	77,333	77,333	77,333	77,333	78,102
<i>Authorised establishment plan</i>				<i>300</i>	<i>335</i>	<i>355</i>	<i>355</i>	<i>355</i>	<i>355</i>	<i>351</i>	<i>344</i>	<i>337</i>	<i>330</i>	<i>323</i>	<i>319</i>	<i>320</i>
Union contribution to the European Medicines Agency	14 10 03 01 (17 03 12)	Amsterdam	1993	41,000	38,000	36,390	32,780	32,943	28,966	39,230	39,230	33,015	16,524	28,892	32,000	48,801
Of which special contribution for orphan medicinal products	14 10 03 02 (17 03 12 02)			6,000	6,000	5,500	4,500	4,901	6,000	6,000	6,000	6,800	9,972	13,687	13,105	14,000
<i>Authorised establishment plan</i>				<i>441</i>	<i>481</i>	<i>530</i>	<i>567</i>	<i>567</i>	<i>590</i>	<i>611</i>	<i>599</i>	<i>599</i>	<i>602</i>	<i>596</i>	<i>591</i>	<i>591</i>
Total decentralised agencies – heading 5				154,820	162,700	178,390	260,400	264,685	266,294	278,078	280,718	285,239	276,300	302,030	313,007	347,621
<i>Authorised establishment plan</i>				<i>936</i>	<i>1 051</i>	<i>1 163</i>	<i>1 685</i>	<i>1 689</i>	<i>1 714</i>	<i>1 729</i>	<i>1 696</i>	<i>1 716</i>	<i>1 730</i>	<i>1 759</i>	<i>1 774</i>	<i>1 790</i>

1.1.6 Historical table 2007-2019: Decentralised agencies of Heading 7 – Administration

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	EU budget contribution / authorised establishment plan												
				2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Translation Centre for the Bodies of the European Union	20 10 01 (31 01 10)	Luxembourg	1994	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.
<i>Authorised establishment plan</i>				200	233	233	233	225	215	206	203	200	197	195	193	193
Total decentralised agencies – heading 7				p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.
<i>Authorised establishment plan</i>				200	233	233	233	225	215	206	203	200	197	195	193	193

1.1.7 Historical table 2007-2019: Fully self-financed decentralised agencies

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	EU budget contribution / authorised establishment plan												
				2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
European Union Intellectual Property Office (EUIPO)	(12 03 01)	Alicante	1993	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.
<i>Authorised establishment plan</i>				647	643	643	628	687	775	861	844	827	810	792	775	775
Community Plant Variety Office (CPVO)	(17 04 05)	Angers	1994	p.m.	p.m.	-	-	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.
<i>Authorised establishment plan</i>				42	43	46	46	45	46	48	47	46	45	44	44	43
Single Resolution Board (SRB)	(12 02 07)	Brussels	2014								p.m.	3,300	p.m.	p.m.	p.m.	p.m.
<i>Authorised establishment plan</i>												122	230	350	350	400
Total decentralised agencies - self-financed agencies				p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	p.m.	3,300	p.m.	p.m.	p.m.	p.m.
<i>Authorised establishment plan</i>				689	686	689	674	732	821	909	891	995	1 085	1 186	1 169	1 218

1.1.8 Historical table 2007-2019: Total decentralised agencies

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	EU budget contribution / authorised establishment plan												
				2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Total decentralised agencies				442,307	556,425	559,410	677,450	710,306	727,529	776,300	816,460	888,701	1 087,342	1 313,614	1 374,726	1 618,889
<i>Authorised establishment plan</i>				3 603	3 974	4 211	5 011	5 373	5 679	6 050	6 023	6 239	6 335	6 706	6 872	7 640
Total decentralised agencies (excl. Fully self-financed agencies)				442,307	556,425	559,410	677,450	710,306	727,529	776,300	816,460	885,401	1 087,342	1 313,614	1 374,726	1 618,889
<i>Authorised establishment plan</i>				2 914	3 288	3 522	4 337	4 641	4 858	5 141	5 132	5 244	5 250	5 520	5 703	6 422

1.2 Classification of decentralised agencies

The proposed level of the EU contribution to and the staffing level of individual agencies reflects their stage of development. The classification of agencies as '*cruising speed*', '*new tasks*' and '*phasing-in*' agencies impacts on the growth of their EU contributions and staffing levels: typically, agencies which have been recently created or have recently been assigned new tasks require additional appropriations and additional staff, to carry out tasks related to their new or newly extended mandates, whereas cruising speed agencies have stable structures and budgets. The consequences of the classification of individual agencies on human and financial resources as proposed in the 2021 Draft Budget are set out in more detail below.

As mentioned above, the classification as 'cruising speed' agency in principle implies stable EU contributions (typically constant in nominal terms) and reduced staffing levels. The classification as 'new tasks' agency required, as a general rule, a modification of the legal basis extending the scope of the agency's responsibilities. The period during which an agency can be classified as having 'new' tasks depends essentially on what has been announced in a legislative financial statement when presenting its extension. In this regard, 'new tasks' should be distinguished from growing workload at constant responsibilities.

Heading	Decentralised agency	Location	Year of creation	Classification used in DB 2020	Classification used in DB 2021	Agency funding structure in DB 2021
1	EASA	Köln	2002	Cruising speed	Cruising speed	Partially by fees
1	EMSA	Lisbon	2002	Cruising speed	Cruising speed	EU funded
1	ERA	Lille-Valenciennes	2002	Cruising speed	Cruising speed	Partially by fees
1	ACER	Ljubljana	2009	Cruising speed	Cruising speed	Partially by fees
1	BEREC	Riga	2009	New tasks	Cruising speed	EU funded
1	ENISA	Heraklion	2004	New tasks	New tasks	EU funded
1	EBA	London	2010	New tasks	New tasks	National co-financing
1	EIOPA	Frankfurt	2010	New tasks	New tasks	National co-financing
1	ESMA	Paris	2010	New tasks	New tasks	National co-financing
1/3	ECHA	Helsinki	2006	Cruising speed	Partly new tasks	Partially by fees
1	EUSPA	Prague	2005	New tasks	New tasks	EU funded
2	EUROFOUND	Dublin	1975	Cruising speed	Cruising speed	EU funded
2	EU-OSHA	Bilbao	1994	Cruising speed	Cruising speed	EU funded
2	CEDEFOP	Thessaloniki	1975	Cruising speed	Cruising speed	EU funded
2	ELA	Bratislava	2019	Phasing-in	Phasing-in	EU funded
2	EFSA	Parma	2002	New tasks	New tasks	EU funded
2	ECDC	Stockholm	2004	Cruising speed	New tasks	EU funded
2	EMA	Amsterdam	1993	Cruising speed	Cruising speed	Partially by fees
2	EIGE	Vilnius	2006	Cruising speed	Cruising speed	EU funded
2	FRA	Vienna	2007	Cruising speed	Cruising speed	EU funded
2	EUROJUST	The Hague	2002	Cruising speed	Cruising speed	EU funded
2	EPPO	Luxembourg	2017	Phasing in	Phasing in	EU funded
2	ETF	Turin	1990	Cruising speed	Cruising speed	EU funded
3	EFCA	Vigo	2005	Cruising speed	Cruising speed	EU funded
3	EEA	Copenhagen	1990	New tasks	New tasks	EU funded
4	EASO	Valletta	2010	New tasks	New tasks	EU funded
4	EBCGA	Warsaw	2005	New tasks	New tasks	EU funded
4	eu.LISA	Tallinn – Strasbourg	2011	New tasks	New tasks	EU funded
5	EUROPOL	The Hague	1995	New tasks	New tasks	EU funded
5	CEPOL	Budapest	2005	New tasks	New tasks	EU funded
5	EMCDDA	Lisbon	1993	Cruising speed	Cruising speed	EU funded
7	CdT	Luxembourg	1994	Cruising speed	Cruising speed	Self-financed
	EUIPO	Alicante	1993	Cruising speed	Cruising speed	Self-financed
	CPVO	Angers	1994	Cruising speed	Cruising speed	Self-financed
	SRB	Brussels	2015	New tasks	New tasks	Self-financed

1.3 Determining the EU contribution: cancellation of appropriations and assigned revenue

In the 2021 draft budget, the Commission continues to deduct assigned revenues stemming from the recovery of decentralised agency surpluses for the year 2019 from the 2021 EU contribution to the agencies in question, so as to adjust the need for ‘fresh appropriations’ entered in the 2021 DB accordingly¹⁶.

Moreover, when assessing the decentralised agency’s needs for the financial year 2021, the Commission has taken into account the cancellation of commitments and payments (including on payment appropriations carried over from 2018) in 2019. In doing so, the Commission responds to the requirements of the Framework Financial Regulation, as revised in 2018¹⁷.

The question whether the cancellation of agency appropriations for the year 2019 was relatively large, has been assessed as follows:

- For under-execution of commitment appropriations of more than 5 %, a reduction of 2 % as compared to the level otherwise foreseen (after deduction of the assigned revenue stemming from the 2019 surplus).
- For cancellation of payment appropriations (including payment appropriations carried over from 2017) of more than 5 %, a reduction of 2 % as compared to the level otherwise foreseen (after deduction of the assigned revenue stemming from the 2018 surplus).
- For both under-execution of commitment appropriations and cancellation of payment appropriations (including payment appropriations carried over from 2017) of more than 5 %, a reduction of 4 % as compared to the level otherwise foreseen (after deduction of the assigned revenue stemming from the 2018 surplus).

Based on this assessment, penalties could be applied as follows:

- 2 % reduction for under-execution of commitment appropriations of more than 5 %
- 2 % reduction for cancellation of payment appropriations of more than 5 %
- 4 % reduction for both under-execution of commitment appropriations and cancellation of payment appropriations of more than 5 %

No agency have shown a large cancellation of appropriations for the year 2019. No penalty was applied in DB 2021.

1.4 EU contribution and staffing level for 2021

The MFF Communication of 2 May 2018 included global amounts for agencies per cluster of the Multiannual Financial Framework based on forecasts at agency level.

The draft budget request and the financial programming for each decentralised agency is guided by the 2018 MFF Communication. The draft budget also takes into consideration the adjustments introduced by the Communication of 27 May 2020. This update includes the financial impact of the 2019 and 2020 budgetary procedures and of the legislation adopted in the meantime. It also includes a thorough and updated assessment of the needs of some decentralised agencies including in the area of border management.

The proposed level of the EU contribution is EUR 1 988,4 million, of which 1 961,9 million covered by 2021 appropriations. The proposed level of establishment plan posts, excluding fully self-financed agencies and the CdT, is 6 811. Overall, this exercise results in a 11,3 % increase in expenditure compared to the 2020 authorised budget, and an increase by 140 posts in the establishment plans for all (fully or partially) EU-financed decentralised agencies. Should the needs for any particular agency prove demonstrably different from the estimates made in this draft budget, the Commission would propose a draft amending budget in the course of 2021.

The total staffing of all the decentralised agencies combined (excluding the CdT and the fully fee financed agencies i.e. EUIPO, SRB, CVPO) foreseen for 2021 would be as follows:

<i>Authorised establishment plan (posts)</i>		<i>Contract Agents¹⁸</i>		<i>Seconded National Experts</i>		<i>Total Staff (FTE)</i>	
2020	2021	2020	2021	2020	2021	2020	2021
6 671	6 811	2 480	2 574	637	646	9 788	10 031

The estimated breakdown in terms of the EU contribution and staff posts is shown in detail in the tables below:

¹⁶ As foreseen in Art Article 17 paragraph 1 of the Commission delegated Regulation (EU) 2019/715

¹⁷ OJ L 122, 10.5.2019.

¹⁸ The estimated overall number of contract agents is based on the information received from the decentralised agencies, as presented in more detail in the individual budgetary financial statements.

1.4.1 DB 2021 - Decentralised agencies of Heading 1 – Single Market, Innovation and Digital

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	Budget 2020				Draft Budget (DB) 2021				Variation 2021 / 2020		Classification DB 2021
				Total revenues of the Agency	EU contribution			Revenues estimated by the Agency	Foreseen EU contribution			EU contribution	DB / Budget	
					Total EU contribution	Of which budget	Of which assigned revenues		Total EU contribution	Of which DB	Of which assigned revenues			
European Union Aviation Safety Agency <i>Authorised establishment plan</i>	02 10 01	Köln	2002	217,852	37,954 680	37,954	0,000	220,189	38,900 680	38,900	0,000	2,5% 0	2,5%	Cruising speed
European Maritime Safety Agency <i>Authorised establishment plan</i>	02 10 02	Lisbon	2002	81,623	79,435 212	73,405	6,029	85,179	82,620 212	80,334	2,286	4,0% 0	9,4%	Cruising speed
European Union Agency for Railways <i>Authorised establishment plan</i>	02 10 03	Lille	2004	30,765	27,560 148	27,440	0,120	30,074	25,763 151	25,704	0,059	-6,5% 3	-6,3%	Cruising speed
European Union Agency for Cybersecurity (ENISA) <i>Authorised establishment plan</i>	02 10 04	Heraklion	2004	21,789	20,646 69	20,535	0,111	23,419	22,248 76	21,669	0,579	7,8% 7	5,5%	New tasks
Body of European Regulators for Electronic Communications (BEREC) — Office <i>Authorised establishment plan</i>	02 10 05	Riga	2009	7,234	7,140 16	7,117	0,023	7,376	7,283 16	7,250	0,032	2,0% 0	1,9%	Cruising speed
Agency for the Cooperation of Energy Regulators (ACER) <i>Authorised establishment plan</i>	02 10 06	Ljubljana	2009	16,869	16,470 71	16,278	0,192	19,549	14,434 71	14,236	0,198	-12,4% 0	-12,5%	Cruising speed
European Chemicals Agency — Chemicals legislation <i>Authorised establishment plan</i>	03 10 01 01	Helsinki	2006	99,021	61,880 404	58,828	3,052	94,743	63,615 404	62,261	1,354	2,8% 0	5,8%	Cruising speed
European Chemicals Agency — Activities in the field of biocides legislation <i>Authorised establishment plan</i>	03 10 01 02	Helsinki	2012	11,961	7,008 52	6,431	0,577	10,723	7,148 52	7,013	0,135	2,0% 0	9,1%	Cruising speed
European Banking Authority (EBA) <i>Authorised establishment plan</i>	03 10 02	Paris	2010	50,382	19,076 154	18,974	0,102	49,131	18,507 162	18,096	0,411	-3,0% 8	-4,6%	New tasks
European Insurance and Occupational Pensions Authority (EIOPA) <i>Authorised establishment plan</i>	03 10 03	Frankfurt	2010	29,420	10,804 127	10,762	0,042	32,885	12,141 138	12,141	0,000	12,4% 11	12,8%	New tasks
European Securities and Markets Authority (ESMA) <i>Authorised establishment plan</i>	03 10 04	Paris	2010	62,080	24,159 226	24,017	0,142	66,025	19,082 250	19,004	0,078	-21,0% 24	-20,9%	New tasks
European Union Agency for the Space Programme <i>Authorised establishment plan</i>	04 10 01	Prague	2004	35,449	34,664 150	34,603	0,061	36,922	36,107 150	35,900	0,207	4,2% 0	3,7%	New tasks
Total decentralised agencies – heading 1 <i>Authorised establishment plan</i>				664,446	346,796 2 309	336,344	10,451	676,215	347,848 2 362	342,508	5,340	0,3% 53	1,8%	

Main developments in 2021:

– European Banking Authority – EBA

In 2021 the agency will require additional resources to carry out new tasks in the field of the Capital Requirements legislation (CRDIV/CRR), the review of the European Deposit Insurance Scheme, new tasks in the securitisation area under the Capital Market Union Commission proposal, changes arising from the Anti Money Laundering proposal as well as from the review of the European Supervisory Authorities and the Sustainable investment proposal (COM(2018)353, 24.5.2018).

In view of its new tasks, the Commission proposes to reinforce the number of establishment plan posts of the agency to 162 posts in Budget 2021.

The EU contribution takes account of the staff increase.

– European Insurance and Occupational Pensions Authority – EIOPA

In 2021 the agency will require additional resources to carry out new tasks, notably arising from the development of main supervisory tasks, consumer protection and financial stability (reporting under Solvency II Directive), as well as the contribution to the Capital Markets Union (CMU). In 2021 additional staff will be allocated to work on the Pan-European Personal Pension product PEPP, whereas additional resources are proposed to carry out new tasks arising from the review of the European Supervisory Authorities and the Sustainable investment proposal (COM(2018)353, 24.5.2018). In view of its new tasks, the Commission proposes to increase the number of establishment plan posts of the agency to 138 posts in 2021. The EU contribution for 2021 takes account of the staff increase.

– European Securities and Markets Authority – ESMA

In 2021 the agency will require additional resources to carry out new tasks arising from the supervision of Central Clearing Counterparties CCPs; the review of the European Supervisory Authorities; facilitating the cross-border distribution of collective investment funds; the Sustainable investment proposal (COM(2018)353), the Sovereign Bond-Backed Securities (COM(2018)339), and the European Crowdfunding Service Providers (COM(2018) 113).

The Commission proposes to increase the number of establishment plan posts of the agency to 250 posts in 2021. The EU contribution for 2021 takes account of the staff increase.

Agency for the Cooperation of Energy Regulators (ACER)

In 2021, the agency will start with the setup and implementation of a fee and charges collection system to cover for the costs for ACER tasks under Regulation 1227/2011 (REMIT) whereby the Agency monitors the wholesale energy markets in the Union, draw up, publish maintain and update lists of standard contracts and organised market places, established procedures, standards and electronic formats based on established industry standards, develops technical and organisation requirements for submitting data and assesses whether reporting parties comply with the requirements. The setup and implementation of a fee and charges collection system allows for a limited reduction of the EU contribution to the Agency of EUR 2 million compared to 2020 while at the same time the total budget of the Agency will increase. The setting up and implementation of the fee and collection system by the agency thus simultaneously increases the total resources of the agency while reducing the burden on the tax payer. The Commission proposes stable staff compared to 2020 (71 Establishment plan posts) and 3 additional CA to setup and implement the fee and charges collection system.

European Union Agency for Railways (ERA)

In 2021, the agency will further implement a fee and charges collection system to cover the costs linked to its authority role in the issuance of Vehicle Authorisations and Single Safety Certificates, as foreseen in the 4th Railway Package Technical Pillar (including the “One-Stop-Shop”). The Commission proposes to keep the number of establishment plan posts of the agency stable compared to 2020 and the projected fee income allows for a limited reduction of the EU Contribution. The projected fee

income does not only lead to an increase of the total budget of the Agency, but it also allows for a reduction in EU contribution of EUR 1.8 million compared to 2020. This corresponds to the amount of the payment advances made by the Commission in previous years to setup the One-Stop-Shop.

– **European Chemicals Agency (ECHA-REACH) — Chemical activities**

The level of the EU contribution is based on a 2% increase of the 2020 expenditure level after the deduction of the appropriations corresponding to 8 Contract Agents transferred to the line of ECHA-Environment (as per the Waste Framework Directive) and a fee level slightly below the 2020 forecast. This leads to an increase by EUR 1.7 million compared with 2020 while posts are kept stable.

– **European Network and Information Security Agency (ENISA)**

As compared to 2020, the transformation of ENISA into the Cybersecurity Agency requires 7 additional posts in 2021, as well as a reinforcement of the EU contribution of EUR 1,6 million, both for the recruitment of new staff and for additional operational expenditure. The request is in line with the Legislative Financial Statement linked to Regulation (EU) 2019/881 of the European Parliament and of the Council on ENISA, the “EU Cybersecurity Agency” and repealing Regulation (EU) 526/2013 and on Information and Communication Technology cybersecurity certification (“Cybersecurity Act”).

1.4.2 DB 2021 - Decentralised agencies of Heading 2 - Cohesion and Values

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	Budget 2020				Draft Budget (DB) 2021				Variation 2021 / 2020		Classification DB 2021
				Total revenues of the Agency	EU contribution			Revenues estimated by the Agency	Foreseen EU contribution			EU contribution	DB / Budget	
					Total EU contribution	Of which budget	Of which assigned revenues		Total EU contribution	Of which DB	Of which assigned revenues			
European Foundation for the Improvement of Living and Working Conditions <i>Authorised establishment plan</i>	07 10 01	Dublin	1975	21,395	21,195	21,053	0,142	21,800	21,600	21,600	0,000	1,9%	2,6%	Cruising speed
					91				91		0			
European Agency for Safety and Health at Work <i>Authorised establishment plan</i>	07 10 02	Bilbao	1994	16,058	15,579	15,507	0,072	16,076	15,600	15,347	0,253	0,1%	-1,0%	Cruising speed
					40				40		0			
European Centre for the Development of Vocational Training (Cedefop) <i>Authorised establishment plan</i>	07 10 03	Thessaloniki	1975	18,278	17,838	17,815	0,023	18,451	18,000	17,805	0,195	0,9%	-0,1%	Cruising speed
					91				91		0			
European Union Agency for Fundamental Rights (FRA) <i>Authorised establishment plan</i>	07 10 04	Vienna	2007	23,691	23,326	23,158	0,168	23,656	23,283	23,112	0,171	-0,2%	-0,2%	Cruising speed
					72				72		0			
European Institute for Gender Equality (EIGE) <i>Authorised establishment plan</i>	07 10 05	Vilnius	2006	8,096	8,096	8,014	0,082	8,096	8,096	7,955	0,141	0,0%	-0,7%	Cruising speed
					27				27		0			
European Training Foundation (ETF) <i>Authorised establishment plan</i>	07 10 06	Turin	1990	20,957	20,957	20,937	0,020	21,300	21,300	21,053	0,247	1,6%	0,6%	Cruising speed
					86				86		0			
European Union Agency for Criminal Justice Cooperation (Eurojust) <i>Authorised establishment plan</i>	07 10 07	The Hague	2002	41,700	41,700	41,340	0,360	43,298	43,298	42,345	0,953	3,8%	2,4%	Cruising speed
					207				207		0			
European Public Prosecutor's Office (EPPO) <i>Authorised establishment plan</i>	07 10 08	Luxembourg	2019	11,672	11,672	11,672	0,000	37,700	37,700	37,700	0,000	223,0%	223,0%	Phasing-in
					58				87		29			
European Labour Authority (ELA) <i>Authorised establishment plan</i>	07 10 09	Brussels (to be confirmed)	2019	15,683	15,683	15,683	0,000	24,220	24,220	24,220	0,000	54,4%	54,4%	Phasing-in
					20				38		18			
Total decentralised agencies – heading 2 <i>Authorised establishment plan</i>				177,530	176,046	175,180	0,866	214,596	213,096	211,136	1,960	21,0%	20,5%	
					692				739		47			

Main developments in 2021:

– European Labour Authority - ELA

For 2021, an EU contribution of some EUR 24.2 million is proposed. Compared with the Legislative Financial Statement linked to the Regulation (EU) 2019/1149 of the European Parliament and of the Council of 20 June 2019 establishing a European Labour Authority, this request takes into consideration the decision to locate the seat of the Agency in Slovakia including the impact of the corrector coefficient as well as the 10 years free of charge rental arrangement with the Slovak authorities. The EU contribution will cover the costs related to staff (38 posts, 15 contract agents and 45 SNEs) and the start-up of the operational activities.

European Public Prosecutor's Office – EPPO

It has now become clear that the EPPO will have more work than envisaged at the time of adoption of its establishment proposal in 2017¹⁹. The information available at that point was partial. In the meantime, Member States have provided a significantly increased forecast of the number of cases that would fall within the material scope of competence of the EPPO. In addition, in 2021, the EPPO will have to decide on whether to exercise its right of evocation on the cases of crimes against the EU budget initiated at national level after 20 November 2017. In order to cope with these obligations and this workload, the Commission proposes to frontload into 2021 the staff initially due by 2023 (i.e. 87 temporary agents and 35 contractual agents) and to provide the financial coverage for 140 European Delegated Prosecutors who will carry out the analysis, investigation and prosecution in their Member State. The Commission proposes in total an EU contribution of EUR 37,7 million for 2021.

1.4.3 DB 2021 - Decentralised agencies of Heading 3 – Natural Resources and Environment

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	Budget				Draft Budget (DB)				Variation		Classification DB 2021
				2020				2021				2021 / 2020		
				Total revenues of the Agency	EU contribution			Revenues estimated by the Agency	Foreseen EU contribution			EU contribution	DB / Budget	
Total EU contribution	Of which budget	Of which assigned revenues	Total EU contribution		Of which DB	Of which assigned revenues								
European Fisheries Control Agency <i>Authorised establishment plan</i>	08 10 01	Vigo	2005	16,900	16,900	16,737	0,163	17,000	17,000	16,741	0,259	0,6%	0,0%	Cruising speed
					<i>61</i>				<i>61</i>			<i>0</i>		
European Chemicals Agency - Environmental directives and International conventions <i>Authorised establishment plan</i>	09 10 01	Helsinki	2012	3,057	3,057	3,034	0,023	5,285	5,285	5,260	0,025	72,9%	73,3%	New tasks
					<i>7</i>				<i>10</i>			<i>3</i>		
European Environment Agency <i>Authorised establishment plan</i>	09 10 02	Copenhagen	1990	47,601	41,972	41,719	0,253	47,855	42,211	41,993	0,218	0,6%	0,7%	New tasks
					<i>130</i>				<i>130</i>			<i>0</i>		
Total decentralised agencies – heading 3 <i>Authorised establishment plan</i>				67,558	61,929	61,490	0,439	70,140	64,496	63,994	0,503	4,1%	4,1%	
					<i>198</i>				<i>201</i>			<i>3</i>		

¹⁹ OJ L 283, 31.10.2017, p. 1

Main developments in 2021:

– European Chemicals Agency (ECHA-ENV) — Environmental directives and International conventions

Under the Drinking Water Directive No 98/83, ECHA received new tasks which requires 3 posts 2 contract agents as well as the corresponding appropriations. The Waste Framework Directive No 2018/851 requires ECHA to develop a new database, for which the agency needs 8 contract agents and a corresponding increase in the EU contribution. Both staff and appropriations are redeployed from the ECHA-Chemicals budget line in heading 2.

1.4.4 DB 2021 - Decentralised agencies of Heading 4 – Migration and border management

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	Budget 2020				Draft Budget (DB) 2021				Variation 2021 / 2020		Classification DB 2021
				Total revenues of the Agency	EU contribution			Revenues estimated by the Agency	Foreseen EU contribution			EU contribution	DB / Budget	
					Total EU contribution	Of which budget	Of which assigned revenues		Total EU contribution	Of which DB	Of which assigned revenues			
European Asylum Support Office (EASO) <i>Authorised establishment plan</i>	10 10 01	Valletta	2010	124,073	124,073	118,327	5,746	142,114	142,114	137,811	4,304	14,5%	16,5%	New tasks
					366				366			0		
European Border and Coast Guard Agency (Frontex) <i>Authorised establishment plan</i>	11 10 01	Warsaw	2004	469,955	438,160	421,821	16,339	617,869	575,157	566,950	8,207	31,3%	34,4%	New tasks
					1 050				1 050			0		
European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice ('eu-LISA') <i>Authorised establishment plan</i>	11 10 02	Tallinn Strasbourg Sankt Johann im Pongau	2011	241,122	241,122	240,202	0,920	229,478	229,478	227,820	1,658	-4,8%	-5,2%	New tasks
					202				213			11		
Total decentralised agencies – heading 4 <i>Authorised establishment plan</i>				835,150	803,355	780,350	23,005	989,461	946,749	932,581	14,168	17,8%	19,5%	
					1 618				1 629			11		

Main developments in 2021:

– European Union Agency for the operational management of large-scale IT systems in the area of freedom, security and justice – eu-LISA

Eu-LISA receives new tasks under its revised founding Regulation, the Entry-Exit System, ETIAS, Interoperability, the SIS II package and the proposal for Eurodac (COM 2016/468) and Dublin II (COM 2016/270). The Commission proposes 213 posts, an increase of 11 compared to 2020. The reduction in the EU contribution to eu-LISA of EUR 11,6 million (in commitment appropriations) as compared to the 2020 budget reflects the annual profile of the development of the large-scale IT systems, in particular for the Entry/Exit System, ETIAS and the strengthened interoperability of the systems.

– **European Asylum Support Office – EASO**

As per the Commission proposal to transform EASO into the EU Agency for Asylum, the EU contribution is proposed to be reinforced up to EUR 142 million. The updated envelope reflects ½ of the impact of the amended proposal of 2018 for a Regulation on the European Union Agency for Asylum.

– **European Border and Coast Guard Agency – FRONTEX**

The transformation of Frontex into the European Border and Coast Guard Agency started in 2020 continues in 2021. The proposed EU contribution to the Agency will increase from EUR 438 million in 2020 to EUR 575 million in 2021. The proposal is based on a stable staffing of the agency, including the posts required for the creation of a standing corps of border guards. The proposed level of funding for the agency ensures the agency's core capacity to deliver on the number of border guards (including the build-up of the Standing Corps) and ensures an important capacity to support Member States with returns.

1.4.5 DB 2021 - Decentralised agency of Heading 5 – Resilience, Security and Defence

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	Budget 2020				Draft Budget (DB) 2021				Variation 2021 / 2020		Classification DB 2021
				Total revenues of the Agency	EU contribution			Revenues estimated by the Agency	Foreseen EU contribution			EU contribution	DB / Budget	
					Total EU contribution	Of which budget	Of which assigned revenues		Total EU contribution	Of which DB	Of which assigned revenues			
European Union Agency for Law Enforcement Cooperation (Europol) <i>European Union Agency for Law Enforcement Training (CEPOL)</i>	12 10 01	The Hague	1995	154,072	154,072	152,965	1,107	172,964	172,964	170,601	2,364	12,3%	11,5%	New tasks
					615				615			0		
European Union agency for law enforcement training (CEPOL) <i>Authorised establishment plan</i>	12 10 02	Budapest	2005	10,569	10,439	10,084	0,355	10,632	10,632	10,420	0,213	1,9%	3,3%	New tasks
					33				33			0		
European Monitoring Centre for Drugs and Drug Addiction (EMCDDA) <i>Authorised establishment plan</i>	12 10 03	Lisbon	1993	17,019	16,289	16,266	0,022	17,360	16,614	16,594	0,021	2,0%	2,0%	Cruising speed
					76				76			0		
European Centre for Disease Prevention and Control <i>Authorised establishment plan</i>	14 10 01	Stockholm	2004	64,101	62,701	60,822	1,879	65,471	63,955	62,486	1,469	2,0%	2,7%	New tasks
					180				180			0		
European Food Safety Authority <i>Authorised establishment plan</i>	14 10 02	Parma	2002	107,892	105,459	105,017	0,442	128,575	125,800	125,371	0,429	19,3%	19,4%	New tasks
					354				380			26		
European Medicines Agency <i>Authorised establishment plan</i>	14 10 03	Amsterdam	2002	357,046	50,000	50,000	0,000	346,837	26,200	26,200	0,000	-47,6%	-47,6%	Cruising speed
					596				596			0		
Total decentralised agencies – heading 5 <i>Authorised establishment plan</i>				710,699	398,959	395,154	3,805	741,839	416,166	411,671	4,495	4,3%	4,2%	
					1 854				1 880			26		

Main developments in 2021:

– European Police Office – EUROPOL

The proposed EU contribution includes an increase of EUR 19 million compared to 2020, bringing the proposed EU contribution for 2021 to EUR 173 million. Such increase is a consequence of the agreements reached on the Interoperability between EU Information systems and VIS as well as a broader need to increase the support to Member States' law enforcement authorities. The EU Proposal is based on a stable amount of posts i.e. 615 and on a level of CA set at 191 which is deemed appropriate to enable Europol to implement the increased financial envelope.

– European Food Safety Authority – EFSA

The 2021 request takes into consideration the revision of the General Food Law Regulation follows-up on the European Citizens' Initiative on glyphosate; and especially on concerns regarding the transparency of the scientific studies used in the evaluation of pesticides. The revision's objective is to increase the transparency and sustainability of the EU scientific assessment model, and other aspects such as governance of EFSA. The Commission proposes a reinforcement of the EU contribution to EFSA by EUR 20.3 million, to cover the increase in staff (26 posts and 7 contract agents) and operational activities resulting from the proposal.

– European Centre for Disease Prevention and Control – ECDC

The EU contribution includes the roll over the reinforcement agreed by the European Parliament and the Council in Amending Budget 1/2020, which translated into 20 additional CAs. The reinforcement will be used to provide models for assessing and comparing the relative impact of different intervention strategies in fighting the COVID-19 outbreak. It will also allow the agency to develop and advise on interventions in hospitals and the community to enhance prevention and control, clinical management and hospital preparedness. ECDC will also provide expertise in the field of emergency preparedness and response for deployments to participating countries in need of immediate assistance to respond to the crisis.

– European Medicine Agency (EMA)

The EU contribution in budget 2020 included an exceptional reinforcement for the move of the Agency from London to Amsterdam. In 2021, this reinforcement is discontinued and the EU contribution has been adjusted downwards at EUR 26 million. The request for DB 2021 also takes into consideration the expected lower costs related to the correction coefficient and rent in Amsterdam compared with London. The staff is kept stable especially in view of the current difficulties of the Agency in recruiting the new employees.

1.4.6 DB 2021 - Decentralised agency of Heading 7 – Administration

(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	Budget 2020				Draft Budget (DB) 2021				Variation 2021 / 2020		Classification DB 2021
				Total revenues of the Agency	EU contribution			Revenues estimated by the Agency	Foreseen EU contribution			EU contribution	DB / Budget	
					Total EU contribution	Of which budget	Of which assigned revenues		Total EU contribution	Of which DB	Of which assigned revenues			
Translation Centre for the Bodies of the European Union <i>Authorised establishment plan</i>	20 10 01	Luxembourg	1994	47,077	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,0%	0,0%	Cruising speed
					193				193			0		
Total decentralised agencies – heading 7 <i>Authorised establishment plan</i>				47,077	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,0%	0,0%	
					193				193			0		

1.4.7 DB 2021 - Fully self-financed decentralised agencies

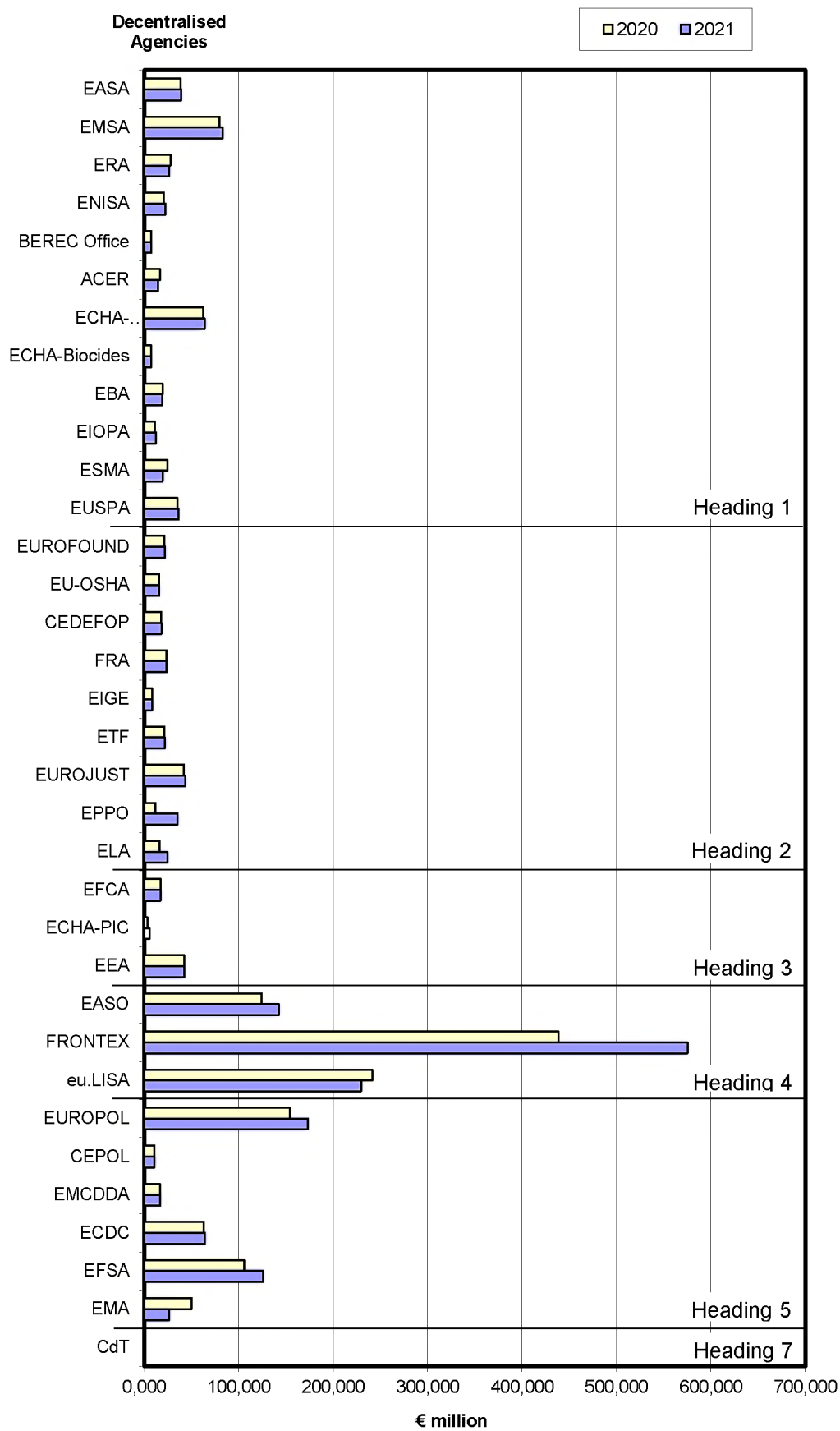
(in million EUR)

Name of the decentralised agency	Budget line	Location	Year of creation	Budget 2020				Draft Budget (DB) 2021				Variation 2021 / 2020		Classification DB 2021
				Total revenues of the Agency	EU contribution			Revenues estimated by the Agency	Foreseen EU contribution			EU contribution	DB / Budget	
					Total EU contribution	Of which budget	Of which assigned revenues		Total EU contribution	Of which DB	Of which assigned revenues			
European Union Intellectual Property Office (EUIPO) <i>Authorised establishment plan</i>	00 01	Alicante	1993	267,293	0,000	0,000	0,000	279,783	0,000	0,000	0,000	0,0%	0,0%	Cruising speed
					774				774			0		
Community Plant Variety Office (CPVO) <i>Authorised establishment plan</i>	00 02	Angers	1994	19,986	0,000	0,000	0,000	20,056	0,000	0,000	0,000	0,0%	0,0%	Cruising speed
					43				45			2		
Single Resolution Board (SRB) <i>Authorised establishment plan</i>	00 03	Brussels	2014	8 133,224	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,0%	0,0%	New tasks
					400				400			0		
Total self-financed decentralised agencies <i>Authorised establishment plan</i>				8 420,503	0,000	0,000	0,000	299,839	0,000	0,000	0,000	0,0%	0,0%	
					1 217				1 219			2		

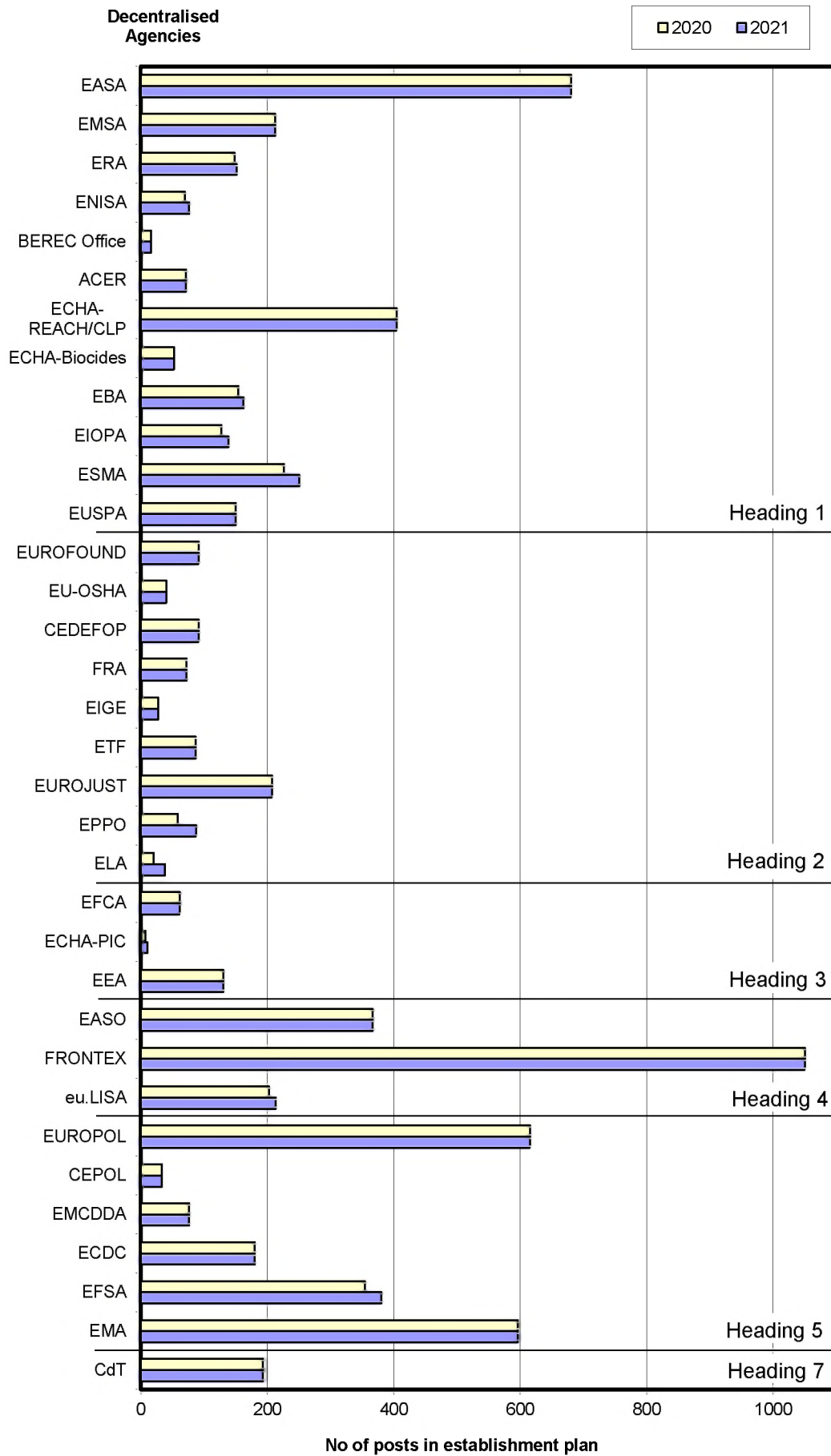
1.4.8 DB 2021 - Total of decentralised agencies

(in million EUR) Name of the decentralised agency	Budget line	Location	Year of creation	Budget 2020				Draft Budget (DB) 2021				Variation 2021 / 2020		Classification DB 2021
				Total revenues of the Agency	EU contribution			Revenues estimated by the Agency	Foreseen EU contribution			EU contribution	DB / Budget	
					Total EU contribution	Of which budget	Of which assigned revenues		Total EU contribution	Of which DB	Of which assigned revenues			
Total decentralised agencies <i>Authorised establishment plan</i>				10 922,963	1 787,085 8 081	1 748,519	38,567	2 992,089	1 988,355 8 223	1 961,888	26,467	11,3% 142	12,2%	
Total decentralised agencies (excl. EUIPO, CPVO, SRB) <i>Authorised establishment plan</i>				2 502,461	1 787,085 6 864	1 748,519	38,567	2 692,251	1 988,355 7 004	1 961,888	26,467	11,3% 140	12,2%	
Of which "cruising speed" decentralised agencies <i>Authorised establishment plan</i>				1 113,466	527,944 3 294	515,020	12,924	1 065,086	512,711 3 300	504,944	7,767	-2,9% 6	-2,0%	
Of which "new tasks" and "Phasing-in" decentralised agencies <i>Authorised establishment plan</i>				1 388,994	1 259,141 3 570	1 233,498	25,643	1 627,165	1 475,644 3 704	1 456,944	18,700	17,2% 134	18,1%	

CONTRIBUTION from EU BUDGET to DECENTRALISED AGENCIES



NUMBER of POSTS in ESTABLISHMENT PLANS of DECENTRALISED AGENCIES



1.5 Table Commission budget implementation for decentralised agencies 2019

1.5.1 Budget implementation 2019: Decentralised agencies of Heading 1 - Single Market, Innovation and Digital

(in million EUR)

Name of the decentralised agency	Budget line		Authorised appropriations 2019		Commitments made 2019			Payments made 2019			Carry-over of assigned revenue to 2020		Appropriations cancelled 2019	
	Up to 2020	From 2021	Commitments	Payments	Total	Of which voted budget	Of which assigned revenues	Total	Of which voted budget	Of which assigned revenues	Commitments	Payments	Commitments	Payments
European Union Aviation Safety Agency	06 02 02	02 10 01	38,552	38,552	38,552	37,551	1,001	38,552	37,551	1,001	0,000	0,000	0,000	0,000
European Maritime Safety Agency	06 02 03 01	02 10 02	56,695	60,885	50,666	48,439	2,226	54,856	52,629	2,226	6,029	6,029	0,000	0,000
European Maritime Safety Agency — Anti-pollution measures	06 02 03 02		29,846	24,410	29,846	29,240	0,606	24,410	23,833	0,577	0,000	0,000	0,000	0,000
European Union Agency for Railways	06 02 04	02 10 03	27,789	27,789	27,669	26,949	0,720	27,669	26,949	0,720	0,120	0,120	0,000	0,000
European Union Agency for Cybersecurity (ENISA)	09 02 03	02 10 04	16,403	16,403	16,293	15,824	0,468	16,293	15,824	0,468	0,111	0,111	0,000	0,000
Body of European Regulators for Electronic Communications (BEREC) — Office	09 02 04	02 10 05	5,724	5,724	5,701	5,678	0,023	5,701	5,678	0,023	0,023	0,023	0,000	0,000
Agency for the Cooperation of Energy Regulators (ACER)	32 02 10	02 10 06	16,339	16,339	16,147	15,853	0,294	16,147	15,853	0,294	0,192	0,192	0,000	0,000
European Chemicals Agency — Chemicals legislation	02 03 03	03 10 01 01	62,810	62,810	59,758	53,682	6,076	59,758	53,682	6,076	3,052	3,052	0,000	0,000
European Chemicals Agency — Activities in the field of biocides legislation	17 04 07	03 10 01 02	5,797	3,653	3,076	1,882	1,194	3,076	1,882	1,194	0,577	0,577	2,144	0,000
European Banking Authority (EBA)	12 02 04	03 10 02	21,241	21,241	18,492	16,668	1,823	18,492	16,668	1,823	0,259	0,259	2,490 ²⁰	2,490
European Insurance and Occupational Pensions Authority (EIOPA)	12 02 05	03 10 03	12,651	12,651	10,187	10,014	0,173	10,187	10,014	0,173	0,104	0,104	2,360 ²⁰	2,360
European Securities and Markets Authority (ESMA)	12 02 06	03 10 04	27,683	27,683	13,684	13,565	0,118	13,684	13,565	0,118	0,329	0,329	13,670 ²⁰	13,670
European Union Agency for the Space Programme	02 05 11	04 10 01	33,651	36,080	33,590	32,628	0,961	36,019	35,057	0,961	0,061	0,061	0,000	0,000
Total decentralised agencies – heading 1			355,182	354,220	323,660	307,975	15,685	324,843	309,187	15,656	10,858	10,858	20,664	18,520

²⁰ In March 2019, the co-legislators reached an agreement on the revision of the mandates of EBA, EIOPA and ESMA, which entailed a more limited extension of the scope of the mandates than in the initial proposal by the Commission, with a corresponding impact on the resources needs. It was proposed to reduce in DAB the 4/2019 the budgets of the ESAs. DAB 4/2019 was not adopted which resulted in the cancellation of the appropriations.

1.5.2 Budget implementation 2019: Decentralised agencies of Heading 2 - Cohesion and Values

(in million EUR)

Name of the decentralised agency	Budget line		Authorised appropriations 2019		Commitments made 2019			Payments made 2019			Carry-over of assigned revenue to 2020		Appropriations cancelled 2019	
	Up to 2020	From 2021	Commitments	Payments	Total	Of which voted budget	Of which assigned revenues	Total	Of which voted budget	Of which assigned revenues	Commitments	Payments	Commitments	Payments
European Foundation for the Improvement of Living and Working Conditions	04 03 11	07 10 01	20,921	20,921	20,779	20,779	0,000	20,779	20,779	0,000	0,142	0,142	0,000	0,000
European Agency for Safety and Health at Work	04 03 12	07 10 02	15,711	15,491	15,639	15,123	0,516	15,419	14,903	0,516	0,072	0,072	0,000	0,000
European Centre for the Development of Vocational Training (Cedefop)	04 03 13	07 10 03	17,434	18,859	17,434	16,110	1,324	18,859	17,535	1,324	0,000	0,000	0,000	0,000
European Union Agency for Fundamental Rights (FRA)	33 02 06	07 10 04	22,659	22,659	22,491	21,971	0,520	22,491	21,971	0,520	0,168	0,168	0,000	0,000
European Institute for Gender Equality (EIGE)	33 02 07	07 10 05	8,019	8,019	7,937	7,809	0,128	7,937	7,809	0,128	0,082	0,082	0,000	0,000
European Training Foundation (ETF)	04 03 14	07 10 06	20,566	20,566	20,546	20,489	0,057	20,546	20,489	0,057	0,020	0,020	0,000	0,000
European Union Agency for Criminal Justice Cooperation (Eurojust)	33 03 04	07 10 07	39,273	39,133	38,913	38,451	0,463	38,773	38,311	0,463	0,360	0,360	0,000	0,000
European Public Prosecutor's Office (EPPO)	33 03 05	07 10 08	4,134	2,134	3,133	3,133	0,000	0,813	0,813	0,000	0,000	0,000	1,001	1,321
European Labour Authority (ELA)	04 03 15	07 10 09	2,125	0,285	1,883	1,883	0,000	0,285	0,285	0,000	0,000	0,000	0,242	0,000
Total decentralised agencies – heading 2			150,842	148,067	148,755	145,747	3,007	145,902	142,894	3,007	0,844	0,844	1,243	1,321

1.5.3 Budget implementation 2019: Decentralised agencies of Heading 3 – Natural Resources and Environment

(in million EUR)

Name of the decentralised agency	Budget line		Authorised appropriations 2019		Commitments made 2019			Payments made 2019			Carry-over of assigned revenue to 2020		Appropriations cancelled 2019	
	Up to 2020	From 2021	Commitments	Payments	Total	Of which voted budget	Of which assigned revenues	Total	Of which voted budget	Of which assigned revenues	Commitments	Payments	Commitments	Payments
European Fisheries Control Agency	11 06 64	08 10 01	16,910	16,910	16,747	16,506	0,241	16,747	16,506	0,241	0,163	0,163	0,000	0,000
European Chemicals Agency - Environmental directives and International conventions	07 02 05	09 10 01	1,587	1,587	1,564	1,550	0,014	1,564	1,550	0,014	0,023	0,023	0,000	0,000
European Environment Agency	07 02 06	09 10 02	45,466	45,466	45,213	39,260	5,953	45,213	39,260	5,953	0,253	0,253	0,000	0,000
Total decentralised agencies – heading			63,963	63,963	63,524	57,316	6,208	63,524	57,316	6,208	0,439	0,439	0,000	0,000

1.5.4 Budget implementation 2019: Decentralised agency of Heading 4 – Migration and Border Management

(in million EUR)

Name of the decentralised agency	Budget line		Authorised appropriations 2019		Commitments made 2019			Payments made 2019			Carry-over of assigned revenue to 2020		Appropriations cancelled 2019	
	Up to 2020	From 2021	Commitments	Payments	Total	Of which voted budget	Of which assigned revenues	Total	Of which voted budget	Of which assigned revenues	Commitments	Payments	Commitments	Payments
European Asylum Support Office (EASO)	18 03 02	10 10 01	102,432	102,432	96,686	94,033	2,653	96,686	94,033	2,653	5,746	5,746	0,000	0,000
European Border and Coast Guard Agency (Frontex)	18 02 03	11 10 01	323,628	323,628	307,289	290,186	17,103	307,289	290,186	17,103	16,339	16,339	0,000	0,000
European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice ('eu-LISA')	18 02 07	11 10 02	295,326	143,306	288,403	287,044	1,359	138,063	136,703	1,359	0,920	0,920	6,003	4,323
Total decentralised agencies – heading 4			721,386	569,366	692,378	671,262	21,116	542,038	520,922	21,116	23,005	23,005	6,003	4,323

1.5.5 Budget implementation 2019: Decentralised agency of Heading 5 – Resilience, Security and Defence

(in million EUR)

Name of the decentralised agency	Budget line		Authorised appropriations 2019		Commitments made 2019			Payments made 2019			Carry-over of assigned revenue to 2020		Appropriations cancelled 2019	
	Up to 2020	From 2021	Commitments	Payments	Total	Of which voted budget	Of which assigned revenues	Total	Of which voted budget	Of which assigned revenues	Commitments	Payments	Commitments	Payments
European Union Agency for Law Enforcement Cooperation (Europol)	18 02 04	12 10 01	139,412	139,412	138,305	137,147	1,159	138,305	137,147	1,159	1,107	1,107	0,000	0,000
European Union agency for law enforcement training (CEPOL)	18 02 05	12 10 02	9,647	9,647	9,308	8,847	0,461	9,308	8,847	0,461	0,339	0,339	0,000	0,000
European Monitoring Centre for Drugs and Drug Addiction (EMCDDA)	18 06 02	12 10 03	15,309	15,309	15,287	15,097	0,190	15,287	15,097	0,190	0,022	0,022	0,000	0,000
European Centre for Disease Prevention and Control	17 03 10	14 10 01	61,086	61,086	59,207	56,754	2,453	59,206	56,753	2,453	1,879	1,879	0,000	0,001
European Food Safety Authority	17 03 11	14 10 02	80,396	79,696	79,953	77,792	2,162	79,253	77,092	2,162	0,442	0,442	0,000	0,000
European Medicines Agency	17 03 12 01	14 10 03 01	37,597	37,597	23,795	9,167	14,627	23,795	9,167	14,627	13,803	13,803	0,000	0,000
Special contribution for orphan medicinal products	17 03 12 02	14 10 03 02	11,702	11,702	11,702	11,364	0,338	11,702	11,364	0,338	0,000	0,000	0,000	0,000
Total decentralised agencies – heading 5			355,150	354,450	337,557	316,168	21,389	336,856	315,467	21,389	17,593	17,593	0,000	0,001

1.5.6 Budget implementation 2019: Decentralised agency of Heading 7 – Administration

(in million EUR)

Name of the decentralised agency	Budget line		Authorised appropriations 2019		Commitments made 2019			Payments made 2019			Carry-over of assigned revenue to 2020		Appropriations cancelled 2019	
	Up to 2020	From 2021	Commitments	Payments	Total	Of which voted budget	Of which assigned revenues	Total	Of which voted budget	Of which assigned revenues	Commitments	Payments	Commitments	Payments
Translation Centre for the Bodies of the European Union	31 01 10	20 10 01	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000
Total decentralised agencies – heading 7			0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000

1.5.7 Budget implementation 2019: Decentralised agencies – Total

(in million EUR)

Name of the decentralised agency	Budget line		Authorised appropriations 2019		Commitments made 2019			Payments made 2019			Carry-over of assigned revenue to 2020		Appropriations cancelled 2019	
	Up to 2020	From 2021	Commitments	Payments	Total	Of which voted budget	Of which assigned revenues	Total	Of which voted budget	Of which assigned revenues	Commitments	Payments	Commitments	Payments
Total decentralised agencies			1 646,522	1 490,066	1 565,874	1 498,468	67,406	1 413,163	1 345,786	67,376	52,738	52,738	27,910	24,165

The budget implementation tables for decentralised agencies should be read as follows:

Authorised appropriations include voted budget appropriations as well as assigned revenues (both EFTA credits and recovery of agency surpluses from previous years);

Authorised appropriations 2019 minus commitments (or payments) made in 2019 minus carry-over of assigned revenue to 2020 leads to appropriations cancelled (on the Commission side);

The carry-over of assigned revenue to 2020 (stemming from the recovery of agency surpluses for the financial year 2019) has been taken into account when calculating the EU contribution for 2021 (see also tables 1.4 and DB 2021 Working Document III).

All budget implementation 2019 data in this document are based on provisional accounting closure (April 2020).

1.6 Table decentralised agency staffing 2019

1.6.1 Staffing 2019: Decentralised agencies of Heading 1 - Single Market, Innovation and Digital

Name of the decentralised agency	Year of creation	Establishment Plan Posts		Contract Agents		Seconded National Experts (END)		Total personnel	
		Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Budget 2019	Actually filled 31/12/2019
European Union Aviation Safety Agency	2002	680	656	106	89	24	17	810	762
European Maritime Safety Agency	2002	212	204	33	32	18	15	263	251
European Union Agency for Railways	2004	148	139	38	35	4	0	190	174
European Union Agency for Cybersecurity (ENISA)	2004	59	51	30	26	6	4	95	81
Body of European Regulators for Electronic Communications (BEREC) — Office	2009	16	14	13	13	8	7	37	34
Agency for the Cooperation of Energy Regulators (ACER)	2009	67	67	27	26	4	4	98	97
European Chemicals Agency — Chemicals legislation	2006	404	394	102	106	13	3	519	503
European Chemicals Agency — Activities in the field of biocides legislation	2012	50	45	15	14	2	1	67	60
European Banking Authority (EBA)	2010	155	144	60	45	17	19	232	208
European Insurance and Occupational Pensions Authority (EIOPA)	2010	124	113	40	36	26	17	190	166
European Securities and Markets Authority (ESMA)	2010	210	155	89	68	22	10	321	233
European Union Agency for the Space Programme	2004	139	138	34	57	2	3	175	198
Total decentralised agencies – heading 1		2 264	2 120	587	547	146	100	2 997	2 767

1.6.2 Staffing 2019: Decentralised agencies of Heading 2 - Cohesion and Values

Name of the decentralised agency	Year of creation	Establishment Plan Posts		Contract Agents		Seconded National Experts (END)		Total personnel	
		Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Budget 2019	Actually filled 31/12/2019
European Foundation for the Improvement of Living and Working Conditions	1975	91	86	13	11	1	1	105	98
European Agency for Safety and Health at Work	1994	40	40	25	23	0	0	65	63
European Centre for the Development of Vocational Training (Cedefop)	1975	91	86	25	25	4	3	120	114
European Union Agency for Fundamental Rights (FRA)	2007	72	71	32	30	10	9	114	110
European Institute for Gender Equality (EIGE)	2006	27	26	10	14	5	4	42	44
European Training Foundation (ETF)	1990	86	86	41	41	1	0	128	127
European Union Agency for Criminal Justice Cooperation (Eurojust)	2002	208	204	16	17	21	18	245	239
European Public Prosecutor's Office (EPPO)	2017	37	9	0	1	0	0	37	10
European Labour Authority (ELA)	2019	16	0	7	4	15	0	38	4
Total decentralised agencies – heading 2		668	608	169	166	57	35	894	809

1.6.3 *Staffing 2019: Decentralised agencies of Heading 3 – Natural Resources and Environment*

Name of the decentralised agency	Year of creation	Establishment Plan Posts		Contract Agents		Seconded National Experts (END)		Total personnel	
		Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Budget 2019	Actually filled 31/12/2019
European Fisheries Control Agency	2005	61	61	5	10	4	6	70	77
European Chemicals Agency - Environmental directives and International conventions	2012	7	7	2	2	0	0	9	9
European Environment Agency	1990	124	120	72	61	20	19	216	200
Total decentralised agencies – heading 3		192	188	79	73	24	25	295	286

1.6.4 *Staffing 2019: Decentralised agency of Heading 4 – Migration and Border Management*

Name of the decentralised agency	Year of creation	Establishment Plan Posts		Contract Agents		Seconded National Experts (END)		Total personnel	
		Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Budget 2019	Actually filled 31/12/2019
European Asylum Support Office (EASO)	2010	284	214	95	72	4	9	383	295
European Border and Coast Guard Agency (Frontex)	2004	859	367	577	199	194	168	1 630	734
European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice ('eu-LISA')	2011	172	154	88	61	11	8	271	223
Total decentralised agencies – heading 4		1 315	735	760	332	209	185	2 284	1 252

1.6.5 *Staffing 2019: Decentralised agency of Heading 5 – Resilience, Security and Defence*

Name of the decentralised agency	Year of creation	Establishment Plan Posts		Contract Agents		Seconded National Experts (END)		Total personnel	
		Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Budget 2019	Actually filled 31/12/2019
European Union Agency for Law Enforcement Cooperation (Europol)	1995	591	570	211	192	71	66	873	828
European Union Agency for Law Enforcement Training (CEPOL)	2005	32	30	19	17	3	5	54	52
European Monitoring Centre for Drugs and Drug Addiction (EMCDDA)	1993	76	72	34	34	1	1	111	107
European Centre for Disease Prevention and Control	2004	180	174	100	99	5	1	285	274
European Food Safety Authority	2002	320	313	131	131	15	15	466	459
European Medicines Agency	1993	591	583	178	187	45	28	814	798
Total decentralised agencies – heading 5		1 790	1 742	673	660	140	116	2 603	2 518

1.6.6 Staffing 2019: Decentralised agency of Heading 7 – Administration

Name of the decentralised agency	Year of creation	Establishment Plan Posts		Contract Agents		Seconded National Experts (END)		Total personnel	
		Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Budget 2019	Actually filled 31/12/2019
Translation Centre for the Bodies of the European Union	1994	193	180	30	22	0	0	223	202
Total decentralised agencies – heading 7		193	180	30	22	0	0	223	202

1.6.7 Staffing 2019: Self-financed decentralised agencies

Name of the decentralised agency	Year of creation	Establishment Plan Posts		Contract Agents		Seconded National Experts (END)		Total personnel	
		Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Budget 2019	Actually filled 31/12/2019
European Union Intellectual Property Office (EUIPO)	1993	775	829	193	199	74	65	1 042	1 093
Community Plant Variety Office (CPVO)	1994	43	44	5	6	0	0	48	50
Single Resolution Board (SRB)	2014	400	350	0	0	35	22	435	372
Total decentralised agencies		1 218	1 223	198	205	109	87	1 525	1 515

1.6.8 Staffing 2019: Decentralised agencies – Total

Name of the decentralised agency	Year of creation	Establishment Plan Posts		Contract Agents		Seconded National Experts (END)		Total personnel	
		Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Budget 2019	Actually filled 31/12/2019
Total decentralised agencies		7 640	6 796	2 496	2 005	685	548	10 821	9 349
<i>Total decentralised agencies (excl. fully self-financed agencies)</i>		<i>6 422</i>	<i>5 573</i>	<i>2 298</i>	<i>1 800</i>	<i>576</i>	<i>461</i>	<i>9 296</i>	<i>7 834</i>

2 INDIVIDUAL BUDGETARY FINANCIAL STATEMENTS

The individual budgetary financial statements include, by agency, information on the set-up of the agency, the EU contribution to and the budget of the agency (revenue and expenditure), the estimated surplus of 2019, the establishment plan, contract agents and Seconded National Experts, buildings, privileges and immunities, and evaluations.

2.1 Decentralised agencies of Heading 1 – Single Market, Innovation and Digital

2.1.1 European Union Aviation Safety Agency – EASA

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
BASIC REGULATION: Regulation (EU) No 2018/1139 of the European Parliament and of the Council on common rules in the field of civil aviation and establishing a European Union Aviation Safety Agency, and amending Regulations (EC) No 2111/2005, (EC) No 1008/2008, (EU) No 996/2010, (EU) No 376/2014 and Directives 2014/30/EU of the European Parliament and of the Council, and repealing Regulations (EC) No 552/2004 and (EC) No 216/2008 of the European Parliament and of the Council and Council Regulation (EEC) No 3922/91	04 July 2018 11 September 2018 (Entry into force)	The Regulation consolidates the scope of EU competence to cover the full spectrum of the aviation landscape and reinforce the European aviation system as a whole. EASA's mandate continues to cover aviation safety management, airworthiness and environmental protection, aircrew, air operations, aerodromes, air traffic management (ATM) and air navigation services (ANS), and aircraft used by a third-country operators into, within or out of the EU. In addition, new technical areas are added, like unmanned aircraft, ground handling and aviation security (specifically cybersecurity). EASA's role is also reinforced in areas, such as environmental protection, research and development, or international cooperation. Furthermore, the Regulation provides new tools, such as a possibility for some products and activities that would be normally excluded from the scope of the Regulation to be included (opt-ins) and for some products that would normally in the scope to be excluded from it (opt-out). It also allows the transfer of competent authority responsibilities between MS or from MS to EASA.
Regulation (EC) No 2111/2005 on the establishment of a Community list of air carriers subject to an operating ban within the Community and on informing air transport passengers of the identity of the operating air carrier.	14 December 2005 16 January 2006 (Entry into force)	EASA shall communicate to the Commission all information that may be relevant in the context of updating the Community list as well as bring the Community list to the attention of passengers.
Regulation (EU) No 996/2010 of the European Parliament and of the Council. On the investigation and prevention of accident and incidents in civil aviation,	20 October 2010 02 December 2010 (Entry into force)	EASA participates in safety investigations and in cooperation with the competent authorities of the Member States in the exchange and analysis of information within the occurrence reporting systems
Regulation EU No 376/2014 of the European Parliament and of the Council. On the reporting, analysis and follow-up of occurrences in civil aviation	03 April 2014 15 November 2015 (Applicability date)	EASA is involved in the exchange, evaluation, processing or analysis of occurrences that have a significant role to play in the identification of safety hazards and safety deficiencies. EASA shall establish mandatory and voluntary reporting systems to facilitate the collection of details of occurrences. The Agency and the Commission should provide technical support for the interoperability of the Aircraft Incident Reporting Systems (ECCAIRS) and with the ADREP taxonomy

1.2 Seat

Cologne, Germany

1.3 Budget Line

02 10 01 : European Union Aviation Safety Agency

1.4 Human Resources overview

1.4.1 Human Resources overview EASA

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	562	544	96,80%	566	566
Assistants (AST)	118	112	94,92%	114	112
Assistants/Secretaries (AST/SC)					2
ESTABLISHMENT PLAN POSTS	680	656	96,47%	680	680
Contract Agents (CA)	106	89	83,96%	106	106
Seconded National Experts (SNE)	24	17	70,83%	24	24
TOTAL STAFF	810	762	94,07%	810	810

1.4.2 Human Resources overview (Fees and charges)

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	378	367	97,09%	383	383
Assistants (AST)	76	71	93,42%	71	70
Assistants/Secretaries (AST/SC)					1
ESTABLISHMENT PLAN POSTS	454	438	96,48%	454	454
Contract Agents (CA)	60	51	85,00%	62	62
Seconded National Experts (SNE)					
TOTAL STAFF	514	489	95,14%	516	516

1.4.3 Human Resources overview (EU Contribution)

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	184	177	96,20%	183	183
Assistants (AST)	42	41	97,62%	43	42
Assistants/Secretaries (AST/SC)					1
ESTABLISHMENT PLAN POSTS	226	218	96,46%	226	226
Contract Agents (CA)	46	38	82,61%	44	44
Seconded National Experts (SNE)	24	17	70,83%	24	24
TOTAL STAFF	296	273	92,23%	294	294

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
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	Revenues estimated by the agency	Budget Forecast
EU contribution	37 954 000	38 900 000
Other Revenue	179 898 035	181 289 116
TOTAL REVENUES	217 852 035	220 189 116

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
Additional EU funding stemming from grant agreements (FFR Art.7)	p.m.	p.m.
Additional EU funding stemming from contribution agreements (FFR Art.7)	p.m.	p.m.
TOTAL REVENUES	p.m.	p.m.

1.5.2 Expenditure Overview

1.5.2.1 Expenditure Overview EASA

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	98 736 000	98 736 000	102 284 000	102 284 000
Title 2 - Infrastructure and operating expenditure	21 184 000	21 184 000	22 159 081	22 159 081
Title 3 - Operational expenditure	97932035	97932035	95746035	95746035
TOTAL EXPENDITURE	217 852 035	217 852 035	220 189 116	220 189 116

1.5.2.2 Expenditure Overview (Fees and charges)

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	70 064 000	70 064 000	71 683 000	71 683 000
Title 2 - Infrastructure and operating expenditure	13 978 000	13 978 000	14 666 000	14 666 000
Title 3 - Operational expenditure	93 160 035	93 160 035	91 313 035	91 313 035
TOTAL EXPENDITURE	177 202 035	177 202 035	177 662 035	177 662 035

1.5.2.3 Expenditure Overview (EU Contribution)

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	28 672 000	28 672 000	30 601 000	30 601 000
Title 2 - Infrastructure and operating expenditure	7 206 000	7 206 000	7 493 081	7 493 081
Title 3 - Operational expenditure	4 772 000	4 772 000	4 433 000	4 433 000
TOTAL EXPENDITURE	40 650 000	40 650 000	42 527 081	42 527 081

2 Human Resources

2.1 Establishment plan posts

2.1.1 Establishment plan posts EASA

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1		1		1
AD 14		29		2		25		25		25
AD 13		36		6		33		33		33
AD 12		68		22		66		66		66
AD 11		86		48		88		88		88
AD 10		108		76		110		110		110
AD 9		115		129		120		120		120
AD 8		78		118		78		78		78
AD 7		30		70		32		32		32
AD 6		11		49		11		11		11
AD 5				23		2		2		2
AD TOTAL		562		544		566		566		566
AST 11										
AST 10										
AST 9		1				1		1		1
AST 8		4		1		3		3		3
AST 7		12		2		11		11		11
AST 6		29		15		27		27		27
AST 5		30		39		30		28		28
AST 4		24		29		25		25		25
AST 3		16		18		15		15		15
AST 2		2		7		2		2		2
AST 1				1						
AST TOTAL		118		112		114		112		112
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3								1		1
AST/SC 2								1		1
AST/SC 1										
AST/SC TOTAL								2		2

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
TOTAL		680		656		680		680		680
GRAND TOTAL	680		656		680		680		680	

2.1.2 Establishment plan posts (Fees and charges)

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1		1		1
AD 14		19		1		15		15		15
AD 13		24		4		24		24		24
AD 12		40		16		48		48		48
AD 11		56		40		69		69		69
AD 10		72		46		73		73		73
AD 9		82		74		67		67		67
AD 8		58		85		52		52		52
AD 7		22		54		25		25		25
AD 6		4		31		8		8		8
AD 5				15		1		1		1
AD TOTAL		378		367		383		383		383
AST 11										
AST 10										
AST 9		1				1		1		1
AST 8		2		1		1		1		1
AST 7		6				11		11		11
AST 6		14		6		10		10		10
AST 5		22		28		20		19		19
AST 4		16		17		17		17		17
AST 3		13		14		10		10		10
AST 2		2		4		1		1		1
AST 1				1						
AST TOTAL		76		71		71		70		70
AST/SC 6										
AST/SC 5										
AST/SC 4										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST/SC 3								1		1
AST/SC 2										
AST/SC 1										
AST/SC TOTAL								1		1
TOTAL		454		438		454		454		454
GRAND TOTAL	454		438		454		454		454	

2.1.3 Establishment plan posts (UE Contribution)

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		10		1		10		10		10
AD 13		12		2		9		9		9
AD 12		28		6		18		18		18
AD 11		30		8		19		19		19
AD 10		36		30		37		37		37
AD 9		33		55		53		53		53
AD 8		20		33		26		26		26
AD 7		8		16		7		7		7
AD 6		7		18		3		3		3
AD 5				8		1		1		1
AD TOTAL		184		177		183		183		183
AST 11										
AST 10										
AST 9										
AST 8		2				2		2		2
AST 7		6		2						
AST 6		15		9		17		17		17
AST 5		8		11		10		9		9
AST 4		8		12		8		8		8
AST 3		3		4		5		5		5
AST 2				3		1		1		1
AST 1										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST TOTAL		42		41		43		42		42
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2								1		1
AST/SC 1										
AST/SC TOTAL								1		1
TOTAL		226		218		226		226		226
GRAND TOTAL	226		218		226		226		226	

2.2 External personnel

2.2.1 External personnel EASA

2.2.1.1 Contract Agents EASA

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	36	29	36	36
Function Group III	70	60	68	68
Function Group II			2	2
Function Group I				
TOTAL	106	89	106	106

2.2.1.2 Seconded National Experts EASA

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	24	17	24	24

2.2.2 External personnel (Fees and charges)

2.2.2.1 Contract Agents (Fees and charges)

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	20	11	21	21
Function Group III	40	40	40	40
Function Group II			1	1

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group I				
TOTAL	60	51	62	62

2.2.2.2 Seconded National Experts (Fees and charges)

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL				

2.2.3 External personnel (EU Contribution)

2.2.3.1 Contract Agents (EU Contribution)

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	16	18	15	15
Function Group III	30	20	28	28
Function Group II			1	1
Function Group I				
TOTAL	46	38	44	44

2.2.3.2 Seconded National Experts (EU Contribution)

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	24	17	24	24

3 Financial Resources

3.1 Revenues EASA

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES	109 649 134	125 143 000	121 966 000	121 966 000	-2,54%
2 EU CONTRIBUTION	37 643 000	37 954 000	44 213 000	38 900 000	2,49%
- Of which assigned revenues deriving from previous years' surpluses	92 157				
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	2 265 330	2 302 585	2 682 305	2 649 386	15,06%
- Of which EEA/EFTA (excl. Switzerland)	2 265 330	2 302 585	2 682 305	2 649 386	15,06%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS	545 677	628 000	628 000	628 000	0,00%

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
<i>- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>	54 620				
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT	144 375	565 415	464 695	464 695	-17,81%
7 CORRECTION OF BUDGETARY IMBALANCES	52 194 000	51 259 035	55 581 035	55 581 035	8,43%
TOTAL	202 441 516	217 852 035	225 535 035	220 189 116	1,07%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)	6 111 605	p.m.	p.m.	p.m.	
Additional EU funding stemming from contribution agreements (FFR Art.7)	14 417 642	p.m.	p.m.	p.m.	
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL	20 529 247	p.m.	p.m.	p.m.	

3.2 Expenditure

3.2.1 Expenditure EASA

3.2.1.1 Commitment appropriations EASA

EXPENDITURE	Commitment appropriations EASA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	96 123 096	98 736 000	102 284 000	102 284 000	3,59%
Salaries & allowances	81 171 417	82 927 000	86 172 000	86 172 000	3,91%
<i>- Of which establishment plan posts</i>	74 084 951	74 738 000	77 126 000	77 126 000	3,20%
<i>- Of which external personnel</i>	7 086 466	8 189 000	9 046 000	9 046 000	10,47%
Expenditure relating to Staff recruitment	701 029	1 053 000	1 066 000	1 066 000	1,23%
Employer's pension contributions	8 841 290	9 000 000	9 200 000	9 200 000	2,22%
Mission expenses					
Socio-medical infrastructure	303 156	298 000	298 000	298 000	0,00%
Training	512 293	674 000	674 000	674 000	0,00%
External Services	129 577	140 000	140 000	140 000	0,00%
Receptions, events and representation	43 413	97 000	97 000	97 000	0,00%
Social welfare	4 420 921	4 547 000	4 637 000	4 637 000	1,98%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	19 253 487	21 184 000	22 405 000	22 159 081	4,60%

EXPENDITURE	Commitment appropriations EASA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Rental of buildings and associated costs	9 821 995	10 039 000	10 332 000	10 332 000	2,92%
Information, communication technology and data processing	8 129 198	9 838 000	10 708 000	10 462 081	6,34%
Movable property and associated costs	312 713	189 000	189 000	189 000	0,00%
Current administrative expenditure	824 302	945 000	971 000	971 000	2,75%
Postage / Telecommunications	165 279	173 000	205 000	205 000	18,50%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	58 983 859	97 932 035	100 846 035	95 746 035	-2,23%
Certification activities	28 599 219	35 010 000	32 289 000	32 262 000	-7,85%
Standardisation activities	145 905	171 000	191 000	171 000	0,00%
Development data base	1 008 791	982 000	1 665 000	1 183 000	20,47%
Communication and publication	391 612	462 000	390 000	390 000	-15,58%
Meeting expenses	800 194	854 000	1 150 000	999 000	16,98%
Translations and interpretation costs	21 752	25 000	25 000	25 000	0,00%
Rulemaking activities	1 926 773	1 302 000	1 754 000	1 566 000	20,28%
Mission,entertainment and representation expenditure	5 897 100	6 948 000	6 994 000	6 951 000	0,04%
Technical training	604 607	973 000	973 000	973 000	0,00%
ED activities	445 708	324 000	4 189 000		-100%
Special Operations Programmes	19 142 198				
Other expenditure		50 881 035	51 226 035	51 226 035	0,68%
TOTAL	174 360 442	217 852 035	225 535 035	220 189 116	1,07%

3.2.1.2 Payment appropriations EASA

EXPENDITURE	Payment appropriations EASA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	95 710 284	98 736 000	102 284 000	102 284 000	3,59%
Salaries & allowances	80 934 667	82 927 000	86 172 000	86 172 000	3,91%
- Of which establishment plan posts	74 058 694	74 738 000	77 126 000	77 126 000	3,20%
- Of which external personnel	6 875 973	8 189 000	9 046 000	9 046 000	10,47%
Expenditure relating to Staff recruitment	670 947	1 053 000	1 066 000	1 066 000	1,23%
Employer's pension contributions	8 841 290	9 000 000	9 200 000	9 200 000	2,22%
Mission expenses					
Socio-medical infrastructure	289 394	298 000	298 000	298 000	0,00%

EXPENDITURE	Payment appropriations EASA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Training	392 147	674 000	674 000	674 000	0,00%
External Services	122 343	140 000	140 000	140 000	0,00%
Receptions, events and representation	39 141	97 000	97 000	97 000	0,00%
Social welfare	4 420 355	4 547 000	4 637 000	4 637 000	1,98%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	13 751 713	21 184 000	22 405 000	22 159 081	4,60%
Rental of buildings and associated costs	9 126 246	10 039 000	10 332 000	10 332 000	2,92%
Information, communication technology and data processing	3 822 451	9 838 000	10 708 000	10 462 081	6,34%
Movable property and associated costs	238 131	189 000	189 000	189 000	0,00%
Current administrative expenditure	415 106	945 000	971 000	971 000	2,75%
Postage / Telecommunications	149 779	173 000	205 000	205 000	18,50%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	29 146 368	97 932 035	100 846 035	95 746 035	-2,23%
Certification activities	17 203 867	35 010 000	32 289 000	32 262 000	-7,85%
Standardisation activities	100 746	171 000	191 000	171 000	0,00%
Development data base	536 087	982 000	1 665 000	1 183 000	20,47%
Communication and publication	197 619	462 000	390 000	390 000	-15,58%
Meeting expenses	417 790	854 000	1 150 000	999 000	16,98%
Translations and interpretation costs	21 252	25 000	25 000	25 000	0,00%
Rulemaking activities	204 886	1 302 000	1 754 000	1 566 000	20,28%
Mission,entertainment and representation expenditure	5 477 962	6 948 000	6 994 000	6 951 000	0,04%
Technical training	382 105	973 000	973 000	973 000	0,00%
ED activities	157 557	324 000	4 189 000		-100%
Special Operations Programmes	4 446 497				
Other expenditure		50 881 035	51 226 035	51 226 035	0,68%
TOTAL	138 608 365	217 852 035	225 535 035	220 189 116	1,07%

3.2.2 Expenditure (Fees and charges)

3.2.2.1 Commitment appropriations (Fees and charges)

EXPENDITURE	Commitment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	

EXPENDITURE	Commitment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	67 273 561	70 064 000	71 683 000	71 683 000	2,31%
Salaries & allowances	54 426 588	56 564 000	57 927 000	57 927 000	2,41%
- Of which establishment plan posts	50 705 374	52 287 000	53 286 000	53 286 000	1,91%
- Of which external personnel	3 721 214	4 277 000	4 641 000	4 641 000	8,51%
Expenditure relating to Staff recruitment	437 160	695 000	701 000	701 000	0,86%
Employer's pension contributions	8 841 290	9 000 000	9 200 000	9 200 000	2,22%
Mission expenses					
Socio-medical infrastructure	200 334	197 000	196 000	196 000	-0,51%
Training	339 296	445 000	444 000	444 000	-0,22%
External Services	85 656	92 000	92 000	92 000	0,00%
Receptions, events and representation	28 834	72 000	71 000	71 000	-1,39%
Social welfare	2 914 403	2 999 000	3 052 000	3 052 000	1,77%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	12 520 706	13 978 000	14 666 000	14 666 000	4,92%
Rental of buildings and associated costs	6 766 071	6 670 000	6 752 000	6 752 000	1,23%
Information, communication technology and data processing	4 967 979	6 489 000	7 055 000	7 055 000	8,72%
Movable property and associated costs	207 815	128 000	127 000	127 000	-0,78%
Current administrative expenditure	469 448	580 000	598 000	598 000	3,10%
Postage / Telecommunications	109 393	111 000	134 000	134 000	20,72%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	54 203 491	93 160 035	91 313 035	91 313 035	-1,98%
Certification activities	28 596 083	34 471 000	31 723 000	31 723 000	-7,97%
Standardisation activities	23 640	46 000	46 000	46 000	0,00%
Development data base	490 663	541 000	742 000	742 000	37,15%
Communication and publication	229 366	339 000	281 000	281 000	-17,11%
Meeting expenses	423 712	577 000	722 000	722 000	25,13%
Translations and interpretation costs	16 480	19 000	19 000	19 000	0,00%
Rulemaking activities	225 741	256 000	520 000	520 000	103,12%
Mission,entertainment and representation expenditure	4 620 909	5 407 000	5 410 000	5 410 000	0,06%
Technical training	382 142	623 000	624 000	624 000	0,16%
ED activites	52 557				
Special Operations Programmes	19 142 198				
Other expenditure		50 881 035	51 226 035	51 226 035	0,68%

EXPENDITURE	Commitment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
TOTAL	133 997 758	177 202 035	177 662 035	177 662 035	0,26%

3.2.2.2 Payment appropriations (Fees and charges)

EXPENDITURE	Payment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	66 991 668	70 064 000	71 683 000	71 683 000	2,31%
Salaries & allowances	54 256 903	56 564 000	57 927 000	57 927 000	2,41%
- <i>Of which establishment plan posts</i>	50 679 117	52 287 000	53 286 000	53 286 000	1,91%
- <i>Of which external personnel</i>	3 577 786	4 277 000	4 641 000	4 641 000	8,51%
Expenditure relating to Staff recruitment	421 612	695 000	701 000	701 000	0,86%
Employer's pension contributions	8 841 290	9 000 000	9 200 000	9 200 000	2,22%
Mission expenses					
Socio-medical infrastructure	191 240	197 000	196 000	196 000	-0,51%
Training	259 722	445 000	444 000	444 000	-0,22%
External Services	80 874	92 000	92 000	92 000	0,00%
Receptions, events and representation	25 997	72 000	71 000	71 000	-1,39%
Social welfare	2 914 030	2 999 000	3 052 000	3 052 000	1,77%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	9 143 927	13 978 000	14 666 000	14 666 000	4,92%
Rental of buildings and associated costs	6 299 345	6 670 000	6 752 000	6 752 000	1,23%
Information, communication technology and data processing	2 366 890	6 489 000	7 055 000	7 055 000	8,72%
Movable property and associated costs	158 142	128 000	127 000	127 000	-0,78%
Current administrative expenditure	220 416	580 000	598 000	598 000	3,10%
Postage / Telecommunications	99 134	111 000	134 000	134 000	20,72%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	26 987 525	93 160 035	91 313 035	91 313 035	-1,98%
Certification activities	17 203 652	34 471 000	31 723 000	31 723 000	-7,97%
Standardisation activities	23 539	46 000	46 000	46 000	0,00%
Development data base	260 746	541 000	742 000	742 000	37,15%
Communication and publication	115 745	339 000	281 000	281 000	-17,11%
Meeting expenses	221 225	577 000	722 000	722 000	25,13%
Translations and interpretation costs	16 101	19 000	19 000	19 000	0,00%

EXPENDITURE	Payment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Rulemaking activities	113 373	256 000	520 000	520 000	103,12%
Mission,entertainment and representation expenditure	4 292 477	5 407 000	5 410 000	5 410 000	0,06%
Technical training	241 613	623 000	624 000	624 000	0,16%
ED activites	52 557				
Special Operations Programmes	4 446 497				
Other expenditure		50 881 035	51 226 035	51 226 035	0,68%
TOTAL	103 123 120	177 202 035	177 662 035	177 662 035	0,26%

3.2.3 Expenditure (EU Contribution)

3.2.3.1 Commitment appropriations (EU Contribution)

EXPENDITURE	Commitment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	28 849 535	28 672 000	30 601 000	30 601 000	6,73%
Salaries & allowances	26 744 829	26 363 000	28 245 000	28 245 000	7,14%
- Of which establishment plan posts	23 379 577	22 451 000	23 840 000	23 840 000	6,19%
- Of which external personnel	3 365 252	3 912 000	4 405 000	4 405 000	12,60%
Expenditure relating to Staff recruitment	263 869	358 000	365 000	365 000	1,96%
Employer's pension contributions					
Mission expenses					
Socio-medical infrastructure	102 822	101 000	102 000	102 000	0,99%
Training	172 997	229 000	230 000	230 000	0,44%
External Services	43 921	48 000	48 000	48 000	0,00%
Receptions, events and representation	14 579	25 000	26 000	26 000	4,00%
Social welfare	1 506 518	1 548 000	1 585 000	1 585 000	2,39%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	6 732 781	7 206 000	7 739 000	7 493 081	3,98%
Rental of buildings and associated costs	3 055 924	3 369 000	3 580 000	3 580 000	6,26%
Information, communication technology and data processing	3 161 219	3 349 000	3 653 000	3 407 081	1,73%
Movable property and associated costs	104 898	61 000	62 000	62 000	1,64%
Current administrative expenditure	354 854	365 000	373 000	373 000	2,19%
Postage / Telecommunications	55 886	62 000	71 000	71 000	14,52%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					

EXPENDITURE	Commitment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	4 780 368	4 772 000	9 533 000	4 433 000	-7,10%
Certification activities	3 136	539 000	566 000	539 000	0,00%
Standardisation activities	122 265	125 000	145 000	125 000	0,00%
Development data base	518 128	441 000	923 000	441 000	0,00%
Communication and publication	162 246	123 000	109 000	109 000	-11,38%
Meeting expenses	376 482	277 000	428 000	277 000	0,00%
Translations and interpretation costs	5 272	6 000	6 000	6 000	0,00%
Rulemaking activities	1 701 032	1 046 000	1 234 000	1 046 000	0,00%
Mission,entertainment and representation expenditure	1 276 191	1 541 000	1 584 000	1 541 000	0,00%
Technical training	222 465	350 000	349 000	349 000	-0,29%
ED activites	393 151	324 000	4 189 000		-100%
Special Operations Programmes					
Other expenditure					
TOTAL	40 362 684	40 650 000	47 873 000	42 527 081	4,62%

3.2.3.2 Payment appropriations (EU Contribution)

EXPENDITURE	Payment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	28 718 616	28 672 000	30 601 000	30 601 000	6,73%
Salaries & allowances	26 677 764	26 363 000	28 245 000	28 245 000	7,14%
- Of which establishment plan posts	23 379 577	22 451 000	23 840 000	23 840 000	6,19%
- Of which external personnel	3 298 187	3 912 000	4 405 000	4 405 000	12,60%
Expenditure relating to Staff recruitment	249 335	358 000	365 000	365 000	1,96%
Employer's pension contributions					
Mission expenses					
Socio-medical infrastructure	98 154	101 000	102 000	102 000	0,99%
Training	132 425	229 000	230 000	230 000	0,44%
External Services	41 469	48 000	48 000	48 000	0,00%
Receptions, events and representation	13 144	25 000	26 000	26 000	4,00%
Social welfare	1 506 325	1 548 000	1 585 000	1 585 000	2,39%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	4 607 786	7 206 000	7 739 000	7 493 081	3,98%
Rental of buildings and associated costs	2 826 901	3 369 000	3 580 000	3 580 000	6,26%
Information, communication technology and data processing	1 455 561	3 349 000	3 653 000	3 407 081	1,73%
Movable property and associated costs	79 989	61 000	62 000	62 000	1,64%

EXPENDITURE	Payment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Current administrative expenditure	194 690	365 000	373 000	373 000	2,19%
Postage / Telecommunications	50 645	62 000	71 000	71 000	14,52%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	2 158 843	4 772 000	9 533 000	4 433 000	-7,10%
Certification activities	215	539 000	566 000	539 000	0,00%
Standardisation activities	77 207	125 000	145 000	125 000	0,00%
Development data base	275 341	441 000	923 000	441 000	0,00%
Communication and publication	81 874	123 000	109 000	109 000	-11,38%
Meeting expenses	196 565	277 000	428 000	277 000	0,00%
Translations and interpretation costs	5 151	6 000	6 000	6 000	0,00%
Rulemaking activities	91 513	1 046 000	1 234 000	1 046 000	0,00%
Mission,entertainment and representation expenditure	1 185 485	1 541 000	1 584 000	1 541 000	0,00%
Technical training	140 492	350 000	349 000	349 000	-0,29%
ED activites	105 000	324 000	4 189 000		-100%
Special Operations Programmes					
Other expenditure					
TOTAL	35 485 245	40 650 000	47 873 000	42 527 081	4,62%

3.3 Budget Outturn

Regarding the EU Contribution, the provisional 2019 result shows a positive budget outturn of EUR 41 243. EASA intends to use this surplus to partially offset the 2016 budgetary imbalance.

Regarding the Fees & Charges, the provisional 2019 result shows a negative budget outturn of EUR -934 965.

The Fees & Charges Revenues amounted to EUR +109.6m, which is a positive delta of EUR +6.4m compared to the 2019 Budget and EUR +4.3m higher than prior year 2018.

4 Justification of needs

Commission assessment

Human and Financial Resources

The Commission supports the stable staffing (Establishment Plan posts, Contract Agents and Seconded National Experts) for 2021.

The Commission proposes an EU contribution of EUR 38.9 million, which is slight increase compared to the budget of 2020. The proposed EU contribution for 2021 is in line with the figures programmed following the new basic regulation,

including indexation. The proposed budget allows the agency to increase expenditure under Title 1 with 3.51% compared to 2020.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

4.1.1.1 Number of staff requested (Fees and charges)

The number of Fees and Charges post requested for 2021 is 454, hence identical to the 2019 and 2020 authorised Budget.

4.1.1.2 Number of staff requested (UE Contribution)

The Agency is asking for 226 posts in the 2021 EU contribution part, which is in line with the approved posts for 2020 to 2016. EASA intends to offset the additional workload linked to the 2018 revision of its Basic Regulation, by implementing efficiency measures, and negative priorities. Title 1 is expected to increase by EUR+1.8m compared to 2020 budget, due to a lower vacancy rate and anticipated salary adjustments.

4.1.2 Vacancy rate as of end 2019

4.1.2.1 Vacancy rate as of end 2019 (Fees and charges)

Temporary Agents post ended the year with 3.5% vacancy rate in the Fees and Charges segment.

4.1.2.2 Vacancy rate as of end 2019 (UE Contribution)

Temporary Agents post ended the year with 3.5% vacancy rate in the UE Contribution segment.

In total, across the two segments, the Agency had 24 temporary agent posts unoccupied, compared to an establishment plan of 680 approved posts. This represents an Agency vacancy rate of 3.5%.

4.1.3 Standard abatement ('abatement forfaitaire') applied

4.1.3.1 Standard abatement ('abatement forfaitaire') applied (Fees and charges)

N/A

4.1.3.2 Standard abatement ('abatement forfaitaire') applied (UE Contribution)

N/A

4.1.4 Salary assumption for calculating salary line (% applied)

4.1.4.1 Salary assumption for calculating salary line (% applied) (Fees and charges)

The salaries included in the DB2021 were calculated based on the assumption of a -2.7% average salary adjustment (0.6% Career Development/ Promotion, 0.8% Purchasing Power and Cost of Living, 1.25% Seniority-related salary adjustment, -1.25% Grade Mix and -4.1% Vacancy rate (only TA – offer letters excluded)).

4.1.4.2 Salary assumption for calculating salary line (% applied) (UE Contribution)

The salaries included in the DB2021 were calculated based on the assumption of a -2.7% average salary adjustment (0.6% Career Development/ Promotion, 0.8% Purchasing Power and Cost of Living, 1.25% Seniority-related salary adjustment, -1.25% Grade Mix and -4.1% Vacancy rate (only TA – offer letters excluded)).

4.1.5 Correction coefficient used

4.1.5.1 Correction coefficient used (Fees and charges)

99.3

4.1.5.2 Correction coefficient used (UE Contribution)

99.3

4.1.6 Exchange rate used (if applicable)

4.1.6.1 Exchange rate used (if applicable) (Fees and charges)

N/A

4.1.6.2 Exchange rate used (if applicable) (UE Contribution)

N/A

4.2 Financial Resources - Agency request

4.2.1 Title 1

4.2.1.1 Title 1 (Fees and charges)

The Title 1 trend shows a moderate increase of costs from 2020 to 2021 for approx. EUR 1.6m, mainly driven by the salary evolution of the staff, as detailed at paragraph 4.1.4.1.

4.2.1.2 Title 1 (UE Contribution)

Title 1 for EU Contribution is planned to increase in EUR 1.9m due to the salary evolution of the staff (career Development/Promotion, Purchasing Power and Cost of Living, Seniority-related salary adjustment), and a decreasing vacancy rate (from 5.0% to 4.1%), as detailed at paragraph 4.1.4.2.

4.2.2 Title 2

4.2.2.1 Title 2 (Fees and charges)

The increase of EUR 0.7m in costs compared to Budget 2020 is mainly a result of the increasing cost in information and communication technology following the effort to digitalise and improve processes of the Agency.

4.2.2.2 Title 2 (UE Contribution)

The increase of EUR 0.5m in costs compared to Budget 2020 are driven by:

- Effort to digitalise and improve processes: €0.3m;
- Opening of a regional office in South America, to increase the EASA presence in the area, including support to ICAO in the area: EUR 0.15m.

4.2.3 Title 3

4.2.3.1 Title 3 (Fees and charges)

Operational expenses are decreasing by EUR 2.2m compared to Budget 2020. This is mainly driven by a review of CORAL project timeline (EUR 2.4m). Various other minor adjustments, as NAA Outsourcing, Rulemaking studies, result in additional expenditures of EUR 0.2m

4.2.3.2 Title 3 (UE Contribution)

The rapid development of the aviation sector, new technologies and social awareness have placed additional demands on the Agency beyond the New Basic Regulation remits and above the current funding. The Agency will go beyond these additional demands and will focus on contributing to the six headline ambitions for Europe outlined by the new president of the Commission. Therefore, there is a requirement to increase Title 3 (UE Contribution) by EUR 4.8m, compared to Budget 2020, in line with the draft 2021 work programme and as requested in last year's exercise.

If the additional funds cannot be allocated to the Agency, EASA will not be in a position to deliver the objectives and additional tasks in the areas of:

A. Advanced Aviation Safety (EUR 1.4m): -Protecting our European way of life-

B. New technologies (EUR 0.6m): -A Europe fit for the digital age-

C. Support to Member states and European international foot print (EUR 0.25m): -A stronger Europe in the world-

D. Environment (EUR 2.6m): -A European Green Deal-

4.3 Ad hoc grants and delegation agreements

4.3.1 Ad hoc grants and delegation agreements (Fees and charges)

N/A

4.3.2 Ad hoc grants and delegation agreements (UE Contributions)

EASA is signing contracts with DG DEVCO, DG MOVE, DG FPI, and EU Delegations to perform technical cooperation projects and promote/improve the level of aviation safety worldwide. The Agency received “earmarked” funds to finance these project activities. These projects may take different contractual forms but are done mostly through grants and delegation agreements.

As of January 2020, fourteen projects are ongoing with a total value of EUR 70m and an annualised budget of EUR 5.9m for 2021. Negotiations are currently ongoing for two other civil aviation support projects with an additional estimated contract value of EUR 6.7m.

In terms of Staff EASA is currently requesting 18 to 20 CA posts linked to this activity. The ad hoc grants/delegations agreements already signed as of today are projected to occupy 15 CA Post, and additional 4-6 Post are foreseen to cover future agreements which are currently under negotiations.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Neu Direktion Köln	Konrad-Adenauer-Ufer 3, D-50668 Cologne	22 077	881	22 958	6 812 706	Rental Period from 01.07.2016-30.06.2036 with two months handover period May and June 2016	Every two year rental is reviewed and based on the German Consumer Price Index. Next update in 2021	No	
2	Brussels Office	Avenue de Conrtenbergh 100, Brussels	540	404	944	343 180	Rental 01.03.2012-28.02.2027	Early brake clause forseen for Feb. 2021 and Feb. 2024	No	
TOTAL			22 617	1 285	23 902	7 155 886				

5.1.2 Current building(s) Other comments

5.1.3 Building projects in the planning phase

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 European schools

EASA has signed service contracts with 6 international schools in the Cologne area as there is no European School in the area. In the school year 2019/2020, the Agency finances the attendance fees of EUR 14 455 per child in primary school and EUR 17 631 per child in secondary school. The attendance fees correspond to EASA established ceilings, which are revised annually.

5.3 Evaluation

The Management Board agreed in December 2017 to commission an independent external evaluation of EASA, according to Art. 62 of its Basic Regulation. The evaluation was launched in 2018 and an independent consultant ('BearingPoint') tasked to evaluate more specifically the efficiency and robustness of EASA's SPD process, including by way of benchmarking this process against the practice applied by other Agencies. The final evaluation report concluded very positively and was endorsed by the MB in its meeting of December 2018. With the implementation of the report's recommendations confirmed by the PAR-AG, the MB finally closed this project in its meeting of June 2019.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
Brussels	12 months VAT free for certain types of purchases (electrical goods, furniture, car etc.) based on the same agreement between the EC and the Belgium Minister of Foreign Affairs	Access to the crèche / kindergarten, garderie post-scolaire and European Schools of the EU institutions
In the absence of a European School in Cologne, EASA signed service contracts with international schools in the Cologne area	EASA is paying the school fees for children attending primary and secondary school in the international schools with which a service contract has been signed within the limit of a ceiling established per school year (EUR 14 455 per child in primary school and EUR 17 631 per child in secondary school 2019-2020)	
Agreement between EASA & KVB (the company offering public transport services in the Cologne area)	EASA staff members can benefit (as any other employees working for a company located in the Cologne area) from a cheaper price for the public transport season ticket. The cost of the season ticket is deducted on a monthly basis from the EASA employees' salaries who have subscribe via EASA for the public transport season ticket	
FWC between EASA and a relocation company	EASA staff members can benefit from the services of a relocation company (once for 20hrs) to help them finding an accommodation and settling in the Cologne area.	

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission / Tasks / Functions
Regulation 1406/2002	27/06/2002	EMSA shall ensure high level of maritime safety and security, prevention of pollution and response to pollution by ships within the Community; technical and scientific assistance to the Member States and the Commission and high level of expertise in order to help them to apply Community legislation in the above-mentioned fields, to monitor its implementation and to evaluate the effectiveness of the measures in place.
Regulation 1644/2003	22/07/2003	Amendments refer to the right of access to documents, budget implementation and control.
Regulation 724/2004	31/03/2004	Maritime security (limited to ship, relevant companies and Recognised Security Organisations) and response to pollution by ships have been included within the mandate of the Agency. A specific new task, "to support with additional means in a cost efficient way the national pollution response actions in case of accidental or deliberate pollution caused by ships, upon request" has been added.
Regulation 100/2013, amending Regulation 1406/2002	15/01/2013	The mandate of EMSA is enlarged with prevention and response to marine pollution caused by oil and gas installations. The Agency shall cooperate with the Member States and the Commission and provide them also with operational assistance in the relevant fields of activities. EMSA shall contribute to the overall efficiency of maritime traffic and maritime transport so as to facilitate the establishment of a European maritime transport space without barriers. The tasks are divided in core and ancillary.
Regulation 911/2014 replacing Regulation 2038/2006	23/07/2014	The regulation determines the EU financial contribution to EMSA budget for the implementation of the tasks assigned to it in the field of response to marine pollution caused by ships and oil and gas installations
Regulation 2016/1625 amending Regulation (EC) 1406/2002	14/09/2016	The regulation improves the cooperation and coordination between the EU agencies in order to enhance synergies between their services, to provide more efficient and cost effective multipurpose services to national authorities in view of coastguard functions.

1.2 Seat

Lisbon, Portugal

1.3 Budget Line

02 10 02 : European Maritime Safety Agency

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	152	147	96,71%	152	152
Assistants (AST)	60	57	95,00%	60	60

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	212	204	96,23%	212	212
Contract Agents (CA)	33	32	96,97%	33	33
Seconded National Experts (SNE)	18	15	83,33%	18	18
TOTAL STAFF	263	251	95,44%	263	263

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues EMSA

REVENUES	2020		2021	
	Revenues estimated by the agency		Budget Forecast	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
EU contribution	79 434 610	80 746 701	82 620 000	82 620 000
Other Revenue	2 188 432	2 220 579	2 559 015	2 559 015
TOTAL REVENUES	81 623 042	82 967 280	85 179 015	85 179 015

1.5.1.2 Additional EU funding: contribution, grant and service level agreements EMSA

REVENUES	2020		2021	
	Revenues estimated by the agency		Budget Forecast	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Additional EU funding stemming from grant agreements (FFR Art.7)	3 177 828	3 177 828	2 000 000	2 000 000
Additional EU funding stemming from contribution agreements (FFR Art.7)	10 225 000	10 225 000		
Additional EU funding stemming from service level agreements (FFR Art. 43.2)	9 490 000	9 490 000	10 100 000	10 100 000
TOTAL REVENUES	22 892 828	22 892 828	12 100 000	12 100 000

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	26 965 000	26 965 000	28 068 451	28 068 451
Title 2 - Infrastructure and operating expenditure	4 352 492	4 352 492	4 731 688	4 731 688
Title 3 - Operational expenditure	50 305 550	51 649 788	52 378 876	52 378 876
Title 4 - Project Financed Actions	p.m.	p.m.	p.m.	p.m.
TOTAL EXPENDITURE	81 623 042	82 967 280	85 179 015	85 179 015

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1				1		1		1
AD 14		2		3		2		2		2
AD 13	1	4		2	1	4	1	5	1	5
AD 12	1	10	1	7	1	10	1	12	1	12
AD 11		17	1	12		17		20		20
AD 10	1	16		21	1	20	1	30	1	30
AD 9		33		34		40		35		35
AD 8		27	1	20		31		24		24
AD 7		24		21		18		15		15
AD 6		10		6		3		3		3
AD 5		5		18		3		2		2
AD TOTAL	3	149	3	144	3	149	3	149	3	149
AST 11										
AST 10		1				1		1		1
AST 9				1						
AST 8		1		1		3		3		3
AST 7		6		5		8		13		13
AST 6		17		14		20		22		22
AST 5		20		21		18		15		15
AST 4		12		9		10		6		6
AST 3		3		4						
AST 2				1						
AST 1				1						
AST TOTAL		60		57		60		60		60
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL	3	209	3	201	3	209	3	209	3	209
GRAND	212		204		212		212		212	

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
TOTAL										

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	12	10	11	11
Function Group III	3	3	3	3
Function Group II	16	17	17	17
Function Group I	2	2	2	2
TOTAL	33	32	33	33

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	18	15	18	18

3 Financial Resources

3.1 Revenues

3.1.1 General Revenues

3.1.1.1 Commitment appropriations

REVENUES	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES	291 171	300 000	300 000	300 000	0,00%
2 EU CONTRIBUTION	77 991 362	79 434 610	82 968 000	82 620 000	4,01%
- Of which assigned revenues deriving from previous years' surpluses	952 587	6 029 204	2 286 114	2 286 114	-62,08%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	1 887 391	1 798 432	1 976 706	2 169 015	20,61%
- Of which EEA/EFTA (excl. Switzerland)	1 887 391	1 798 432	1 976 706	2 169 015	20,61%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS	144 414	90 000	90 000	90 000	0,00%
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES	35 975 251	p.m.			

REVENUES	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	116 289 589	81 623 042	85 334 706	85 179 015	4,36%

3.1.1.2 Payment appropriations

REVENUES	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES	291 171	300 000	300 000	300 000	0,00%
2 EU CONTRIBUTION	74 626 006	80 746 701	82 732 963	82 620 000	2,32%
- Of which assigned revenues deriving from previous years' surpluses	952 587	6 029 204	2 286 114	2 286 114	-62,08%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	1 805 950	1 830 579	1 970 948	2 169 015	18,49%
- Of which EEA/EFTA (excl. Switzerland)	1 805 950	1 830 579	1 970 948	2 169 015	18,49%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS	4 396	90 000	90 000	90 000	0,00%
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT	20 090 306	p.m.			
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	96 817 829	82 967 280	85 093 911	85 179 015	2,67%

3.1.2 Additional EU funding: contribution, grant and service level agreements

3.1.2.1 Commitment appropriations

REVENUES	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)	5 281 173	3 177 828	2 000 000	2 000 000	-37,06%
Additional EU funding stemming from contribution agreements (FFR Art.7)	15 210 097	10 225 000			-100%
Additional EU funding stemming from service level agreements (FFR Art. 43.2)	14 646 627	9 490 000	10 100 000	10 100 000	6,43%
TOTAL	35 137 897	22 892 828	12 100 000	12 100 000	-47,15%

3.1.2.2 Payment appropriations

REVENUES	Payment appropriations
----------	------------------------

	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)	2 384 110	3 177 828	2 000 000	2 000 000	-37,06%
Additional EU funding stemming from contribution agreements (FFR Art.7)	8 794 064	10 225 000			-100%
Additional EU funding stemming from service level agreements (FFR Art. 43.2)	8 442 258	9 490 000	10 100 000	10 100 000	6,43%
TOTAL	19 620 432	22 892 828	12 100 000	12 100 000	-47,15%

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	26 228 459	26 965 000	28 068 451	28 068 451	4,09%
Salaries & allowances	24 223 028	25 291 667	26 345 451	26 345 451	4,17%
- Of which establishment plan posts	21 695 356	22 660 571	23 629 951	23 629 951	4,28%
- Of which external personnel	2 527 672	2 631 096	2 715 500	2 715 500	3,21%
Expenditure relating to Staff recruitment	248 726	327 337	320 000	320 000	-2,24%
Employer's pension contributions					
Mission expenses	98 000	90 000	95 000	95 000	5,56%
Socio-medical infrastructure	35 000	35 000	35 000	35 000	0,00%
Training	185 030	230 000	240 000	240 000	4,35%
External Services	250 675	298 996	300 000	300 000	0,34%
Receptions, events and representation	38 000	22 000	33 000	33 000	50,00%
Social welfare	1 150 000	670 000	700 000	700 000	4,48%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	4 260 849	4 352 492	4 731 688	4 731 688	8,71%
Rental of buildings and associated costs	3 390 190	3 505 581	3 664 935	3 664 935	4,55%
Information, communication technology and data processing	519 655	508 504	710 696	710 696	39,76%
Movable property and associated costs	83 646	33 000	36 400	36 400	10,30%
Current administrative expenditure	57 263	101 500	104 750	104 750	3,20%
Postage / Telecommunications	90 000	78 907	79 907	79 907	1,27%
Meeting expenses	120 095	125 000	135 000	135 000	8,00%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	49 825 030	50 305 550	52 534 567	52 378 876	4,12%
Information Services & Databases	5 221 507	5 324 996	6 496 312	6 496 312	22,00%
Information and Communication	159 380	175 000	200 000	200 000	14,29%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Operational Workshops & Training	1 184 467	1 146 800	961 000	961 000	-16,20%
Studies in support of the Agency's operations	671 070	393 100	1 353 100	1 353 100	244,21%
Operational missions	678 400	680 000	680 000	680 000	0,00%
L.R.I.T.	1 461 664	1 436 000	1 281 000	1 281 000	-10,79%
Anti Pollution Measures	28 659 625	26 100 000	23 363 500	23 363 500	-10,48%
Cooperation on Coast Guard Functions	11 788 917	15 049 654	18 199 655	18 043 964	19,90%
Title 4 - Project Financed Actions	35 975 251	p.m.	p.m.	p.m.	
Maritime Information Services	1 223 945	p.m.	p.m.	p.m.	
Assistance to Candidate and ENP Countries	4 197 601	p.m.	p.m.	p.m.	
Surveillance SLAs	14 646 627	p.m.	p.m.	p.m.	
CleanSeaNet Services to Third Parties		p.m.	p.m.	p.m.	
COPERNICUS	15 069 724	p.m.	p.m.	p.m.	
EQUASIS	690 645	p.m.	p.m.	p.m.	
THETIS Modules	83 705	p.m.	p.m.	p.m.	
Miscellaneous	63 004	p.m.	p.m.	p.m.	
TOTAL	116 289 589	81 623 042	85 334 706	85 179 015	4,36%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	26 092 582	26 965 000	28 068 451	28 068 451	4,09%
Salaries & allowances	24 212 340	25 291 667	26 345 451	26 345 451	4,17%
- <i>Of which establishment plan posts</i>	<i>21 689 648</i>	<i>22 660 571</i>	<i>23 629 951</i>	<i>23 629 951</i>	<i>4,28%</i>
- <i>Of which external personnel</i>	<i>2 522 692</i>	<i>2 631 096</i>	<i>2 715 500</i>	<i>2 715 500</i>	<i>3,21%</i>
Expenditure relating to Staff recruitment	223 478	327 337	320 000	320 000	-2,24%
Employer's pension contributions					
Mission expenses	92 625	90 000	95 000	95 000	5,56%
Socio-medical infrastructure	18 754	35 000	35 000	35 000	0,00%
Training	152 147	230 000	240 000	240 000	4,35%
External Services	226 115	298 996	300 000	300 000	0,34%
Receptions, events and representation	26 200	22 000	33 000	33 000	50,00%
Social welfare	1 140 923	670 000	700 000	700 000	4,48%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	3 583 965	4 352 492	4 731 688	4 731 688	8,71%
Rental of buildings and associated costs	2 907 062	3 505 581	3 664 935	3 664 935	4,55%
Information, communication technology and data processing	423 751	508 504	710 696	710 696	39,76%
Movable property and associated costs	40 685	33 000	36 400	36 400	10,30%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Current administrative expenditure	43 816	101 500	104 750	104 750	3,20%
Postage / Telecommunications	60 299	78 907	79 907	79 907	1,27%
Meeting expenses	108 352	125 000	135 000	135 000	8,00%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	47 050 976	51 649 788	52 293 772	52 378 876	1,41%
Information Services & Databases	5 794 387	6 226 555	6 608 688	6 608 688	6,14%
Information and Communication	149 774	175 000	200 000	200 000	14,29%
Operational Workshops & Training	789 785	1 019 129	905 100	905 100	-11,19%
Studies in support of the Agency's operations	267 910	593 100	303 100	303 100	-48,90%
Operational missions	584 957	680 000	680 000	680 000	0,00%
L.R.I.T.	1 400 405	1 328 346	1 331 000	1 331 000	0,20%
Anti Pollution Measures	22 837 608	25 175 000	23 377 174	23 462 278	-6,80%
Cooperation on Coast Guard Functions	15 226 150	16 452 658	18 888 710	18 888 710	14,81%
Title 4 - Project Financed Actions	20 090 306	p.m.	p.m.	p.m.	
Maritime Information Services	214 509	p.m.	p.m.	p.m.	
Assistance to Candidate and ENP Countries	2 233 660	p.m.	p.m.	p.m.	
Surveillance SLAs	8 442 258	p.m.	p.m.	p.m.	
CleanSeaNet Services to Third Parties	p.m.	p.m.	p.m.	p.m.	
COPERNICUS	8 730 004	p.m.	p.m.	p.m.	
EQUASIS	444 170	p.m.	p.m.	p.m.	
THETIS Modules	25 705	p.m.	p.m.	p.m.	
Miscellaneous		p.m.	p.m.	p.m.	
TOTAL	96 817 829	82 967 280	85 093 911	85 179 015	2,67%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 2 286 114.

4 Justification of needs

Commission Assessment

Human Resources

The Commission supports the Agency's request for a stable establishment plan (212 posts) for 2021. This represents stabilisation since 2018. External staff to be financed by the EU contribution, is also stable since 2018 with 33 Contract Agents and 18 Seconded National Experts.

Financial Resources

An EU contribution of EUR 82 620 000 will enable the Agency to fulfil its mandate. EMSA has a fundamental role in the maritime transport domain to ensure the free movement of people and goods, promote the highest safety and security standards in the context of increasing traffic and more complex security threats, and support the sector's contribution to the protection of the marine environment and decarbonisation of transport as well as to the European Green Deal and its ambitious objectives.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

The Agency requests for 2021 an establishment plan of 212 posts and foresees 33 Contract Agents (CAs) and 18 Seconded National Experts (SNEs) to be financed by the EU contribution. All figures represent stabilisation since 2018 and are in line with the Agency Instructions outlined in the Budget Circular of 20 December 2019.

4.1.2 Vacancy rate as of end 2019

Against an establishment plan of 212 posts, the occupation rate at the end of 2019 was 96,23%. The vacancy rate at the end of 2019 was therefore 3,77%.

4.1.3 Standard abatement ('abatement forfaitaire') applied

Due mainly to consecutive increases in the coefficient corrector and annual adjustments since 2016, no standard abatement can be applied to 2021.

4.1.4 Salary assumption for calculating salary line (% applied)

The increase in annual adjustment for 2019 (increase of 2%) and coefficient corrector impact (from 85,7% to 88,6%) have been considered. Overall this impact results in an increase of 5,38%. In addition, annual adjustments for 2020 and 2021 (retroactive from July 2021) and variations in coefficient corrector will impact the appropriations needed.

4.1.5 Correction coefficient used

88,6% weighting for Portugal at 01.2020.

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - Agency request

4.2.1 Title 1

The requested amount under this title is needed primarily to cover the costs of salaries and allowances of statutory staff (permanent and temporary agents). In addition, the request covers non-statutory staff (national experts, contract agents and interim staff), training actions and social measures.

Title 1 has increased compared to 2020 (4,09 % of both commitment and payment appropriations) due to the annual adjustment of salaries and the recent upward trend of the coefficient corrector for Portugal.

4.2.2 Title 2

The main entry is the rental and associated costs for the Agency's premises, with EUR 3 664 935 allocated to the relevant chapter under this title (chapter 2.0). EUR 90 000 will be covered with miscellaneous revenue (rental of the EMSA Conference Centre to the EMCDDA). The overall increase in Title 2 compared to 2020 (+8,71% of both commitment and payment appropriations) is due to building related expenses including indexation, and ICT expenses.

4.2.3 Title 3

This title supports the projects and operational services operated and delivered by the Agency. The overall amount is essential for the Agency to be in a position to carry out its tasks and continue to deliver support and services to a high standard, in line with the needs and expectations of its key stakeholders, the Commission and the Member States. Furthermore, the requested budget is crucial to ensure that the agency's services are in step with evolving priorities and technological developments, notably in relation to migration & security. The requested budget is also key for the Agency's specific role in contributing to more efficient and cost-effective multipurpose services to national authorities carrying out coastguard functions; and in relation to decarbonisation and the Agency's potential role in supporting the maritime sector's contribution to the climate neutral ambition and the development of an ETS system for shipping.

4.2.4 Title 4

Title 4 covers project financing earmarked for specific actions entered as p.m. (pro memoria).

See point 4.3 for further information.

4.3 Ad hoc grants and delegation agreements

	Date of signature	Duration	Counterpart	Short Description		2021
Contribution agreements						
IPA II	December 2019	Until October 2022	DG NEAR	Preparatory measures for the future participation of relevant IPA II beneficiaries in EMSA	Amount	n/a
					Number of CA	n/a
					Number of SNE	n/a
Copernicus Maritime Surveillance	December 2015	Until December 2020	DG GROW	Implementation of Copernicus Maritime Surveillance Services	Amount	not known
					Number of CA	not known
					Number of SNE	n/a
Grant agreements						
SAFEMED IV EuroMed Maritime Safety Project	December 2016	51 months	DG NEAR	Award of a financial contribution by the Contracting Authority to finance the implementation of the action entitled: SAFEMED IV, Euromed Maritime Safety Project	Amount	0
					Number of CA	2
					Number of SNE ¹	0,5
BCSea Maritime Safety, Security and Environmental Protection in B&CS Regions	December 2016	51 months	DG NEAR	Award of a financial contribution by the Contracting Authority to finance the implementation of the action entitled: Maritime Safety, security and marine environmental protection in the Black and Caspian Sea Regions	Amount	0
					Number of CA	2
					Number of SNE ²	0,5
EC Funds for candidate and potential	December 2017	April 2020	DG NEAR	Award of a financial contribution by the Contracting Authority to finance the implementation of the action called:	Amount	n/a
					Number of CA	n/a

¹ 1 SAFEMED IV and Maritime Safety, Security and Environmental Protection in the Black and Caspian Sea Regions will share 1 SNE.

² See previous footnote.

candidate				Preparatory measures for the participation of enlargement countries in EMSA's work.	Number of SNE	n/a
Interoperability project	Sept. 2018	Sept. 2021	DG MARE	Promotion of interoperability between industry and competent authorities in the European Maritime Single Window (EMSW) environment under the CISE Process	Amount	n/a
					Number of CA	n/a
					Number of SNE	n/a
CISE Transitional Phase	April 2019	Until October 2021	DG MARE	Ad-hoc Grant agreement for the implementation of the action "Setting up and enabling the transitional phase to CISE Operations"	Amount	2 000 000
					Number of CA	4
					Number of SNE	n/a
Service Level Agreements						
FRONTEX SLA	May 2016	Indefinite	FRONT EX	Service Level Agreement between the European Border and Coast Guard Agency (EBCGA) and the European Maritime Safety Agency (EMSA) for the provision of surveillance tools and services in support of Frontex activities, including for the implementation of the EUROSUR framework.	Amount	10 000 000
					Number of CA	9
					Number of SNE	n/a
EFCA SLA	June 2015	Indefinite	EFCA	Service Level Agreement between the European Fisheries Control Agency (EFCA) and the European Maritime Safety Agency for the provision and cooperation on maritime surveillance services	Amount	100 000
					Number of CA	n/a
					Number of SNE	n/a
Other project financed actions³						
THETIS-EU	March 2018	September 2020	DG ENV	Cooperation Agreement for the support of the implementation of Directive (EU) 2016/802 of the European Parliament and of the Council of 11 May 2016 relating to a reduction in the sulphur content of certain liquid fuels, and technical assistance actions relevant to the Energy Community	Amount	n/a
					Number of CA	n/a
					Number of SNE	n/a
THETIS-MRV	March 2016	March 2020	DG CLIMA	Support for the implementation of Regulation on the monitoring, reporting and verification of emissions of carbon dioxide, from maritime transport and amending Directive 2009/16/EC on Port State Control and relevant technical Assistance	Amount	n/a
					Number of CA	n/a
					Number of SNE	n/a
EQUASIS	May 2000	No end date	EQUASIS members	MOU on the establishment of the Equasis information system	Amount	450 000
					Number of CA	n/a
					Number of SNE	n/a

³ Other project financed actions includes legal instruments that have been concluded before 1 July 2019 (entry into force of current EMSA Financial Regulation).

					SNE	
Total					Amount	12 550 000
					Number of CA	17
					Number of SNE	1

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	EMSA HQ	Lisbon	10 180	486,84	10 666,84	1 958 784	as of 01/05/2009 for a period of 25 years	Lease Agreement	N/A	
2	Conference Centre (shared with EMCDDA)	Lisbon	2 116,26		2 116,26	326 345	as of 01/05/2009 for a period of 25 years	Lease Agreement	N/A	
3	Palacete (shared with EMCDDA)	Lisbon	1 933,9		1 933,9	87 764		Service Level Agreement with EMCDDA	N/A	
4	Underground parking (101 spots)	Lisbon				156 196	as of 01/05/2009 for a period of 25 years	Lease agreement	N/A	
5	External parking (49 spots)	Lisbon						Lease agreement	N/A	
TOTAL			14 230,16	486,84	14 717	2 529 089				

5.1.2 Current building(s) Other comments

N/A

5.1.3 Building projects in the planning phase

External parking (49 spots), Lisbon: Current lease agreement with APL temporarily suspended. Contacts with Camara Municipal de Lisboa.

5.1.4 Building projects submitted to the European Parliament and the Council

N/A

5.2 European schools

Not Applicable to EMSA, as there are no European Schools in Lisbon. The Agency is actively exploring with the competent Portuguese authorities the possibility of setting up an Accredited European School in Lisbon.

5.3 Evaluation

The last evaluation from May 2017 concluded that by operating at EU level, EMSA is providing significant added value and has become an important and respected player in the maritime community. The agency's efficiency has increased, demonstrated by a lower share of overhead expenditure, the accomplished new tasks without additional resources and also due to the performance management system used by the Agency. The cost effectiveness of the Agency's activities is assessed positively. As a result, the evaluation concludes that EMSA's services and products are cost-effective and that EMSA provides value for money within the context of the EU maritime sector and within all areas of work. The full evaluation report is available on the agency's website: <http://emsa.europa.eu/who-are-we/admin-board/evaluation-activities.html>

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
<p>In July 2004, the Protocol between the Government of the Portuguese Republic and EMSA was signed covering the relations between the Agency and Portugal as its host State.</p> <p>Privileges granted: exemption from direct taxes; exemption from purchase tax on goods and services; exemption from customs duties and from any taxes on imports and exports; exemption from any duties and any import restrictions on vehicles of official use; exemption from road tax for vehicles under "special registration" (diplomatic plates); exemption from taxation on fuel and lubricants; replacement of official vehicles every 5 years; special status of the Agency Headquarters (Similar to Diplomatic mission); security staff with special authorisation to carry firearms; exemption from any charges for Visas and other authorisations for EMSA guests.</p>	<p>Comparable category of the members of diplomatic corps in Portugal; exemption from national taxes on earning, salaries and respective payments paid by the Agency; immunity from jurisdiction as regards acts carried out by the staff member in official capacity; exemption from purchase tax on goods and services (VAT); exemption from customs duties and from any taxes on imports and exports (duty-free); exemption from any duties and any import restrictions on vehicles of official/private use; exemption from road tax for vehicles under "special registration" (diplomatic plates); exemption from taxation on fuel and lubricants; replacement of official/private vehicles once after 4 years.</p>	<p>Providing access to schools in the mother tongue of the staff member is an issue that the Agency has taken seriously and therefore in 2005 the Agency has adopted a social measure "multilingual tuition for children of EMSA staff" in Lisbon.</p> <p>Under this social measure EMSA currently assists in providing access to English, French, German, Spanish and Swedish schools. The Agency covers the school fees through direct agreements between the Agency and the relevant schools. This social measure is taken upon the Agency's own initiative and is paid by the Agency budget (no involvement of the hosting State).</p> <p>This social measure is not intended to replace the educational allowance, as provided by the Staff Regulations.</p> <p>Educational allowances are duly determined and paid when due.</p>

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission / Tasks / Functions
Regulation (EC) No 881/2004 (repealed)	29/04/2004	The Agency has to contribute, at technical level, to the implementation of the EU legislation for improving the competitive position of the rail sector by reinforcing the interoperability between railways systems and at developing a common approach in terms of safety of the European railways in order to contribute to the creation of a European rail open space, without borders and offering a high level of safety.
Regulation (EC) No 1335/2008 amending regulation 881/2004	16/12/2008	New tasks allocated to the Agency: overseeing the mutual recognition of vehicle authorisation (cross acceptance) including the specification of the parameters to be checked for authorisation to place vehicles in service and a full classification of the equivalence or otherwise of the national rules of the Member States used for vehicle authorisation; providing technical opinions on the equivalence of national rules, refusals of authorisation to place into service, urgent modifications to the TSIs and the conformity of projects with TSIs; recommending a system of certification of the Entity in Charge of Maintenance for railway vehicles; make recommendations on the mechanisms for implementing the Train Drivers (licensing) Directive; drawing up specifications for registers of vehicles, vehicle types, and infrastructure; managing the European Rail Traffic Management System (ERTMS) change control, version management and test specifications. Evaluating the certification process of ERTMS, the costs and benefits of centralising verification and testing at community level and maintaining consistency between Notified Bodies involved in ERTMS
Regulation (EC) No 454/2011 (Telematic applications for passenger services (TAP TSI)) Regulation (EC) No 1335/2008 amending regulation 881/2004 Regulation (EC) No 1371/2007)	05/05/2011 16/12/2008 23/10/2007	New or permanent tasks allocated to the Agency: ensure the development of new technical specifications for advanced ticketing (ticket on departure and manifest on list) and for intermodal timetables and fares; monitor the development and implementation of TAF target system (according to delivered master plans) and liaisons with EU member states and smaller railways/ticket vendors; publish reference files necessary to implement the future TAF target system; ensure the controlled change of the technical interface descriptions and to inform EC about these changes by managing a web based registry which contains above changes; assess the compliance of IT solutions developed for the future TAF target system.
Regulation (EC) No 328/2012 amending regulation 62/2006 (Telematic applications for freight services (TAF TSI)) Regulation (EC) No 1335/2008 amending regulation 881/2004	17/04/2012 16/12/2008	New or permanent tasks allocated to the Agency: review of Regulation 328/2012 in order to ensure that the data provision needs of professional freight customers are met appropriately; monitor the development and implementation of TAF target system and liaisons with EU member states and smaller railways/professional freight customers; publish various reference files necessary to implement the future TAF target system; ensure the controlled change of the technical interface descriptions which are mandatory annexes to the Regulation 328/2012 and to inform EC about these changes, management of a web based registry which contains above changes; assess the compliance of IT solutions developed for the future TAP target system.
Council Regulation establishing the Shift2Rail joint undertaking	Regulation adopted on 16/06/2014	The Agency receives observer status on the Governing Board and shall contribute to the definition and implementation of the S2R Master Plan by performing advisory tasks: (a) Proposing possible amendments to the S2R Master Plan and to the annual work plans, (...) (b) Proposing (...) technical standards for research, development and validation activities with the view to guaranteeing the interoperability and safety results; (c) Reviewing the common developments for the future system and contributing to defining target systems in regulatory requirements and (d) Reviewing project activities and results (...).
Regulation (EU) N° 2016/796	11/05/2016	ERA shall contribute to the further development and functioning of a single European railway area without frontiers, by guaranteeing a high level of railway safety and interoperability, while improving the competitive position of the railway sector; contribute, on technical matters, to the implementation of EU legislation by developing a common approach to safety and the level of interoperability on the Union rail system; follow the development of national railway rules in order to support the performance of national authorities acting in the fields of railway safety and interoperability and to promote the optimisation of procedures; perform the role of Union authority responsible for issuing authorisations for the placing on the market of railway vehicles and vehicle types and for issuing single safety certificates for railway undertakings; take full account of the process of enlargement of the Union and of the specific constraints relating to rail links with third countries
Regulation (EU) N° 2016/796 Directive (EU) 2016/798 on railway safety (Recast) Directive (EU) 2016/797 on the interoperability of the rail system within the European Union (recast)	11/05/2016 11/05/2016 11/05/2016	ERA shall issue single EU-wide safety certificates to railway undertakings and vehicle authorisations for operation in more than one country to train manufacturers, in cooperation with National Safety Authorities (NSAs) after a three year transition period, sign cooperation agreements with all NSAs based on a cooperation arrangement framework subject to adoption by the Agency's Management Board; develop a common information and communication platform with a virtual One-Stop-Shop functionality in cooperation with NSAs, on the basis of a draft prepared by the Agency, taking into account the results of a cost-benefit analysis, and will be adopted by the Agency's Management Board; grant pre-approval for European Rail Traffic Management System (ERTMS) infrastructure before this infrastructure being authorised by the NSA, in order to enable seamless cross-border traffic on the European continent; facilitate cooperation between the NSAs, the national investigating bodies and representative bodies from the railway sector acting at Union level in order to promote good practice, the exchange of relevant information and the collection of railway-related data, and to monitor the overall safety performance of the Union rail system.
Regulation (EU) N° 2016/796	11/05/2016	The agency shall act as the system authority to ensure the coordinated development of telematics applications in the Union, in accordance with relevant TSIs; define, publish and apply the procedure for managing requests for changes to specifications for telematics applications; set up, maintain and update a register of requests for changes; develop and maintain the technical tools for managing the different versions of specifications for

Regulation (EC) No 1371/2007	23/10/2007	telematics applications and to ensure backward compatibility; assist the Commission in the monitoring of deployment of specifications for telematics applications in accordance with relevant TSIs.
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1.2 Seat

Valenciennes and Lille, France

1.3 Budget Line

02 10 03 : European Union Agency for Railways

1.4 Human Resources overview

1.4.1 Human Resources overview ERA

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	111	104	93,69%	113	116
Assistants (AST)	37	35	94,59%	35	35
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	148	139	93,92%	148	151
Contract Agents (CA)	38	35	92,11%	36	36
Seconded National Experts (SNE)	4		0,00%	4	4
TOTAL STAFF	190	174	91,58%	188	191

1.4.2 Human Resources overview (Fees and charges)

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)					12
Assistants (AST)					
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS					12
Contract Agents (CA)					3
Seconded National Experts (SNE)					
TOTAL STAFF					15

1.4.3 Human Resources overview (EU Contribution)

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	111	104	93,69%	113	104
Assistants (AST)	37	35	94,59%	35	35
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	148	139	93,92%	148	139

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Contract Agents (CA)	38	35	92,11%	36	33
Seconded National Experts (SNE)	4		0,00%	4	4
TOTAL STAFF	190	174	91,58%	188	176

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	27 560 000	25 763 160
Other Revenue	3 204 883	4 310 999
TOTAL REVENUES	30 764 883	30 074 159

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES	759 387	p.m.

1.5.2 Expenditure Overview

1.5.2.1 Expenditure Overview ERA

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	22 999 700	22 999 700	24 488 200	24 488 200
Title 2 - Infrastructure and operating expenditure	2 323 350	2 323 350	2 345 394	2 345 394
Title 3 - Operational expenditure	5441833	5441833	3240565	3240565
TOTAL EXPENDITURE	30 764 883	30 764 883	30 074 159	30 074 159

1.5.2.2 Expenditure Overview (Fees and charges)

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	2 532 600	2 532 600	3 607 000	3 607 000
Title 2 - Infrastructure and operating expenditure				
Title 3 - Operational expenditure				
TOTAL EXPENDITURE	2 532 600	2 532 600	3 607 000	3 607 000

1.5.2.3 Expenditure Overview (EU Contribution)

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	20 467 100	20 467 100	20 881 200	20 881 200
Title 2 - Infrastructure and operating expenditure	2 323 350	2 323 350	2 345 394	2 345 394
Title 3 - Operational expenditure	5 441 833	5 441 833	3 240 565	3 240 565
TOTAL EXPENDITURE	28 232 283	28 232 283	26 467 159	26 467 159

2 Human Resources

2.1 Establishment plan posts

2.1.1 Establishment plan posts ERA

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15						1		1		1
AD 14		1		1						
AD 13										
AD 12		4		1		4		4		4
AD 11		7		2		8		10		10
AD 10		19		15		20		19		19
AD 9		32		23		34		29		29
AD 8		21		18		25		21		21
AD 7		15		21		12		15		15
AD 6		12		23		9		20		17
AD 5										
AD TOTAL		111		104		113		119		116
AST 11										
AST 10										
AST 9		3		1		2		2		2
AST 8		5		1		6		5		5
AST 7		5		4		6		5		5
AST 6		3		4		5		6		6
AST 5		8		9		9		8		8
AST 4		9		3		7		9		9
AST 3		4		13						
AST 2										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 1										
AST TOTAL		37		35		35		35		35
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		148		139		148		154		151
GRAND TOTAL	148		139		148		154		151	

2.1.2 Establishment plan posts (Fees and charges)

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14										
AD 13										
AD 12										
AD 11										
AD 10										
AD 9										
AD 8										
AD 7										
AD 6								15		12
AD 5										
AD TOTAL								15		12
AST 11										
AST 10										
AST 9										
AST 8										
AST 7										
AST 6										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 5										
AST 4										
AST 3										
AST 2										
AST 1										
AST TOTAL										
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL								15		12
GRAND TOTAL								15		12

2.1.3 Establishment plan posts (UE Contribution)

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15						1		1		1
AD 14		1		1						
AD 13										
AD 12		4		1		4		4		4
AD 11		7		2		8		10		10
AD 10		19		15		20		19		19
AD 9		32		23		34		29		29
AD 8		21		18		25		21		21
AD 7		15		21		12		15		15
AD 6		12		23		9		5		5
AD 5										
AD TOTAL		111		104		113		104		104
AST 11										
AST 10										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 9		3		1		2		2		2
AST 8		5		1		6		5		5
AST 7		5		4		6		5		5
AST 6		3		4		5		6		6
AST 5		8		9		9		8		8
AST 4		9		3		7		9		9
AST 3		4		13						
AST 2										
AST 1										
AST TOTAL		37		35		35		35		35
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		148		139		148		139		139
GRAND TOTAL	148		139		148		139		139	

2.2 External personnel

2.2.1 External personnel ERA

2.2.1.1 Contract Agents ERA

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	17	16	15	15
Function Group III	8	9	8	8
Function Group II	10	7	10	10
Function Group I	3	3	3	3
TOTAL	38	35	36	36

2.2.1.2 Seconded National Experts ERA

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	4		4	4

2.2.2 External personnel (Fees and charges)

2.2.2.1 Contract Agents (Fees and charges)

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV				3
Function Group III				
Function Group II				
Function Group I				
TOTAL				3

2.2.2.2 Seconded National Experts (Fees and charges)

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL				

2.2.3 External personnel (EU Contribution)

2.2.3.1 Contract Agents (EU Contribution)

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	17	16	15	12
Function Group III	8	9	8	8
Function Group II	10	7	10	10
Function Group I	3	3	3	3
TOTAL	38	35	36	33

2.2.3.2 Seconded National Experts (EU Contribution)

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	4	0	4	4

3 Financial Resources

3.1 Revenues ERA

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES		2 532 600	3 607 000	3 607 000	42,42%
2 EU CONTRIBUTION	27 030 000	27 560 000	27 661 592	25 763 160	-6,52%

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
- Of which assigned revenues deriving from previous years' surpluses	80 722	119 879	59 486	59 486	-50,38%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	639 347	672 283	676 042	693 999	3,23%
- Of which EEA/EFTA (excl. Switzerland)	639 347	672 283	676 042	693 999	3,23%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT			10 000	10 000	100%
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	27 669 347	30 764 883	31 954 634	30 074 159	-2,25%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)		759 387	p.m.	p.m.	-100%
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL		759 387	p.m.	p.m.	-100%

3.2 Expenditure

3.2.1 Expenditure ERA

3.2.1.1 Commitment appropriations ERA

EXPENDITURE	Commitment appropriations ERA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	20 294 328	22 999 700	24 488 200	24 488 200	6,47%
Salaries & allowances	19 705 823	21 132 100	22 411 200	22 411 200	6,05%
- Of which establishment plan posts	17 624 469	18 600 000	19 802 000	19 802 000	6,46%
- Of which external personnel	2 081 354	2 532 100	2 609 200	2 609 200	3,04%
Expenditure relating to Staff recruitment	153 080	135 000	80 000	80 000	-40,74%
Employer's pension contributions		301 650	487 000	487 000	61,45%
Mission expenses	67 000	100 000	100 000	100 000	0,00%

EXPENDITURE	Commitment appropriations ERA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Socio-medical infrastructure	43 988	57 000	57 000	57 000	0,00%
Training	122 011	150 000	150 000	150 000	0,00%
External Services	173 616	1 102 950	1 180 000	1 180 000	6,99%
Receptions, events and representation	1 670	3 000	3 000	3 000	0,00%
Social welfare	27 140	18 000	20 000	20 000	11,11%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	2 085 676	2 323 350	2 347 000	2 345 394	0,95%
Rental of buildings and associated costs	1 216 857	1 222 000	1 230 000	1 230 000	0,65%
Information, communication technology and data processing	603 234	778 600	790 000	790 000	1,46%
Movable property and associated costs	61 604	90 250	90 000	90 000	-0,28%
Current administrative expenditure	13 737	12 000	12 000	12 000	0,00%
Postage / Telecommunications	146 249	185 000	185 000	185 000	0,00%
Meeting expenses	969	4 500	5 000	5 000	11,11%
Running costs in connection with operational activities					
Information and publishing	4 916	4 000	5 000	5 000	25,00%
Studies					
Other infrastructure and operating expenditure	38 110	27 000	30 000	28 394	5,16%
Title 3 - Operational expenditure	5 283 278	5 441 833	5 119 434	3 240 565	-40,45%
Contributing to shaping target reference and global reference for the EU rail system	270 480	242 121	242 121	242 121	0,00%
Developing the harmonised regulatory SERA technical framework	297 578	1 106 088	856 088	856 088	-22,60%
Implementing the harmonised regulatory SERA technical framework (under 4RP)	2 100 181	2 129 869	2 048 925	1 382 948	-35,07%
Monitoring, evaluating and reporting	322 885	349 888	349 888	349 888	0,00%
Delivering efficient and effective services	626 538	409 520	409 520	409 520	0,00%
Other Activities	1 665 616	1 204 347	1 212 892		-100%
TOTAL	27 663 282	30 764 883	31 954 634	30 074 159	-2,25%

3.2.1.2 Payment appropriations ERA

EXPENDITURE	Payment appropriations ERA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	20 294 328	22 999 700	24 488 200	24 488 200	6,47%
Salaries & allowances	19 705 823	21 132 100	22 411 200	22 411 200	6,05%
- Of which establishment plan posts	17 624 469	18 600 000	19 802 000	19 802 000	6,46%
- Of which external personnel	2 081 354	2 532 100	2 609 200	2 609 200	3,04%
Expenditure relating to Staff recruitment	153 080	135 000	80 000	80 000	-40,74%
Employer's pension contributions		301 650	487 000	487 000	61,45%

EXPENDITURE	Payment appropriations ERA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Mission expenses	67 000	100 000	100 000	100 000	0,00%
Socio-medical infrastructure	43 988	57 000	57 000	57 000	0,00%
Training	122 011	150 000	150 000	150 000	0,00%
External Services	173 616	1 102 950	1 180 000	1 180 000	6,99%
Receptions, events and representation	1 670	3 000	3 000	3 000	0,00%
Social welfare	27 140	18 000	20 000	20 000	11,11%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	2 129 671	2 323 350	2 347 000	2 345 394	0,95%
Rental of buildings and associated costs	1 216 857	1 222 000	1 230 000	1 230 000	0,65%
Information, communication technology and data processing	603 234	778 600	790 000	790 000	1,46%
Movable property and associated costs	61 604	90 250	90 000	90 000	-0,28%
Current administrative expenditure	57 732	12 000	12 000	12 000	0,00%
Postage / Telecommunications	146 249	185 000	185 000	185 000	0,00%
Meeting expenses	969	4 500	5 000	5 000	11,11%
Running costs in connection with operational activities					
Information and publishing	4 916	4 000	5 000	5 000	25,00%
Studies					
Other infrastructure and operating expenditure	38 110	27 000	30 000	28 394	5,16%
Title 3 - Operational expenditure	5 283 583	5 441 833	5 119 434	3 240 565	-40,45%
Contributing to shaping target reference and global reference for the EU rail system	270 485	242 121	242 121	242 121	0,00%
Developing the harmonised regulatory SERA technical framework	297 578	1 106 088	856 088	856 088	-22,60%
Implementing the harmonised regulatory SERA technical framework (under 4RP)	2 100 181	2 129 869	2 048 925	1 382 948	-35,07%
Monitoring, evaluating and reporting	322 885	349 888	349 888	349 888	0,00%
Delivering efficient and effective services	626 838	409 520	409 520	409 520	0,00%
Other Activities	1 665 616	1 204 347	1 212 892		-100%
TOTAL	27 707 582	30 764 883	31 954 634	30 074 159	-2,25%

3.2.2 Expenditure (Fees and charges)

3.2.2.1 Commitment appropriations (Fees and charges)

EXPENDITURE	Commitment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure		2 532 600	3 607 000	3 607 000	42,42%
Salaries & allowances		1 308 000	2 120 000	2 120 000	62,08%
- Of which establishment plan posts		1 125 000	1 930 000	1 930 000	71,56%

EXPENDITURE	Commitment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
<i>- Of which external personnel</i>		183 000	190 000	190 000	3,83%
Expenditure relating to Staff recruitment					
Employer's pension contributions		301 650	487 000	487 000	61,45%
Mission expenses					
Socio-medical infrastructure					
Training					
External Services		922 950	1 000 000	1 000 000	8,35%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure					
Rental of buildings and associated costs					
Information, communication technology and data processing					
Movable property and associated costs					
Current administrative expenditure					
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure					
Contributing to shaping target reference and global reference for the EU rail system					
Developing the harmonised regulatory SERA technical framework					
Implementing the harmonised regulatory SERA technical framework (under 4RP)					
Monitoring, evaluating and reporting					
Delivering efficient and effective services					
Other Activities					
TOTAL		2 532 600	3 607 000	3 607 000	42,42%

3.2.2.2 Payment appropriations (Fees and charges)

EXPENDITURE	Payment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure		2 532 600	3 607 000	3 607 000	42,42%
Salaries & allowances		1 308 000	2 120 000	2 120 000	62,08%

EXPENDITURE	Payment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
<i>- Of which establishment plan posts</i>		1 125 000	1 930 000	1 930 000	71,56%
<i>- Of which external personnel</i>		183 000	190 000	190 000	3,83%
Expenditure relating to Staff recruitment					
Employer's pension contributions		301 650	487 000	487 000	61,45%
Mission expenses					
Socio-medical infrastructure					
Training					
External Services		922 950	1 000 000	1 000 000	8,35%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure					
Rental of buildings and associated costs					
Information, communication technology and data processing					
Movable property and associated costs					
Current administrative expenditure					
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure					
Contributing to shaping target reference and global reference for the EU rail system					
Developing the harmonised regulatory SERA technical framework					
Implementing the harmonised regulatory SERA technical framework (under 4RP)					
Monitoring, evaluating and reporting					
Delivering efficient and effective services					
Other Activities					
TOTAL		2 532 600	3 607 000	3 607 000	42,42%

3.2.3 Expenditure (EU Contribution)

3.2.3.1 Commitment appropriations (EU Contribution)

EXPENDITURE	Commitment appropriations (EU Contribution)			
	Executed Budget	Budget 2020	Draft Budget 2021	VAR

	2019		Agency request	Budget forecast	2021/2020 (%)
Title 1 - Staff expenditure	20 294 328	20 467 100	20 881 200	20 881 200	2,02%
Salaries & allowances	19 705 823	19 824 100	20 291 200	20 291 200	2,36%
- Of which establishment plan posts	17 624 469	17 475 000	17 872 000	17 872 000	2,27%
- Of which external personnel	2 081 354	2 349 100	2 419 200	2 419 200	2,98%
Expenditure relating to Staff recruitment	153 080	135 000	80 000	80 000	-40,74%
Employer's pension contributions					
Mission expenses	67 000	100 000	100 000	100 000	0,00%
Socio-medical infrastructure	43 988	57 000	57 000	57 000	0,00%
Training	122 011	150 000	150 000	150 000	0,00%
External Services	173 616	180 000	180 000	180 000	0,00%
Receptions, events and representation	1 670	3 000	3 000	3 000	0,00%
Social welfare	27 140	18 000	20 000	20 000	11,11%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	2 085 676	2 323 350	2 347 000	2 345 394	0,95%
Rental of buildings and associated costs	1 216 857	1 222 000	1 230 000	1 230 000	0,65%
Information, communication technology and data processing	603 234	778 600	790 000	790 000	1,46%
Movable property and associated costs	61 604	90 250	90 000	90 000	-0,28%
Current administrative expenditure	13 737	12 000	12 000	12 000	0,00%
Postage / Telecommunications	146 249	185 000	185 000	185 000	0,00%
Meeting expenses	969	4 500	5 000	5 000	11,11%
Running costs in connection with operational activities					
Information and publishing	4 916	4 000	5 000	5 000	25,00%
Studies					
Other infrastructure and operating expenditure	38 110	27 000	30 000	28 394	5,16%
Title 3 - Operational expenditure	5 283 278	5 441 833	5 119 434	3 240 565	-40,45%
Contributing to shaping target reference and global reference for the EU rail system	270 480	242 121	242 121	242 121	0,00%
Developing the harmonised regulatory SERA technical framework	297 578	1 106 088	856 088	856 088	-22,60%
Implementing the harmonised regulatory SERA technical framework (under 4RP)	2 100 181	2 129 869	2 048 925	1 382 948	-35,07%
Monitoring, evaluating and reporting	322 885	349 888	349 888	349 888	0,00%
Delivering efficient and effective services	626 538	409 520	409 520	409 520	0,00%
Other Activities	1 665 616	1 204 347	1 212 892		-100%
TOTAL	27 663 282	28 232 283	28 347 634	26 467 159	-6,25%

3.2.3.2 Payment appropriations (EU Contribution)

EXPENDITURE	Payment appropriations (EU Contribution)				VAR 2021/2020 (%)
	Executed Budget 2019	Budget 2020	Draft Budget 2021		
			Agency request	Budget forecast	
Title 1 - Staff expenditure	20 294 328	20 467 100	20 881 200	20 881 200	2,02%

EXPENDITURE	Payment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Salaries & allowances	19 705 823	19 824 100	20 291 200	20 291 200	2,36%
- Of which establishment plan posts	17 624 469	17 475 000	17 872 000	17 872 000	2,27%
- Of which external personnel	2 081 354	2 349 100	2 419 200	2 419 200	2,98%
Expenditure relating to Staff recruitment	153 080	135 000	80 000	80 000	-40,74%
Employer's pension contributions					
Mission expenses	67 000	100 000	100 000	100 000	0,00%
Socio-medical infrastructure	43 988	57 000	57 000	57 000	0,00%
Training	122 011	150 000	150 000	150 000	0,00%
External Services	173 616	180 000	180 000	180 000	0,00%
Receptions, events and representation	1 670	3 000	3 000	3 000	0,00%
Social welfare	27 140	18 000	20 000	20 000	11,11%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	2 129 671	2 323 350	2 347 000	2 345 394	0,95%
Rental of buildings and associated costs	1 216 857	1 222 000	1 230 000	1 230 000	0,65%
Information, communication technology and data processing	603 234	778 600	790 000	790 000	1,46%
Movable property and associated costs	61 604	90 250	90 000	90 000	-0,28%
Current administrative expenditure	57 732	12 000	12 000	12 000	0,00%
Postage / Telecommunications	146 249	185 000	185 000	185 000	0,00%
Meeting expenses	969	4 500	5 000	5 000	11,11%
Running costs in connection with operational activities					
Information and publishing	4 916	4 000	5 000	5 000	25,00%
Studies					
Other infrastructure and operating expenditure	38 110	27 000	30 000	28 394	5,16%
Title 3 - Operational expenditure	5 283 583	5 441 833	5 119 434	3 240 565	-40,45%
Contributing to shaping target reference and global reference for the EU rail system	270 485	242 121	242 121	242 121	0,00%
Developing the harmonised regulatory SERA technical framework	297 578	1 106 088	856 088	856 088	-22,60%
Implementing the harmonised regulatory SERA technical framework (under 4RP)	2 100 181	2 129 869	2 048 925	1 382 948	-35,07%
Monitoring, evaluating and reporting	322 885	349 888	349 888	349 888	0,00%
Delivering efficient and effective services	626 838	409 520	409 520	409 520	0,00%
Other Activities	1 665 616	1 204 347	1 212 892		-100%
TOTAL	27 707 582	28 232 283	28 347 634	26 467 159	-6,25%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 59 486.

4 Justification of needs

Commission assessment

Human Resources

The Commission notes ERA is requesting 6 new posts, which goes beyond the LFS for the 4th Railway Package.

The Commission does supports a partial increase of 3 TA, in line with the applicable LFS.

Financial Resources

The Commission proposes an EU contribution of EUR 25.7 million, taking into account that the agency's is starting to collect fees and charges. The EU contributions takes into account the advances made by the Commission in past years (as of 2018) to set up the fee activity.

The Commission takes note that ERA includes a separate fiche to address Fees & Charges in budget 2021, but notes that in 2021 all F&C revenue is projected to cover staff expenditure only. The Commission understands that following the transposition of the applicable legislation (4th Railway Package) by the Member States in the course of 2020, the expenditure for the One-Stop-Shop (which was developed with EU subsidy) can be covered by the income F&C in the future.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

4.1.1.1 Number of staff requested (Fees and charges)

15 Temporary agents and 3 Contract agents

4.1.1.2 Number of staff requested (UE Contribution)

139 Temporary agents, 33 Contract Agents and 4 Seconded National Experts.

4.1.2 Vacancy rate as of end 2019

4.1.2.1 Vacancy rate as of end 2019 (Fees and charges)

0%

4.1.2.2 Vacancy rate as of end 2019 (UE Contribution)

9.4 % for Temporary agents, 8.9% for Contract agents, 100% for SNE.

4.1.3 Standard abatement ('abatement forfaitaire') applied

4.1.3.1 Standard abatement ('abatement forfaitaire') applied (Fees and charges)

N/A

4.1.3.2 Standard abatement ('abatement forfaitaire') applied (UE Contribution)

N/A

4.1.4 Salary assumption for calculating salary line (% applied)

4.1.4.1 Salary assumption for calculating salary line (% applied) (Fees and charges)

15 TA: EUR 1.930.000 + pension contribution 23%. Proposed budget to be covered by Fees and Charges = EUR 1.930.000 + EUR 444.000 (pension)

3 CA: EUR 190.000 + pension contribution 23%. Proposed budget to be covered by Fees and Charges = EUR 190.000 + EUR 43.000 (pension)

4.1.4.2 Salary assumption for calculating salary line (% applied) (UE Contribution)

Proposed budget in Title 1 TA = EUR 17.880.000. The underlying assumptions include a 3% indexation for 6 months and a 1% reclassification, 2% turnover applied for all TA and an average cost of EUR 128 000/year. An additional cost of EUR 1 930 000 + EUR 444 000 (retirement) is expected to be covered under Title 4.

Proposed budget in Title 1 CA = EUR 2.089.000. The underlying assumptions include a 3% indexation for 6 months and a 1% reclassification, 2% turnover applied for all CA and an average cost of EUR 63 000/year.

Proposed budget in Title 1 SNE = EUR 240.000. The underlying assumptions include an average cost of EUR 60 000/year.

4.1.5 Correction coefficient used

4.1.5.1 Correction coefficient used (Fees and charges)

117.70

4.1.5.2 Correction coefficient used (UE Contribution)

117.70

4.1.6 Exchange rate used (if applicable)

4.1.6.1 Exchange rate used (if applicable) (Fees and charges)

4.1.6.2 Exchange rate used (if applicable) (UE Contribution)

4.2 Financial Resources - Agency request

4.2.1 Title 1

4.2.1.1 Title 1 (Fees and charged)

Following the entry into force in 2016 of the 4th Railway Package Technical Pillar, the European Union Agency for Railways (ERA) together with the European Commission have taken all the preparatory measures to ensure a smooth and effective start of the Agency's new authority role.

By June 2019, a part of the Member States have transposed the new legislation and the Agency has thus effectively started to deliver work for issuing Vehicle Authorisations (VA) and Single Safety Certificates (SSC).

This full transition to the 4th Railway Package will implement one of the key policy objectives for rail, which currently receives additional significance through the European Green Deal.

The Establishment plan from MFF 2014-2020 only envisaged a limited increase of 9 TA, while a number of 3 additional Contract Agents was also envisaged. Reality on the ground has shown that the actual work for VA and SSC, considering the time needed per application and the volume of requests received, is not in line with the assumptions of the Impact Assessment accompanying the 4th Railway Package Technical Pillar. This is translated in an FTE gap of 6 FTEs in 2020. It is important to note that the figures in the above tables do not include the related administrative/support tasks – these efforts would have to be covered by efficiency improvement measures.

The current cap on the Establishment plan entails a very limited number of posts for the Fees and Charges related activities (12 posts), in parallel with a volume of VA and SSC requests which are increasing faster than expected. With the

above considerations in mind, the Agency requests the following Establishment plan over the next programming period (2021-2027), with a view to properly factor in the needs of the Fees and charges related activities.

The estimated need is displayed in the table below.

Year	2021	2022	2023	2024	2025	2026	2027
Establishment Plan (TAs)	154	158	161	163	163	163	163

4.2.1.2 Title 1 (UE Contribution)

See 4.1.4.2.

Total Title 1 = EUR 20 881 200. EUR 20 200 000 for the salaries and contributions/allowances together with EUR

91 200 for Trainees, EUR 180 000 for External services, EUR 80 000 for Sundry recruitment, EUR 100 000 for Administrative Missions, EUR 57 000 for Medical service, EUR 150 000 for Training, EUR 20 000 for Social Events and EUR 3 000 Representation costs.

4.2.2 Title 2

4.2.2.1 Title 2 (Fees and charges)

Overhead part included in the Fees and Charges hourly rate shall be earmarked for expenditures in T2.

4.2.2.2 Title 2 (UE Contribution)

Same amount compared to 2019 + 1 % indexation: 2.347.000 €.

4.2.3 Title 3

4.2.3.1 Title 3 (Fees and charges)

N/A

4.2.3.2 Title 3 (UE Contribution)

Chapter 30: 4.237.486 €

Chapter 31: 1.212.889 €

4.3 Ad hoc grants and delegation agreements

4.3.1 Ad hoc grants and delegation agreements (Fees and charges)

4.3.2 Ad hoc grants and delegation agreements (UE Contributions)

For the Continuation of support to the IPA II for the period 2020-22, DG NEAR is offering a grant of 450.000 € for IPA and Western Balkans beneficiaries.

For the EUMedRail programme, ERA received a grant agreement of 910.000 € with an additional amount of 309.387 € for the period 2018-2020.

Ad hoc grant = 3 Contract Agents

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	ERA HQ	Valenciennes, 120 rue Marc Lefranq	5 250		5 250	449 536	1 year with tacit renewal		No	
2	Rental of 90 parking places from SAEM Valenciennes	Valenciennes				25 131	1 year with tacit renewal		No	
3	ERA meeting premises	299, Boulevard de Leeds – Lille	603		603	113 012	Contract will end on 31/12/2023.		No	
4	Rental of 1 parking place from Espace International	Boulevard de Leeds, Lille				2 578	Contract will end on 31/12/2023.		No	
TOTAL			5 853		5 853	590 257				

5.1.2 Current building(s) Other comments

ERA started using the current building in Valenciennes in 2009. This building was designed to accommodate about 160 headcount, where the layout of the offices privileged the use of the rooms by single occupants.

Due to the new tasks in relation to the certification and authorisation's activities requiring the recruitment of additional staff, the building was fitted in order to accommodate 251 desks. In the meantime the Agency and the French Authorities are discussing to define the requirements related to the construction of a new building.

The higher number of staff (desks) in the building will have an impact on the maintenance costs. The Agency estimates that about EUR 500K per year will be necessary to ensure the reliability of the technical installations at ERA headquarters.

5.1.3 Building projects in the planning phase

The Agency shall inform the budget authority about the on-going discussions with the French authorities.

The intention is to provide the Budget Authority with a budget request during the year 2020.

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 European schools

French Authorities opened a European School in Lille.

5.3 Evaluation

According Article 82 of Regulation (2016) 796, an evaluation of ERA has to be carried out no later than 16 June 2020 and every 5 years thereafter, with the purpose to assess, in particular, the impact, effectiveness and efficiency of the Agency and its working practices, taking into account all relevant work by the Court of Auditors and the views and recommendations of relevant stakeholders, including national safety authorities, representatives of the railway sector, social partners and consumer organisations. By 16 June 2023 the Commission shall assess the functioning of the dual system for vehicle authorisation and safety certification, the one-stop shop related thereto and the harmonised implementation of ERTMS in the Union and shall forward the evaluation report together with its conclusions thereon to the European Parliament, the Council and the Management Board. The findings of the evaluation shall be made public.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
AGREED	SEAT AGREEMENT signed in 2019 but needs a ratification by the French Parliament before it enters into force.	
VAT EXEMPTION	DIPLOMATIC STATUS FOR DIRECTOR ONLY	
	PROTOCOL OF PRIVILEGES AND IMMUNITIES APPLICABLE TO STAFF	

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Regulation (EC) No 713/2009 of the European Parliament and of the Council establishing an Agency for the Cooperation of Energy Regulators	13 July 2009,	The Agency assists the National Regulatory Authorities (NRAs) at EU level with their regulatory tasks in the Member States and coordinates their action; participates in the creation of European network rules; issues opinions on network-related tasks performed by Transmission System Operators (TSOs); can take binding individual decisions on terms and conditions for access and operational security for cross border infrastructure; advise the EU institutions; monitors and reports developments in the energy markets.
Regulation (EU) 2019/942 of the European Parliament and of the Council establishing a European Union Agency for the Cooperation of Energy Regulators	05 June 2019	
Directive 2009/72/EC of the European Parliament and of the Council on common rules for the internal market in electricity, repealing Directive 2003/54/EC	13 July 2009,	ACER shall cooperate with NRAs and TSOs to ensure the compatibility of the regulatory frameworks across the Union with the aim of creating a competitive internal market in electricity; exercise the tasks conferred on the NRAs upon their joint request and in the absence of agreement between them; and provide its opinion to regulatory authorities or to the Commission.
Regulation (EU) 2019/943 of the European Parliament and of the Council on the internal market for electricity	05 June 2019	
Directive 2009/73/EC concerning common rules for the internal market in natural gas and repealing Directive 2003/55/EC	13 July 2009	ACER shall cooperate with NRAs and TSOs to ensure the compatibility of the regulatory frameworks across EU with the aim of creating an internal market in natural gas; exercise the tasks conferred on the NRAs upon their joint request and in the absence of agreement between them; and provide its opinion to the regulatory authority or to the Commission
Regulation (EC) No 714/2009 on conditions for access to the network for cross-border exchanges in electricity and repealing Regulation (EC) No 1228/2003	13 July 2009,	The Agency issues opinions to the Commission on the draft statutes, list of members and draft rules of procedure of the European network of transmission system operators for electricity (ENTSO-E); submits and recommends for adoption by the Commission framework guidelines for the development of network codes; provide opinions to ENTSO-E on network codes; review the national ten-year network development plans; monitor the execution of ENTSO-E's tasks and the network codes implementation.
Regulation (EU) 2019/943 of the European Parliament and of the Council on the internal market for electricity	05 June 2019	
Regulation (EC) No 715/2009 on conditions for access to the natural gas transmission networks and repealing Regulation (EC) No 1775/2005	13 July 2009	The Agency issues opinions to the Commission on the draft statutes, list of members and draft rules of procedure of the European network of transmission system operators for gas (ENTSOG); submits and recommends for adoption by the Commission framework guidelines for the development of network codes; provide opinions to ENTSOG on network codes; monitor the execution of ENTSOG's tasks and the network codes implementation.
Regulation (EU) No 838/2010 on guidelines relating to the inter-transmission system operator compensation mechanism and a common regulatory approach to transmission charging	23 September 2010	The Agency shall formulate a proposal to the Commission on the annual cross-border infrastructure compensation sum for the Inter-TSO Compensation (ITC) mechanism and report to the Commission; verify the criteria for the valuation of losses at national level; monitor the appropriateness of the ranges of allowable transmission charges and provide its opinion to the Commission
Regulation (EU) No 1227/2011 on wholesale energy market integrity and transparency (REMIT)	25 October 2011	The Agency shall monitor wholesale energy markets to detect market manipulation, insider trading; collect records of transactions and orders to trade reported by market participants; establish and maintain a central European register of energy market participants; assess the operation and transparency of market places and ways of trading; cooperate with the NRAs on the implementation of REMIT across EU and cooperate with ESMA, national financial and competition authorities.

Regulation (EU) No 347/2013 on guidelines for trans-European energy infrastructure and repealing Decision 1364/2006/EC and amending Regulation (EC) No 713/2009, (EC) No 714/2009 and (EC) No 715/2009	17 April 2013	The Agency shall assist NRAs in the evaluation of the Projects of Common Interest (PCIs); issue opinion on the draft PCI lists, on the methodologies, for a harmonised energy system-wide Cost-Benefit Analysis at Union-wide level proposed by ENTSOs; participate in the monitoring of PCIs implementation; and facilitate the sharing of good practices and providing recommendations on incentives and common methodology to evaluate the incurred higher risks of investments in electricity and gas transmission.
Regulation (EU) No 543/2013 on submission and publication of data in electricity markets, amending Annex I to Regulation (EC) No 714/2009	14 June 2013	The Agency shall provide an opinion on the proposal concerning the operation of the central information transparency platform and on any update of the manual of procedures developed by ENTSO-E.
Regulation (EU) 2017/1938 concerning measures to safeguard the security of gas supply	25 October 2017	The Agency shall take decisions on CBCA; issue opinions on proposals or exemption requests and on the elements of coordinated decisions; participate in consultations on the establishment of permanent bi-directional capacity at interconnection points; and participate in the Gas Coordination Group.
Commission Implementing Regulation No 1348/2014 on data reporting implementing Art. 8(2) of Regulation No 1227/2011 on wholesale energy market integrity and transparency	17 December 2014	The Agency shall monitor the wholesale energy markets in the Union; draw up, publish, maintain and update lists of standard contracts and organised market places; establish procedures, standards and electronic formats based on established industry standards for reporting of information; develop technical and organisational requirements for submitting data; and assess whether reporting parties comply with the requirements.
Commission Regulation (EU) No 312/2014 establishing a Network Code on Gas Balancing of Transmission Networks	26 March 2014	The Agency shall monitor the implementation of, the compliance with and the effects of the provisions in the Network Code and publish the results of such monitoring.
Commission Regulation (EU) 2015/703 establishing a network code on interoperability and data exchange rules	30 April 2015	The Agency shall monitor the implementation of, the compliance with and the effects of the provisions in the Network Code and publish the results of such monitoring.
Commission Decision (EU) 2015/715 amending Annex I to Regulation (EC) No 715/2009 on conditions for access to the natural gas transmission networks	30 April 2015	The Agency shall monitor the implementation of, the compliance with and the effects of the provisions in the Network Code and publish the results of such monitoring; and publish an annual report on Congestion at Interconnection Points.
Commission Regulation (EU) 2015/1222 establishing guideline on capacity allocation and congestion management	24 July 2015,	The Agency shall take decisions in the absence of agreement between NRAs on the common terms and conditions or methodologies; monitor NEMO's progress in establishing and performing the MCO functions and report to the Commission; issue an opinion on the proposals for terms and conditions or methodologies; assess the efficiency of current bidding zone configuration and draft a market report; and organise the involvement of stakeholders
Commission Regulation (EU) 2016/631 establishing a network code on requirements for grid connection of generators	14 April 2016	The Agency shall: organise stakeholder involvement regarding the requirements for grid connection of power-generating facilities; produce a list of information to be communicated by ENTSO-Electricity to the Agency; and monitor the procedure of granting derogations
Commission Regulation (EU) 2016/1388 establishing a network code on demand connection	17 August 2016	The Agency shall organise stakeholder involvement on the requirements for the grid connection of transmission-connected demand and distribution facilities, distribution systems and demand units; monitor the procedure of granting derogations with the cooperation of NRAs; and produce a list of information to be communicated by ENTSO-E to the Agency.
Commission Regulation (EU) 2016/1447 establishing a network code on requirements for grid connection of high voltage direct current systems and direct current-connected power park modules	26 August 2016	The Agency shall organise stakeholder involvement on the requirements for grid connection of HVDC systems and DC-connected power park modules; draw up a list of information to be communicated by ENTSO-E to the Agency; and monitor the procedure of granting derogations with the cooperation of the regulatory authorities or relevant authorities of the Member State.
Commission Regulation (EU) 2016/1719 establishing a guideline on forward capacity allocation	26 September 2016	The Agency shall issue an opinion on the proposals for terms and conditions or methodologies and adopt a decision in the absence of agreement among NRAs; organise stakeholder involvement regarding forward capacity allocation; and draw up a list of information to be communicated by ENTSO-E.
Commission Regulation (EU) 2017/459 establishing a network code on capacity allocation mechanisms in gas transmission systems and repealing Regulation (EU) No	16 March 2017	The Agency shall publish implementation monitoring reports, covering both compliance and effects monitoring; decide on the use of a single capacity booking platform in cases where the TSOs and NRAs involved cannot agree; and publish a report on conditional capacities; publish an Opinion on ENTISO's report and proposed format for General Terms and Conditions.

Part I – Decentralised agencies

984/2013		
Commission Regulation (EU) 2017/460 establishing a network code on harmonised transmission tariff structures for gas	16 March 2017	The Agency shall publish implementation monitoring reports, covering both compliance and implementation monitoring; review national reference price methodologies; publish a report on allowed revenues; and publish a recommendation on tariff multipliers.
Commission Regulation (EU) 2017/1485 establishing a guideline on electricity transmission system operation	2 August 2017	The Agency shall issue an opinion on the proposals for terms and conditions or methodologies and adopt a decision in the absence of agreement among NRAs; organise stakeholder involvement regarding system operation; and draw up a list of information to be communicated by ENTSO-E.
Commission Regulation (EU) 2017/2195 establishing a guideline on electricity balancing	23 November 2017	The Agency shall issue opinions on the participation of Switzerland in the European platforms for the exchange of standard products for balancing energy; on the proposals for terms and conditions or methodologies and adopt a decision in the absence of agreement among NRAs; organise stakeholder involvement regarding balancing; draw up a list of information to be communicated by ENTSO-E
Commission Regulation (EU) 2017/2196 establishing a network code on emergency and restoration	24 November 2017	The Agency shall organise stakeholder involvement regarding the implementation of this Regulation and system operation; produce lists of information to be communicated by ENTSO-Electricity to the Agency; issue an opinion on the proposals for terms and conditions or methodologies and adopt a decision in the absence of agreement among NRAs
Regulation (EU) 2019/941 of the European Parliament and of the Council On risk-preparedness in the electricity sector and repealing directive 2005/89/EC	5 June 2019	The Agency shall: <ul style="list-style-type: none"> - coordinate national actions related to risk preparedness with regulatory oversight over the RCC (Regional Coordination Centres), amend or approving changes of a proposal for a methodology for assessing short-term adequacy - seasonal adequacy, week-ahead to intraday adequacy submitted by ENTSO-E. - amend or approve the proposal for a methodology for identifying the most relevant electricity crisis scenarios in a regional context submitted by ENTSO-E. - monitor the security of supply measures and reporting regularly to the ECG. <p>The Agency shall monitor the performance of Regional Coordination Centres with the NRAs and ENTSO-E, through submitted data resulting from their continuous monitoring; issue a decision on the configuration of system operation regions based on proposal from ENTSO-E.</p>
Regulation (EU) 2019/943 of the European Parliament and of the Council on the internal market for electricity	05 June 2019	The Agency shall: <ul style="list-style-type: none"> - amend or approve technical parameters developed by ENTSO-E for an efficient participation of cross-border capacities in capacity mechanisms and other technical features of capacity mechanisms. - amend or approve draft methodologies for calculating: the value of lost load; the "cost of new entry" for generation, or demand response; and the reliability standard expressed as "expected energy not served" and the "loss of load expectation". - amend or approve changes of a proposal for a methodology for assessing short-term adequacy - seasonal adequacy, week-ahead to intraday adequacy submitted by ENTSO-E. <p>The Agency shall publish Best practice report on the transmission and distribution tariff methodologies every two years.</p> <p>The Agency shall publish Opinion on technical guidance for the calculation of CO2 emission limits.</p>
Directive (EU) 2019/944 of the European Parliament and of the Council on common rules for the internal market for electricity and amending directive 2012/27/EU	05 June 2019	The Agency, in close cooperation with the national regulatory authorities and the ENTSO for Electricity, shall monitor and analyse the performance of Regional Coordination Centres.
		The Agency shall support DSOs to submit to the Commission and to the Agency the draft statutes, a list of registered members, the draft rules of procedure, including the rules of procedures on the consultation with ENTSO-E and other stakeholders and the financing rules, of the EU DSO entity to be established. Issuing an opinion on the draft statutes, list of members, draft rules of procedures, DSO annual work programme and other relevant documents. Issuing a decision for DSO to provide any relevant information necessary for carrying out monitoring pursuant. In its decisions, the Agency shall make a reference to

		the legal basis under which the information is requested, the time limit within which the information is to be provided, and the purpose of the request.
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1.2 Seat

Ljubljana / Slovenia

1.3 Budget Line

02 10 06 : Agency for the Cooperation of Energy Regulators (ACER)

1.4 Human Resources overview

1.4.1 Human Resources Overview ACER

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	55	55	100,00%	59	59
Assistants (AST)	12	12	100,00%	12	12
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	67	67	100,00%	71	71
Contract Agents (CA)	27	26	96,30%	33	36
Seconded National Experts (SNE)	4	4	100,00%	4	4
TOTAL STAFF	98	97	98,98%	108	111

1.4.2 Human Resources Overview (Fees and charges)

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)					
Assistants (AST)					
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS					
Contract Agents (CA)					
Seconded National Experts (SNE)					
TOTAL STAFF					

1.4.3 Human Resources Overview (EU Contribution)

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	55	55	100,00%	59	59
Assistants (AST)	12	12	100,00%	12	12
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	67	67	100,00%	71	71

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Contract Agents (CA)	27	26	96,30%	33	36
Seconded National Experts (SNE)	4	4	100,00%	4	4
TOTAL STAFF	98	97	98,98%	108	111

1.5 Financial Resources overview

1.5.1 Financial Resources Overview ACER

1.5.1.1 Revenues Overview ACER

1.5.1.1.1 General revenues ACER

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	16 470 000	14 434 363
Other Revenue	398 810	5 114 447
TOTAL REVENUES	16 868 810	19 548 810

1.5.1.1.2 Additional EU funding: contribution, grant and service level agreements ACER

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.1.2 Expenditure Overview ACER

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	10 707 603	10 707 603	11 765 281	11 765 281
Title 2 - Infrastructure and operating expenditure	2 722 584	2 722 584	2 522 854	2 522 854
Title 3 - Operational expenditure	3438623	3438623	5260675	5260675
TOTAL EXPENDITURE	16 868 810	16 868 810	19 548 810	19 548 810

1.5.2 Financial Resources Overview (Fees and charges)

1.5.2.1 Revenues Overview (Fees and charges)

1.5.2.1.1 General revenues (Fees and charges)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		4 730 075

1.5.2.1.2 Additional EU funding: contribution, grant and service level agreements (Fees and charges)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2.2 Expenditure Overview (Fees and charges)

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure				
Title 2 - Infrastructure and operating expenditure			100 000	100 000
Title 3 - Operational expenditure			4 630 075	4 630 075
TOTAL EXPENDITURE			4 730 075	4 730 075

1.5.3 Financial Resources Overview (EU Contribution)

1.5.3.1 Revenues Overview (EU Contribution)

1.5.3.1.1 General revenues (EU Contribution)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	16 470 000	14 434 363
Other Revenue	398 810	384 372
TOTAL REVENUES	16 868 810	14 818 735

1.5.3.1.2 Additional EU funding: contribution, grant and service level agreements (EU Contribution)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.3.2 Expenditure Overview (EU Contribution)

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	10 707 603	10 707 603	11 765 281	11 765 281
Title 2 - Infrastructure and operating expenditure	2 722 584	2 722 584	2 422 854	2 422 854
Title 3 - Operational expenditure	3 438 623	3 438 623	630 600	630 600
TOTAL EXPENDITURE	16 868 810	16 868 810	14 818 735	14 818 735

2 Human Resources

2.1 Establishment plan posts

2.1.1 Establishment plan posts ACER

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1		1		1
AD 14										
AD 13		1				3		4		4
AD 12		3		4		3		3		3
AD 11		5		3		5		4		4
AD 10		1		3		3		3		3
AD 9		6		4		8		14		12
AD 8		10		11		8		9		9
AD 7		7		8		8		13		12
AD 6		12		11		14		10		10
AD 5		9		10		6		3		1
AD TOTAL		55		55		59		64		59
AST 11										
AST 10										
AST 9										
AST 8										
AST 7										
AST 6		1		1		1		2		2
AST 5		2		2		2		4		4
AST 4		6		6		6		3		3
AST 3		3		3		3		3		3
AST 2										
AST 1										
AST TOTAL		12		12		12		12		12
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		67		67		71		76		71

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
GRAND TOTAL	67		67		71		76		71	

2.1.2 Establishment plan posts (Fees and charges)

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14										
AD 13										
AD 12										
AD 11										
AD 10										
AD 9										
AD 8										
AD 7										
AD 6										
AD 5								2		
AD TOTAL								2		
AST 11										
AST 10										
AST 9										
AST 8										
AST 7										
AST 6										
AST 5										
AST 4										
AST 3										
AST 2										
AST 1										
AST TOTAL										
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL								2		
GRAND TOTAL								2		

2.1.3 Establishment plan posts (EU Contribution)

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1		1		1
AD 14										
AD 13		1				3		4		4
AD 12		3		4		3		3		3
AD 11		5		3		5		4		4
AD 10		1		3		3		3		3
AD 9		6		4		8		14		12
AD 8		10		11		8		9		9
AD 7		7		8		8		13		12
AD 6		12		11		14		10		10
AD 5		9		10		6		1		1
AD TOTAL		55		55		59		62		59
AST 11										
AST 10										
AST 9										
AST 8										
AST 7										
AST 6		1		1		1		2		2
AST 5		2		2		2		4		4
AST 4		6		6		6		3		3
AST 3		3		3		3		3		3
AST 2										
AST 1										
AST TOTAL		12		12		12		12		12

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		67		67		71		74		71
GRAND TOTAL	67		67		71		74		71	

2.2 External personnel

2.2.1 External personnel ACER

2.2.1.1 Contract Agents ACER

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	22	23	28	31
Function Group III	5	3	5	5
Function Group II				
Function Group I				
TOTAL	27	26	33	36

2.2.1.2 Seconded National Experts ACER

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	4	4	4	4

2.2.2 External personnel (Fees and charges)

2.2.2.1 Contract Agents (Fees and charges)

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV				
Function Group III				
Function Group II				
Function Group I				
TOTAL				

2.2.2.2 Seconded National Experts (Fees and charges)

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL				

2.2.3 External personnel (EU Contribution)

2.2.3.1 Contract Agents (EU Contribution)

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	22	23	28	31
Function Group III	5	3	5	5
Function Group II				
Function Group I				
TOTAL	27	26	33	36

2.2.3.2 Seconded National Experts (EU Contribution)

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	4	4	4	4

3 Financial Resources

3.1 Financial Resources ACER

3.1.1 Revenues ACER

3.1.1.1 General revenues ACER

REVENUES	General revenues ACER				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES			4 730 075	4 730 075	100%
2 EU CONTRIBUTION	16 066 970	16 470 000	16 309 983	14 434 363	-12,36%
- Of which assigned revenues deriving from previous years' surpluses	528 883	192 025	198 348	198 348	3,29%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)		398 810	394 735	384 372	-3,62%
- Of which EEA/EFTA (excl. Switzerland)		398 810	394 735	384 372	-3,62%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					

REVENUES	General revenues ACER				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	16 066 970	16 868 810	21 434 793	19 548 810	15,89%

3.1.1.2 Additional EU funding: contribution, grant and service level agreements ACER

REVENUES	Additional EU funding: contribution, grant and service level agreements ACER				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.1.2 Expenditure ACER

3.1.2.1 Commitment appropriations ACER

EXPENDITURE	Commitment appropriations ACER				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	9 247 271	10 707 603	11 940 808	11 765 281	9,88%
Salaries & allowances	8 242 520	9 602 155	10 580 284	10 580 284	10,19%
- Of which establishment plan posts	6 600 629	7 486 325	8 102 164	8 102 164	8,23%
- Of which external personnel	1 641 891	2 115 830	2 478 120	2 478 120	17,12%
Expenditure relating to Staff recruitment	38 093	33 600	72 000	72 000	114,29%
Employer's pension contributions					
Mission expenses	94 830	100 000	135 000	100 000	0,00%
Socio-medical infrastructure	40 470	24 635	66 500	66 500	169,94%
Training	110 360	192 857	273 984	198 857	3,11%
External Services	541 491	526 256	433 190	433 190	-17,68%
Receptions, events and representation	16 322	16 500	16 500	16 500	0,00%
Social welfare	21 900	27 000	113 350	113 350	319,81%
Other Staff related expenditure	141 285	184 600	250 000	184 600	0,00%
Title 2 - Infrastructure and operating expenditure	2 711 966	2 722 584	3 866 860	2 522 854	-7,34%
Rental of buildings and associated costs	1 113 846	1 156 434	1 290 300	1 156 434	0,00%
Information, communication technology and data processing	555 553	595 000	862 000	505 626	-15,02%

EXPENDITURE	Commitment appropriations ACER				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Movable property and associated costs	166 470	178 000	318 200	178 000	0,00%
Current administrative expenditure	158 929	183 150	209 200	183 150	0,00%
Postage / Telecommunications	85 500	89 000	104 600	89 000	0,00%
Meeting expenses	271 439	201 000	382 560	195 644	-2,66%
Running costs in connection with operational activities	140 435	115 000	195 000	115 000	0,00%
Information and publishing					
Studies	219 794	205 000	505 000	100 000	-51,22%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	4 107 733	3 438 623	5 627 125	5 260 675	52,99%
Meetings	183 252	303 000	366 450		-100%
REMIT operations	3 618 501	2 800 000	4 630 075	4 630 075	65,36%
Translation expenses	179 462	217 123	513 600	513 600	136,55%
Website, information and publication	126 518	118 500	117 000	117 000	-1,27%
TOTAL	16 066 970	16 868 810	21 434 793	19 548 810	15,89%

3.1.2.2 Payment appropriations ACER

EXPENDITURE	Payment appropriations ACER				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	9 032 569	10 707 603	11 940 808	11 765 281	9,88%
Salaries & allowances	8 144 370	9 602 155	10 580 284	10 580 284	10,19%
- Of which establishment plan posts	6 502 479	7 486 325	8 102 164	8 102 164	8,23%
- Of which external personnel	1 641 891	2 115 830	2 478 120	2 478 120	17,12%
Expenditure relating to Staff recruitment	32 425	33 600	72 000	72 000	114,29%
Employer's pension contributions					
Mission expenses	93 070	100 000	135 000	100 000	0,00%
Socio-medical infrastructure	20 425	24 635	66 500	66 500	169,94%
Training	82 783	192 857	273 984	198 857	3,11%
External Services	521 122	526 256	433 190	433 190	-17,68%
Receptions, events and representation	15 623	16 500	16 500	16 500	0,00%
Social welfare	16 465	27 000	113 350	113 350	319,81%
Other Staff related expenditure	106 286	184 600	250 000	184 600	0,00%
Title 2 - Infrastructure and operating expenditure	1 881 332	2 722 584	3 866 860	2 522 854	-7,34%
Rental of buildings and associated costs	1 039 729	1 156 434	1 290 300	1 156 434	0,00%
Information, communication technology and data processing	157 925	595 000	862 000	505 626	-15,02%
Movable property and associated costs	159 602	178 000	318 200	178 000	0,00%
Current administrative expenditure	113 035	183 150	209 200	183 150	0,00%

EXPENDITURE	Payment appropriations ACER				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Postage / Telecommunications	52 827	89 000	104 600	89 000	0,00%
Meeting expenses	189 447	201 000	382 560	195 644	-2,66%
Running costs in connection with operational activities	96 175	115 000	195 000	115 000	0,00%
Information and publishing					
Studies	72 592	205 000	505 000	100 000	-51,22%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	2 221 022	3 438 623	5 627 125	5 260 675	52,99%
Meetings	202 502	303 000	366 450		-100%
REMIT operations	1 893 818	2 800 000	4 630 075	4 630 075	65,36%
Translation expenses	118 095	217 123	513 600	513 600	136,55%
Website, information and publication	6 607	118 500	117 000	117 000	-1,27%
TOTAL	13 134 923	16 868 810	21 434 793	19 548 810	15,89%

3.2 Financial Resources (Fees and charges)

3.2.1 Revenues (Fees and charges)

3.2.1.1 General revenues (Fees and charges)

REVENUES	General revenues (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES			4 730 075	4 730 075	100%
2 EU CONTRIBUTION					
<i>- Of which assigned revenues deriving from previous years' surpluses</i>					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
<i>- Of which EEA/EFTA (excl. Switzerland)</i>					
<i>- Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
<i>- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL			4 730 075	4 730 075	100%

3.2.1.2 Additional EU funding: contribution, grant and service level agreements (Fees and charges)

REVENUES	Additional EU funding: contribution, grant and service level agreements (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2.2 Expenditure (Fees and charges)

3.2.2.1 Commitment appropriations (Fees and charges)

EXPENDITURE	Commitment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure					
Salaries & allowances					
- Of which establishment plan posts					
- Of which external personnel					
Expenditure relating to Staff recruitment					
Employer's pension contributions					
Mission expenses					
Socio-medical infrastructure					
Training					
External Services					
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure			100 000	100 000	100%
Rental of buildings and associated costs					
Information, communication technology and data processing					
Movable property and associated costs					
Current administrative expenditure					
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies			100 000	100 000	100%
Other infrastructure and operating					

EXPENDITURE	Commitment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
expenditure					
Title 3 - Operational expenditure			4 630 075	4 630 075	100%
Meetings					
REMIT operations			4 630 075	4 630 075	100%
Translation expenses					
Website, information and publication					
TOTAL			4 730 075	4 730 075	100%

3.2.2.2 Payment appropriations (Fees and charges)

EXPENDITURE	Payment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure					
Salaries & allowances					
- Of which establishment plan posts					
- Of which external personnel					
Expenditure relating to Staff recruitment					
Employer's pension contributions					
Mission expenses					
Socio-medical infrastructure					
Training					
External Services					
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure			100 000	100 000	100%
Rental of buildings and associated costs					
Information, communication technology and data processing					
Movable property and associated costs					
Current administrative expenditure					
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies			100 000	100 000	100%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure			4 630 075	4 630 075	100%

EXPENDITURE	Payment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Meetings					
REMIT operations			4 630 075	4 630 075	100%
Translation expenses					
Website, information and publication					
TOTAL			4 730 075	4 730 075	100%

3.2.3 Budget Outturn (Fees and charges)

N/A.

3.3 Financial Resources (EU Contribution)

3.3.1 Revenues (EU Contribution)

3.3.1.1 General revenues (EU Contribution)

REVENUES	General revenues (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	16 066 970	16 470 000	16 309 983	14 434 363	-12,36%
- Of which assigned revenues deriving from previous years' surpluses	528 883	192 025	198 348	198 348	3,29%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)		398 810	394 735	384 372	-3,62%
- Of which EEA/EFTA (excl. Switzerland)		398 810	394 735	384 372	-3,62%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	16 066 970	16 868 810	16 704 718	14 818 735	-12,15%

3.3.1.2 Additional EU funding: contribution, grant and service level agreements (EU Contribution)

REVENUES	Additional EU funding: contribution, grant and service level agreements (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					

REVENUES	Additional EU funding: contribution, grant and service level agreements (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.3.2 Expenditure (EU Contribution)

3.3.2.1 Commitment appropriations (EU Contribution)

EXPENDITURE	Commitment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	9 247 271	10 707 603	11 940 808	11 765 281	9,88%
Salaries & allowances	8 242 520	9 602 155	10 580 284	10 580 284	10,19%
- Of which establishment plan posts	6 600 629	7 486 325	8 102 164	8 102 164	8,23%
- Of which external personnel	1 641 891	2 115 830	2 478 120	2 478 120	17,12%
Expenditure relating to Staff recruitment	38 093	33 600	72 000	72 000	114,29%
Employer's pension contributions					
Mission expenses	94 830	100 000	135 000	100 000	0,00%
Socio-medical infrastructure	40 470	24 635	66 500	66 500	169,94%
Training	110 360	192 857	273 984	198 857	3,11%
External Services	541 491	526 256	433 190	433 190	-17,68%
Receptions, events and representation	16 322	16 500	16 500	16 500	0,00%
Social welfare	21 900	27 000	113 350	113 350	319,81%
Other Staff related expenditure	141 285	184 600	250 000	184 600	0,00%
Title 2 - Infrastructure and operating expenditure	2 711 966	2 722 584	3 766 860	2 422 854	-11,01%
Rental of buildings and associated costs	1 113 846	1 156 434	1 290 300	1 156 434	0,00%
Information, communication technology and data processing	555 553	595 000	862 000	505 626	-15,02%
Movable property and associated costs	166 470	178 000	318 200	178 000	0,00%
Current administrative expenditure	158 929	183 150	209 200	183 150	0,00%
Postage / Telecommunications	85 500	89 000	104 600	89 000	0,00%
Meeting expenses	271 439	201 000	382 560	195 644	-2,66%
Running costs in connection with operational activities	140 435	115 000	195 000	115 000	0,00%
Information and publishing					
Studies	219 794	205 000	405 000		-100%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	4 107 733	3 438 623	997 050	630 600	-81,66%
Meetings	183 252	303 000	366 450		-100%

EXPENDITURE	Commitment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
REMIT operations	3 618 501	2 800 000			-100%
Translation expenses	179 462	217 123	513 600	513 600	136,55%
Website, information and publication	126 518	118 500	117 000	117 000	-1,27%
TOTAL	16 066 970	16 868 810	16 704 718	14 818 735	-12,15%

3.3.2.2 Payment appropriations (EU Contribution)

EXPENDITURE	Payment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	9 032 569	10 707 603	11 940 808	11 765 281	9,88%
Salaries & allowances	8 144 370	9 602 155	10 580 284	10 580 284	10,19%
- Of which establishment plan posts	6 502 479	7 486 325	8 102 164	8 102 164	8,23%
- Of which external personnel	1 641 891	2 115 830	2 478 120	2 478 120	17,12%
Expenditure relating to Staff recruitment	32 425	33 600	72 000	72 000	114,29%
Employer's pension contributions					
Mission expenses	93 070	100 000	135 000	100 000	0,00%
Socio-medical infrastructure	20 425	24 635	66 500	66 500	169,94%
Training	82 783	192 857	273 984	198 857	3,11%
External Services	521 122	526 256	433 190	433 190	-17,68%
Receptions, events and representation	15 623	16 500	16 500	16 500	0,00%
Social welfare	16 465	27 000	113 350	113 350	319,81%
Other Staff related expenditure	106 286	184 600	250 000	184 600	0,00%
Title 2 - Infrastructure and operating expenditure	1 881 332	2 722 584	3 766 860	2 422 854	-11,01%
Rental of buildings and associated costs	1 039 729	1 156 434	1 290 300	1 156 434	0,00%
Information, communication technology and data processing	157 925	595 000	862 000	505 626	-15,02%
Movable property and associated costs	159 602	178 000	318 200	178 000	0,00%
Current administrative expenditure	113 035	183 150	209 200	183 150	0,00%
Postage / Telecommunications	52 827	89 000	104 600	89 000	0,00%
Meeting expenses	189 447	201 000	382 560	195 644	-2,66%
Running costs in connection with operational activities	96 175	115 000	195 000	115 000	0,00%
Information and publishing					
Studies	72 592	205 000	405 000		-100%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	2 221 022	3 438 623	997 050	630 600	-81,66%
Meetings	202 502	303 000	366 450		-100%
REMIT operations	1 893 818	2 800 000			-100%
Translation expenses	118 095	217 123	513 600	513 600	136,55%

EXPENDITURE	Payment appropriations (EU Contribution)				VAR 2021/2020 (%)
	Executed Budget 2019	Budget 2020	Draft Budget 2021		
			Agency request	Budget forecast	
Website, information and publication	6 607	118 500	117 000	117 000	-1,27%
TOTAL	13 134 923	16 868 810	16 704 718	14 818 735	-12,15%

3.3.3 Budget Outturn (EU Contribution)

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 198,348.47.

4 Justification of needs

Commission assessment

Human Resources

The Commission notes the Agency request for additional Human Resources following the setting up of the fee-collecting mechanism under Regulation 1227/2001 (REMIT). The Commission therefore supports an increase with 3 CA.

Financial Resources

The Commission is of the opinion that in the context of the European Green Deal it is essential to ensure that the European energy market is fully integrated, interconnected and digitalised (cf. COM(2019) 640 final). With the new electricity market design under the Clean Energy Package which entered into force in 2019, ACER has already been given considerable new tasks. The new possibility to levy fees for costs of ACER tasks under Regulation 1227/2001 (REMIT) allows to moderately increase the total budget of ACER (especially to improve ACER's implementation of REMIT) without causing additional burden to the EU taxpayer.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

4.1.1.1 Number of staff requested (Fees and charges)

Over the next years the Agency is facing important challenges in the implementation of the REMIT fees and the Network Codes and the TEN-E Regulation, together with the need of strongly reinforcing its communication and outreach efforts to the benefit of a better cooperation with stakeholders. For this purpose, the Agency envisages a very substantial recalibration of its request for human resources.

The proposed new approach does not require that all the requested posts (14) would need to be financed by the EU subsidy, as 5 posts are proposed to be covered under the Fees model, thus addressing the resource gap of the Agency as far as this gap concerns REMIT implementation efforts and alleviates the "pressure" on the EU subsidy. The 5 posts to be covered under the Fees model are: 3 CA (FG IV) for Fees management, 1 TA (AD5) Market surveillance officer, and 1 TA (AD5) Conduct activity officer.

4.1.1.2 Number of staff requested (EU Contribution)

Under the EU subsidy, the Agency is requesting 9 additional posts: 1 AD7 Stakholder/Communications officer, 1 AD7 REMIT Policy officer, 1 AD 5 Gas Network Codes Officer, and 6 CA FG III to replace interim staff performing the function of assistants to the Director and Heads of Department.

Agency's strategy for achieving efficiency gains

As a decentralised agency, ACER is regularly re-assessing, optimising and streamlining its support functions and administrative processes.

The contribution of ACER to the Energy Union Strategy, safeguarding the security of gas supply, the European Green Deal and the UN sustainable development goals in order to deliver benefits to EU energy consumers

While focusing on its legal mandate and tasks allocated to it since its establishment, the Agency aims to contribute, from a regulatory perspective, to the implementation of the European Union's Green Deal and the broader energy and decarbonisation objectives set at political level. A large share of its activities already contribute, directly or indirectly, to cost efficient solutions for Member States and consumers, to building faith in increased mutual reliance among key actors in the energy market and ultimately to the EU's goal of becoming the world's first climate-neutral continent.

While the Agency is an independent body, it is fully committed to the **European Green Deal**, with a fully-integrated internal energy market in which energy should flow freely across the EU - without technical or regulatory barriers.

4.1.2 Vacancy rate as of end 2019

4.1.2.1 Vacancy rate as of end 2019 (Fees and charges)

4.1.2.2 Vacancy rate as of end 2019 (EU Contribution)

At the end of 2019 the vacancy rate for the Agency's temporary agents was 0.00% with all posts occupied.

4.1.3 Standard abatement ('abatement forfaitaire') applied

4.1.3.1 Standard abatement ('abatement forfaitaire') applied (Fees and charges)

For the 2021 budgetary year it is estimated that all recruitment procedures started during 2020 would be finalised and the occupancy rate would be 100% at the beginning of the year.

4.1.3.2 Standard abatement ('abatement forfaitaire') applied (EU Contribution)

For the 2021 budgetary year it is estimated that all recruitment procedures started during 2020 would be finalised and the occupancy rate would be 100% at the beginning of the year.

4.1.4 Salary assumption for calculating salary line (% applied)

4.1.4.1 Salary assumption for calculating salary line (% applied) (Fees and charges)

The Agency used for the budgetary year 2021 a 2.5% increase in salaries due to indexation and correction coefficient for Slovenia.

4.1.4.2 Salary assumption for calculating salary line (% applied) (EU Contribution)

The Agency used for the budgetary year 2021 a 2.5% increase in salaries due to indexation and correction coefficient for Slovenia.

4.1.5 Correction coefficient used

4.1.5.1 Correction coefficient used (Fees and charges)

Correction coefficient for Slovenia is at 86.40%

4.1.5.2 Correction coefficient used (EU Contribution)

Correction coefficient for Slovenia is at 86.40%

4.1.6 Exchange rate used (if applicable)

4.1.6.1 Exchange rate used (if applicable) (Fees and charges)

4.1.6.2 Exchange rate used (if applicable) (EU Contribution)

4.2 Financial Resources - Agency request

4.2.1 Title 1

4.2.1.1 Title 1 (Fees and charges)

The presented budget request for the year 2021 assumes that the Agency will be collecting fees to cover for the funding gap between its request and the proposed funding indicated in the 2021- 2027 multiannual financial framework.

The Agency intends to cover the following expenses from the fees: (i) the REMIT related IT expenditure, (ii) and related expenditure with staff employed within the Market Integrity and Transparency and Market Surveillance and Conduct departments.

Taking into account the uncertainties deriving from the implementation of a fees model in the first year and the unknown market reaction to it, the Agency requests the staff related appropriations to be covered by the EU contribution until the fees collection process becomes stable.

4.2.1.2 Title 1 (EU Contribution)

Compared to 2020, there is a 11.52% increase in financial resources of Title 1 that are required to be covered by subsidy due to the additional human resources requested to ensure the smooth operations of the Agency. As mentioned above, due to uncertainties not under the control of the Agency, the first year of the fees model implementation could lead to fluctuations in income that would jeopardise the Agency ability to remunerate its staff. In order to minimise the risks involved the Agency is asking for the coverage of its entire staff costs from the subsidy in the first year of fees model implementation. Any surplus recorded on the balance between collected fees and subsidy will be returned to the Commission.

4.2.2 Title 2

4.2.2.1 Title 2 (Fees and charges)

The requested funding relates to specialised studies for the revision of enterprise architecture in REMIT domain; possibility of cloud migration of REMIT IT system; further evolution of data sharing mechanisms to better fit the needs of NRAs, financial authorities and other EU bodies.

4.2.2.2 Title 2 (EU Contribution)

The requested additional resources under Title 2 mainly relate to additional overheads due to an increase in the number of staff, the agreed price indexation of the rented office space; additional studies envisaged in the fields of electricity, gas and market monitoring, external development of IT applications, gradual replacement of IT infrastructure, and maintenance of the IT network.

The current central data storage of the Agency needs to be replaced as the maintenance for it expires and will no longer be provided by the contractor. The Skyscraper hosting platform needs to go live in 2021.

There is also a significant increase in the cost and number of specialised consultancy and studies that are required to be performed (e.g. Gas congestion report; calculation of indicators for the congestion report; system development and tools maintenance in the Gas area of activity; Gas system modelling and system modelling capabilities; consultancy to ensure the conversion of XML collected data; IT consultancy to maintain and update the code for processing data and performing calculations in Python; update the data collection process from the ENTSO-E's transparency platform; consultancy to define the methodologies for market monitoring aspects as required by CEP; etc.).

4.2.3 Title 3

4.2.3.1 Title 3 (Fees and charges)

In 2021, ACER REMIT IT expenditure is expected to be funded by fees charged to registered reporting parties according to Article 32(1)(b) of the Regulation (EU) 2019/942. All REMIT IT expenditure for the Agency's REMIT Information Systems (ARIS) is for collecting, handling, processing and analysing of information reported by market participants or by entities reporting on their behalf pursuant to Article 8 of REMIT.

The expected REMIT-related IT budget needs for 2021 is EUR 4.6 million.

4.2.3.2 Title 3 (EU Contribution)

There is a sharp decrease in the subsidy requested for Title 3 in 2021 as compared to the approved subsidy for the year 2020, mainly due to the expected coverage of the Title's expenditure by fees.

The only section that sees a significant increase in 2021 relates to the cost of translations based on the requirement to have the Agency's opinions translated in some EU official languages for which a waiver may not be obtained.

4.3 Ad hoc grants and delegation agreements

4.3.1 Ad hoc grants and delegation agreements (Fees and charges)

4.3.2 Ad hoc grants and delegation agreements (EU Contribution)

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	TR3, multi-tenant office building	Trg Republike 3, 1000 Ljubljana, Slovenia	3 247,69	679,29	3 926,98	794 379	01/02/2019 31/01/2024	Rent	Not applicable	
TOTAL			3 247,69	679,29	3 926,98	794 379				

5.1.2 Current building(s) Other comments

5.1.3 Building projects in the planning phase

The annual rent includes also the rent for 66 parking spaces as follows: rent for office premises amounts to EUR 656 434 and parking amounts to EUR 137 944.80 per year.

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 European schools

In 2018 the Slovenian Government set up the Accredited European School of Ljubljana (AES) with entry grades at the P1 and P2 levels (corresponding to Grade 1 and 2 of Elementary School). The accreditation process was finalised with the decision of the Board of Governors of the European Schools, in April 2019. The financial agreement with the European Commission was signed in the course of fall 2019. Since for the time-being the AES only offers classes at the P1-P5 levels, the Administrative Board adopted Decision AB no 5/2018 of 7 June 2018 establishing measures to support the staff of the Agency with regard to kindergarten and school fees. As per specific provisions of the decision, the Agency covers kindergarten and school fees for each eligible child, exceeding the sum of the allowances received by staff member, as per the Internal Commission Directive (Conclusion No 257/09 revised) and under the provisions of the Staff Regulations. Financial contribution, granted by the Agency, is paid directly to the schools kindergarten on the basis of concluded service agreements.

5.3 Evaluation

The Agency has so far been subject to one external evaluation from the Commission, as foreseen in the Founding Regulation (FR), in 2014. The recast FR foresees that by 5 July 2024, and every five years thereafter, the Commission, with the assistance of an independent external expert, shall carry out an evaluation to assess ACER's performance in relation to its objectives, mandate and tasks. The Agency has an internal monitoring system based on a 'traffic lights' approach through which Key Performance Indicators - KPIs (see below) are monitored. The absorption of the Agency's budget is monitored through weekly reports providing an overview of both commitments and payments.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
<ul style="list-style-type: none"> - Inviolability of premises and archives - Facilitations for communication Security - Direct exemption from taxes 	<ul style="list-style-type: none"> - Staff immunity from Slovenian jurisdiction regarding acts carried out in the official capacity - Exemption from national taxes on salaries and wages - Staff exemption from import taxes and duties on personal effects in the first year - Exemption from social security contribution towards Slovenian schemes - Director and Heads of Departments holding Diplomatic status 	<p>The government of Slovenia established a European School of Ljubljana (ESL) with two language sections – EN and SI for P1 and P2 grades. The Agency will cover the school fees to the ESL once a financing agreement is signed with the European Commission after the accreditation of the ESL.</p>

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
<p>The Agency was established by Regulation (EC) No 1211/2009 of the European Parliament (EP) and of the Council of 25 November 2009 establishing the Body of European Regulators for Electronic Communications (BEREC) and the Office¹.</p> <p>Regulation (EC) No 2018/1971 of the European Parliament and of the Council of 11 December 2018 establishing the BEREC and the Agency for Support for BEREC (OJ L 321, 17.12.2018, p. 1) repealed Regulation (EC) No 1211/2009 and strengthen the mandate of the Agency. To reflect the transformation of the support Office established in 2009 into a fully fledged decentralised Agency the legislator has decided that the new official name of the Office should be ‘Agency for Support for BEREC’. The designation ‘BEREC Office’ should be used as the Agency’s short name.</p>	<p>25/11/2009</p> <p>11/12/2018</p>	<p>According to Articles 5, 39, 40, 41 and 46 of the founding Regulation, the Agency has the following tasks: to provide professional and administrative support to BEREC, especially in fulfilling its regulatory tasks as defined in Article 4 of the Regulation; to collect and ensure exchange of information from NRAs, EC and other competent bodies (including in a standard reporting format) in relation to the regulatory tasks assigned to BEREC; to produce regular draft reports on specific aspects of the European e-communications market, such as roaming and benchmarking reports; to reuse any relevant existing publicly available information to avoid duplication of reporting obligations by applying appropriate means; to disseminate regulatory best practices among NRAs; to assist BEREC in establishing and maintaining registries and databases, such as for general authorisations, numbering resources, etc.; to establish and manage an information and communication system with at least the following functions:</p> <ol style="list-style-type: none"> a) a common platform for the exchange of information, between BEREC, the EC and NRAs; b) a dedicated interface for requests for information and notification of those requests identified in Article 40; c) a platform for early identification of the need for coordination between NRAs. <ul style="list-style-type: none"> • to assist in the work of the Board of Regulators (BoR, incl. by content-related support; to assist in setting up BEREC working groups (WGs), incl. by contributing to the regulatory work of those groups; to adopt and apply security rules equivalent to the EC’s Decisions (EU, Euratom) 2015/443 and (EU, Euratom) 2015/444 for protecting EU classified information and sensitive non-classified information. to ensure compliance with Regulation No 1 determining the languages to be used by the European Economic Community; to carry out other tasks assigned to it by the founding Regulation or by other legal acts of the Union.

1.2 Seat

Riga, Latvia

1.3 Budget Line

02 10 05 : Body of European Regulators for Electronic Communications (BEREC) — Office

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	13	11	84,62%	13	13

¹ No longer in force, Date of end of validity: 19/12/2018; Repealed by [32018R1971](#)

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Assistants (AST)	3	3	100,00%	3	3
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	16	14	87,50%	16	16
Contract Agents (CA)	13	13	100,00%	13	13
Seconded National Experts (SNE)	8	7	87,50%	6	6
TOTAL STAFF	37	34	91,89%	35	35

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	7 140 402	7 282 800
Other Revenue	93 251	93 251
TOTAL REVENUES	7 233 653	7 376 051

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	3 357 221	3 357 221	3 499 619	3 499 619
Title 2 - Infrastructure and operating expenditure	1 070 440	1 070 440	1 070 440	1 070 440
Title 3 - Operational expenditure	2 805 992	2 805 992	2 805 992	2 805 992
TOTAL EXPENDITURE	7 233 653	7 233 653	7 376 051	7 376 051

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019		2020	2021	
	Authorised Budget	Actually filled as of 31/12/2019	Authorised Budget	Request of the Agency	Draft Budget Request

	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1		1		1		1		1
AD 13										
AD 12										
AD 11		1				1		1		1
AD 10		1		1		2		3		2
AD 9		2		1		2		3		2
AD 8		1		3		2		2		2
AD 7		4				2		1		2
AD 6		2		5		2		5		2
AD 5		1				1		5		1
AD TOTAL		13		11		13		21		13
AST 11										
AST 10										
AST 9										
AST 8										
AST 7										
AST 6		1				1		2		1
AST 5		1		1		1		1		1
AST 4		1		1		1				1
AST 3				1						
AST 2										
AST 1										
AST TOTAL		3		3		3		3		3
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		16		14		16		24		16
GRAND TOTAL	16		14		16		24		16	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	10	10	10	10
Function Group III	2	1	2	2
Function Group II	1	2	1	1
Function Group I				
TOTAL	13	13	13	13

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	8	7	6	6

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	5 701 000	7 140 402	7 910 100	7 282 800	1,99%
- Of which assigned revenues deriving from previous years' surpluses	23 335	23 402	32 419	32 419	38,53%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)		93 251	93 251	93 251	0,00%
- Of which EEA/EFTA (excl. Switzerland)					
- Of which candidate countries		93 251	93 251	93 251	0,00%
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	5 701 000	7 233 653	8 003 351	7 376 051	1,97%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	2 913 258	3 357 221	3 829 025	3 499 619	4,24%
Salaries & allowances	1 906 222	2 437 771	2 882 426	2 580 169	5,84%
- Of which establishment plan posts	1 237 121	1 338 442	1 525 897	1 338 442	0,00%
- Of which external personnel	669 101	1 099 329	1 356 529	1 241 727	12,95%
Expenditure relating to Staff recruitment	18 173	30 000	25 000	30 000	0,00%
Employer's pension contributions	60 733	80 000	82 000	80 000	0,00%
Mission expenses	208 726	249 000	261 186	249 000	0,00%
Socio-medical infrastructure	9 000	12 000	14 500	12 000	0,00%
Training	88 726	90 000	93 000	90 000	0,00%
External Services	603 618	438 250	449 913	438 250	0,00%
Receptions, events and representation	18 060	20 200	21 000	20 200	0,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	834 742	1 070 440	1 177 840	1 070 440	0,00%
Rental of buildings and associated costs	179 196	232 565	401 935	232 565	0,00%
Information, communication technology and data processing	404 000	423 225	410 045	423 225	0,00%
Movable property and associated costs	55 216	55 200	56 000	55 200	0,00%
Current administrative expenditure	182 769	269 450	225 860	269 450	0,00%
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities	13 561	22 000	15 000	22 000	0,00%
Information and publishing		68 000	69 000	68 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	1 953 000	2 805 992	2 996 486	2 805 992	0,00%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Support to implementation of BEREK WP	450 000	920 200	950 000	920 200	0,00%
Other support activities to BEREK and NRAs	1 503 000	1 885 792	2 046 486	1 885 792	0,00%
TOTAL	5 701 000	7 233 653	8 003 351	7 376 051	1,97%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	2 913 258	3 357 221	3 829 024	3 499 619	4,24%
Salaries & allowances	1 906 222	2 437 771	2 882 426	2 580 169	5,84%
- Of which establishment plan posts	1 237 121	1 338 442	1 525 897	1 338 442	0,00%
- Of which external personnel	669 101	1 099 329	1 356 529	1 241 727	12,95%
Expenditure relating to Staff recruitment	18 172	30 000	25 000	30 000	0,00%
Employer's pension contributions	60 734	80 000	82 000	80 000	0,00%
Mission expenses	208 726	249 000	261 185	249 000	0,00%
Socio-medical infrastructure	9 000	12 000	14 500	12 000	0,00%
Training	88 726	90 000	93 000	90 000	0,00%
External Services	603 618	438 250	449 913	438 250	0,00%
Receptions, events and representation	18 060	20 200	21 000	20 200	0,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	834 742	1 070 440	1 177 840	1 070 440	0,00%
Rental of buildings and associated costs	179 196	232 565	401 935	232 565	0,00%
Information, communication technology and data processing	404 001	423 225	410 045	423 225	0,00%
Movable property and associated costs	55 216	55 200	56 000	55 200	0,00%
Current administrative expenditure	182 768	269 450	225 860	269 450	0,00%
Postage / Telecommunications					
Meeting expenses	13 561	22 000	15 000	22 000	0,00%
Running costs in connection with operational activities					
Information and publishing		68 000	69 000	68 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	1 953 000	2 805 992	2 996 486	2 805 992	0,00%
Support to implementation of BEREK WP	450 000	920 200	950 000	920 200	0,00%
Other support activities to BEREK and NRAs	1 503 000	1 885 792	2 046 486	1 885 792	0,00%
TOTAL	5 701 000	7 233 653	8 003 350	7 376 051	1,97%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 32 419.13

4 Justification of needs

Commission assessment

Human Resources

The human resources proposed are the same as in the approved budget 2020.

Financial Resources

The financial resources proposed are based on the approved budget 2020 with a 2% indexation.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

According to the new founding Regulation (EU) 2018/1971, which entered into force on 20 December 2018, the BEREC Office has a new enhanced mandate, which included new tasks as well as growth of existing tasks. These tasks are expected to be implemented by the end of 2020, with the exception of those related to processing of classified information. No new tasks are expected to be assigned to the Agency in the period 2021-2023, however growth of existing tasks is foreseen in several areas.

Since 2019 the BEREC Office operates with 16 TA posts in the establishment plan, which the Agency considers below the number of posts that are actually needed. The missing capacities are covered using external staff (CAs, SNEs) and structural service providers. To be able to address the challenges, a more balanced composition of staffing is envisaged, while keeping the total level as reached in 2020. At least 50% of the staff should be included in the establishment plan to perform tasks that are expected to be executed by Temporary Agents (TAs). Therefore, the current composition of 16 TAs + 22 CAs + 9 SNEs = 47 is expected to be changed to 24 TAs + 14 CAs + 9 SNEs = 47.

With 8 additional establishment plan posts, the following CA profiles could be converted to TAs (1 Legal Officer and Data Protection Officer, 1 HR officer, 1 Budgeting and reporting officer, 1 Document management officer and 4 Programme managers).

4.1.2 Vacancy rate as of end 2019

Administrators (AD): 15.38%, Assistants (AST): 0.00% Total Establishment Plan: 12.50%

Contract Agents (CA): 27.78%, Seconded National Experts (SNE): -16.67%

TOTAL STAFF: 15.00%

4.1.3 Standard abatement ('abatement forfaitaire') applied

4.1.4 Salary assumption for calculating salary line (% applied)

4.1.5 Correction coefficient used

78.6% (as of 01.07.2019)

4.1.6 Exchange rate used (if applicable)

4.2 Financial Resources - Agency request

4.2.1 Title 1

The amounts requested in Title 1 are calculated taking into account: Staff number 2020 (no new staff requests for 2021), planned number of trainees in 2021 and associated costs as per total estimated number of staff.

The appropriations under Chapter 11 are calculated taking into account the potential impact of indexation and changes in the correction coefficient, adjustments of the automatic step and possible reclassifications. The increase in the chapter is due to the fact that budget 2021 is calculated under assumption that in 2021 Agency will be fully staffed.

The expenditure on Chapter 12 is decreased in comparison to 2020, under assumption that most of the recruitments are to be done and concluded before 2021.

The budget for missions for 2021 and onwards in Chapter 13 is slightly increased to take into account the inflation. The increase in Chapter 14 takes into account increased number of staff hence the potential increase in number of sick leave certificates, annual medical checks and the mandatory pre-recruitment medical checks. Chapter 15 includes planned expenses for trainings and is kept at the level of 2020, only taking into account possible inflation.

The BERIC Office expects to work in fully staffed situation and will use interim staff mainly for addressing heavy workload or temporary replacement of staff absence for long period of time. Consequently, the planned budget for interim staff under expenditure for has significantly decreased in comparison to all the previous years. The increase in Chapter 16 assumes that there might be increase in use of multi-lingual tuition for the children of the staff.

4.2.2 Title 2

The projected expenditure under Title 2 is kept widely at the level of 2020 with slight increases to reflect inflation and the increases due to the requested growth staff.

Chapter 20 Rent of building and associated costs reflects the uncertainty of the rental costs due to the on-going negotiations with the Latvian authorities on the new Headquarters agreement and different proposals tabled lately by the property management company in terms of rent and options to address the new needs of the Agency. Chapter 21 Data processing and telecommunications is decreased in comparison to 2020, since one-off ICT projects and purchases of new equipment of the 2020 are finalised/purchased. Chapters 22 (movable property and associated expenditure) and 24 (Non-operational media and public relations) are kept at the level of 2020.

Chapters 23 (Current administrative expenditure) and 25 (Non-operational meetings) decrease in comparison to 2020.

4.2.3 Title 3

The appropriations under Title 3 will be used for operational activities of the BERIC Office. The operational activities consist of the (i) financing of support to BERIC Working Groups (WGs); (ii) financing and support to high-level meetings and Board's secretariat, including support and organisation of BERIC Chair and Vice-Chairs, Plenary and CN meetings and international events; (iii) financing BERIC Communication activities, including BERIC Communication Strategy and Plan; (iv) ICT support to BERIC including maintenance of the existing ICT tools and platforms as well as developing new on demand from BERIC; (v) Information gathering and distribution, including purchasing of data, studies and projects for BERIC; and (vi) organising training for the NRAs experts as well as for the BERIC WGs.

The appropriations planned for support to WGs reflects the actual spending observed in 2018 and 2019 and the estimated needs for the period 2021-2023. Considering the launch of measures for the implementation of the new Agency mandate in support to BERIC, resources of Title 3 also will be used for: (i) addressing public transparency and accountability obligations of BERIC; (ii) covering costs for update and maintenance of all BERIC IT tools and information and communication systems, such as BERICnet, BERIC website, etc.; (iii) maintenance and expansion (where needed) of the audio/video-conference systems; (iv) addressing the additional ICT projects requested by BERIC; and (v) providing any other support to BERIC and the NRAs, duly requested from the BERIC Office;

covering the expenditure for the Expert Networking Groups (ENGs) and the work of the experts from the participating NRAs in the work of BERIC.

4.3 Ad hoc grants and delegation agreements

N/A

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	building	14 Zigfrida Annas Meierovica boulevard, Riga, Latvia	1 062,2	53,8	1 116	74 509	Signed on 01/08/2011, effective until 31/07/2028 (with possibility of renewal).	Lease agreement amendment with State owned joint-stock company Valsts nekustamie īpašumi	Not applicable	
TOTAL			1 062,2	53,8	1 116	74 509				

5.1.2 Current building(s) Other comments

The premises have a total gross office space of 1,062.20 m² to be used by a total number of 67 persons (staff, trainees, interim workers and service providers workers on-site). The occupancy rate, measured as of 2020, exceeds the maximum acceptable capacity by 26.1 % compared to the requirements of the Commission Building Manual. Taking into account the increased number of people working at the BEREC Office, the enhanced mandate of the Agency and the staff growth already planned for the future, it is evident that more space is needed in order to ensure the required operational and working condition.

5.1.3 Building projects in the planning phase

N/A

5.1.4 Building projects submitted to the European Parliament and the Council

N/A

5.2 European Schools

Currently there is no European School in Latvia and no measures are put in place by the Host Member State to facilitate European schooling for BEREC Office staff pupils. The BEREC Office has adopted temporary provisions to support the children of the staff to attend international schools in Latvia providing tuition in English, French or German until the establishment of an accredited European School. Since 2010 negotiations are ongoing with the host State on exploring possibilities of establishing an accredited European School within the public school network in Latvia or within the private school network in accordance with the Convention defining the Statute of the European Schools and with the programmes of European schools.

5.3 Evaluation

In September 2016 the EC published an evaluation of the regulatory framework for electronic communications, which among others also contains a Screening of the BEREC Regulation (see annex VI). The screening was based on a study prepared by an external consultant (PricewaterhouseCoopers Luxembourg, PwC) and published by the EC in 2013, together with a Commission Staff Working Document and the outcome of the public consultation organised by the EC on the review of the EU regulatory framework for electronic communications.

The evaluation has concluded that the work carried out by BEREC and supported by the BEREC Office is relevant and has an impact on stakeholders. However, the evaluation questions the adequacy of the current governance structure. In particular, it is emphasised that the organisational structure of the BEREC Office is not in line with the Common Approach (CA) agreed between the EP, the Council and the EC. The role of the BEREC Office, which is limited to administrative and professional support, and its size (only 27 FTE posts), creates some inefficiency. The Office has to comply with the same resource-intensive procedures as much bigger Agencies and the professional support it provides to BEREC is still rather limited, as identified through experience and pointed out in the Evaluation Study. As pointed out in the Evaluation Study, it is also suggested that the BEREC Office could be better used, especially when supporting EWGs in their everyday work (see also comments under "effectiveness" and "coherence" of the EC SWD).

Finally, no performance indicators were included in the Working Programmes to allow for effective assessment of the results achieved in term of objectives, as pointed out in the Evaluation Study, in the EP's opinion on the Evaluation Report and by respondents to the Public Consultation, which has been rectified in the Annual and Multiannual Programming Document for 2017-2019.

5.4 Privileges and immunities

Agency privileges		Privileges granted to staff	Education / day care
		Protocol of privileges and immunities / diplomatic status	
In accordance with Art.23 of Regulation 1211/2009 of the European Parliament and of the Council establishing the Body of European Regulators for Electronic Communications (BEREC) and the Office, the Protocol on the privileges and immunities of the European Communities shall apply to the Office. In order to ensure practice implementation of the afore-mentioned Protocol on 24 February 2011 the BEREC Office and the Government of the Republic of Latvia signed a Seat Agreement, which further details the right and obligation of the BEREC Office staff and host Member State.			
Inviolability and Immunity			According to the Seat Agreement the Latvian Government has undertaken the responsibility jointly with the BEREC Office to find the best solution possible for schooling for the children of the BEREC Office staff. Currently there is no accredited European School in Latvia. The Latvian Government has committed itself to facilitate access to the existing private and public international schools for the children of the BEREC Office staff in English, French and German. In the absence of European schools in Riga the BEREC Office supports the provision of multilingual tuition for the children of the BEREC Office staff. Currently the BEREC Office has in place 3 agreements with Latvian schools with an international dimension.
The seat of the BEREC Office, irrespective of ownership, is inviolable	The BEREC Office staff is covered under the Protocol on the Privileges and Immunities of the EU and enjoy immunity from legal proceedings in respect of acts performed by them in their official capacity.		
The BEREC seat is exempt from search, requisition, confiscation or expropriation.	Together with their spouses and dependents of their families, not be subject to immigration restrictions or to formalities for the registration of aliens.		
The property and assets of BEREC Office cannot be subject to any administrative or legal measure of constraint, whether by executive, administrative, judicial or legislative action without the authorisation of the Court of Justice of the EU.	The Administrative Manager and the members of his/her family, who have not been nationals or permanent residents of Latvia before being employed by the BEREC Office, are accorded with the privileges and immunities, exemptions and facilities accorded to the heads of diplomatic missions and the members of their family in accordance with the Vienna Convention on Diplomatic Relations of 18 April 1961.		
Communications and transmission of all BEREC Office documents are treated in the same way as documents and communications of diplomatic missions.			
Exemption from taxes, duties, national, regional and municipal charges.			
The Agency is exempt from:	BEREC Office staff are exempt from:		
- all direct taxes on its assets, revenues and other property	Salaries, wages, emoluments, SNEs' allowances, retirement, invalidity and survivor's pensions paid by the BEREC Office or by the EU are exempted from national taxes.		
- all national, regional and municipal excise duties, sales charges and other taxes for substantial purchases for official use (e.g. for any amount above LVL 125); exemption from VAT, excise duty and other indirect taxes is provided by means of a tax refund.	The VAT included in the price of articles listed in an annex to the Seat Agreement, including 1 vehicle for personal use, acquired by the BEREC Office staff in the Latvia within 1 year from taking up their post in Latvia is reimbursed to the staff and SNEs provided that the single article price is not less than LVL 35. This rule is not applicable for nationals or permanent residents of Latvia.		
- imports and exports customs duties, taxes, prohibitions or restrictions on goods for official use, including vehicle and spare parts.	BEREC Office staff has the right to import free of duty and without prohibitions or restrictions, in respect of initial establishment, within 2 years of taking up their appointments within the BEREC Office and in maximum 2 shipments, furniture and personal effects, including vehicles purchased under market conditions. BEREC Office staff is entitled to export, after the date of cessation of functions at the BEREC Office, without prohibitions or restrictions, personal and household effects, including vehicles they use and which are in their possession.		

Agency privileges	Privileges granted to staff	
- vehicle exploitation tax for BEREC Office official vehicles registered under a special series.	The BEREC Office Administrative Manager is exempt from vehicle exploitation tax.	

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission / Tasks / Functions
Regulation (EC) No 460/2004 establishing the European Network and Information Security Agency	10/03/2004	This regulation, establishing ENISA, the European Network and Information Security Agency, has been repealed by Regulation 526/2013.
Regulation (EU) No 526/2013 of the European Parliament and of the Council, concerning the European Union Agency for Network and Information Security (ENISA) and repealing Regulation (EC) No 460/2004, OJ L165/41 of 18.6.2013	21/05/2013	The European Union Agency for Network and Information Security (ENISA) has been established in order to contribute to network and information security within the Union; to raise awareness of network and information security and to develop and promote a culture, of network and information security in society for the benefit of citizens, consumers, enterprises and public sector organisations in the Union, thus contributing to the establishment and proper functioning of the internal market.
Regulation (EU) 2019/881 of the European Parliament and of the Council of 17 April 2019 on ENISA (the European Union Agency for Cybersecurity) and on information and communications technology cybersecurity certification and repealing Regulation (EU) No 526/2013 (Cybersecurity Act)	07/06/2019	<p>ENISA shall carry out the tasks assigned to it under this Regulation for the purpose of achieving a high common level of cybersecurity across the Union, including by actively supporting Member States, Union institutions, bodies, offices and agencies in improving cybersecurity. ENISA shall act as a reference point for advice and expertise on cybersecurity for Union institutions, bodies, offices and agencies as well as for other relevant Union stakeholders.</p> <p>ENISA shall contribute to reducing the fragmentation of the internal market by carrying out the tasks assigned to it under this Regulation.</p> <p>ENISA shall carry out the tasks assigned to it by Union legal acts that set out measures for approximating Member State laws, regulations and administrative provisions which are related to cybersecurity.</p>

1.2 Seat

Athens, Greece

1.3 Budget Line

02 10 04 : European Union Agency for Cybersecurity (ENISA)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	43	37	86,05%	51	57
Assistants (AST)	16	14	87,50%	18	19
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	59	51	86,44%	69	76
Contract Agents (CA)	30	26	86,67%	30	30
Seconded National Experts (SNE)	6	4	66,67%	12	12
TOTAL STAFF	95	81	85,26%	111	118

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	20 646 000	22 248 000
Other Revenue	1 143 120	1 170 888
TOTAL REVENUES	21 789 120	23 418 888

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	12 041 487	12 041 487	12 640 812	12 640 812
Title 2 - Infrastructure and operating expenditure	2 986 000	2 986 000	3 374 971	3 374 971
Title 3 - Operational expenditure	6 761 633	6 761 633	7 403 105	7 403 105
TOTAL EXPENDITURE	21 789 120	21 789 120	23 418 888	23 418 888

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1				1		1		1
AD 14				1						
AD 13								1		1
AD 12		6		6		6		5		5
AD 11								2		2
AD 10		5		3		5		3		3
AD 9		12		4		12		12		12
AD 8		19		10		21		22		21
AD 7				6		3		8		8
AD 6				6		3		3		4
AD 5				1						
AD TOTAL		43		37		51		57		57
AST 11										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 10										
AST 9										
AST 8								1		1
AST 7		3		2		4		4		4
AST 6		7		2		8		8		8
AST 5		5		4		5		5		5
AST 4		1		4		1		1		1
AST 3				1						
AST 2				1						
AST 1										
AST TOTAL		16		14		18		19		19
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		59		51		69		76		76
GRAND TOTAL		59		51		69		76		76

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	28	17	28	28
Function Group III	2	8	2	2
Function Group II				
Function Group I		1		
TOTAL	30	26	30	30

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	6	4	12	12

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	15 910 000	20 646 000	22 248 000	22 248 000	7,76%
- Of which assigned revenues deriving from previous years' surpluses	85 535	110 505	579 113	579 113	424,06%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	382 952	503 120	530 888	530 888	5,52%
- Of which EEA/EFTA (excl. Switzerland)	382 952	503 120	530 888	530 888	5,52%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS	435 844	640 000	640 000	640 000	0,00%
5 ADMINISTRATIVE OPERATIONS	11 290	p.m.	p.m.		
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	16 740 086	21 789 120	23 418 888	23 418 888	7,48%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	7 458 310	12 041 487	12 640 812	12 640 812	4,98%
Salaries & allowances	5 627 276	10 181 000	8 684 182	8 684 182	-14,70%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
<i>- Of which establishment plan posts</i>	4 181 316	7 693 000	6 452 977	6 452 977	-16,12%
<i>- Of which external personnel</i>	1 445 960	2 488 000	2 231 205	2 231 205	-10,32%
Expenditure relating to Staff recruitment	254 762	445 000	407 952	407 952	-8,33%
Employer's pension contributions					
Mission expenses			1 200 000	1 200 000	100%
Socio-medical infrastructure	34 487	75 000	53 882	53 882	-28,16%
Training	187 713	175 000	280 182	280 182	60,10%
External Services	902 029	520 487	1 324 734	1 324 734	154,52%
Receptions, events and representation					
Social welfare	452 043	645 000	689 880	689 880	6,96%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	4 346 742	2 986 000	3 374 971	3 374 971	13,03%
Rental of buildings and associated costs	783 366	1 180 000	2 056 500	2 056 500	74,28%
Information, communication technology and data processing	3 436 156	1 531 000	996 471	996 471	-34,91%
Movable property and associated costs	39 841	87 000	137 000	137 000	57,47%
Current administrative expenditure	63 879	133 000	163 000	163 000	22,56%
Postage / Telecommunications	23 500	55 000	22 000	22 000	-60,00%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	4 402 318	6 761 633	7 403 105	7 403 105	9,49%
Activities related to meetings and missions	1 049 347	1 610 000	440 000	440 000	-72,67%
Horizontal Operational Activities	386 271	801 633	851 633	851 633	6,24%
Core Operational Activities	2 966 700	4 350 000	6 111 472	6 111 472	40,49%
TOTAL	16 207 370	21 789 120	23 418 888	23 418 888	7,48%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	7 458 310	12 041 487	12 640 812	12 640 812	4,98%
Salaries & allowances	5 627 276	10 181 000	8 684 182	8 684 182	-14,70%
<i>- Of which establishment plan posts</i>	4 181 316	7 693 000	6 452 977	6 452 977	-16,12%
<i>- Of which external personnel</i>	1 445 960	2 488 000	2 231 205	2 231 205	-10,32%
Expenditure relating to Staff recruitment	254 762	445 000	407 952	407 952	-8,33%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Employer's pension contributions					
Mission expenses			1 200 000	1 200 000	100%
Socio-medical infrastructure	34 487	75 000	53 882	53 882	-28,16%
Training	187 713	175 000	280 182	280 182	60,10%
External Services	902 029	520 487	1 324 734	1 324 734	154,52%
Receptions, events and representation					
Social welfare	452 043	645 000	689 880	689 880	6,96%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	4 346 742	2 986 000	3 374 971	3 374 971	13,03%
Rental of buildings and associated costs	783 366	1 180 000	2 056 500	2 056 500	74,28%
Information, communication technology and data processing	3 436 156	1 531 000	996 471	996 471	-34,91%
Movable property and associated costs	39 841	87 000	137 000	137 000	57,47%
Current administrative expenditure	63 879	133 000	163 000	163 000	22,56%
Postage / Telecommunications	23 500	55 000	22 000	22 000	-60,00%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	4 402 318	6 761 633	7 403 105	7 403 105	9,49%
Activities related to meetings and missions	1 049 347	1 610 000	440 000	440 000	-72,67%
Horizontal Operational Activities	386 271	801 633	851 633	851 633	6,24%
Core Operational Activities	2 966 700	4 350 000	6 111 472	6 111 472	40,49%
TOTAL	16 207 370	21 789 120	23 418 888	23 418 888	7,48%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 579 112,99

4 Justification of needs

Commission assessment

Human Resources

The human resources are in line with the LFS of the Proposal COM(2017)0477 and with the adopted budget for 2020.

Financial Resources

The financial resources are in line with the LFS of the Proposal COM(2017)0477.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

In accordance with the Proposal for a Regulation of the European Parliament and of the Council on ENISA, the "EU Cybersecurity Agency", and repealing Regulation (EU) 526/2013, and on Information and Communication Technology cybersecurity certification ("Cybersecurity Act") as submitted by the Commission on 13 September 2017, COM(2017) 477 final the number of TAs requested for 2021 is 76.

4.1.2 Vacancy rate as of end 2019

Establishment plan 51 posts filled out of 59 authorised, hence the vacancy rate is 13,56 %;

Overall (Establishment plan + CAs + SNEs) 81 posts filled out of 95 authorised, hence the vacancy rate is 14,74 %.

4.1.3 Standard abatement ('abatement forfaitaire') applied

N/A

4.1.4 Salary assumption for calculating salary line (% applied)

The figures from the Proposal for a Regulation of the European Parliament and of the Council on ENISA, the "EU Cybersecurity Agency", and repealing Regulation (EU) 526/2013, and on Information and Communication Technology cybersecurity certification ("Cybersecurity Act") as submitted by the Commission on 13 September 2017, COM(2017) 477 final were taken as basis for establishing draft budget 2021. Adjustments were made to reflect the current challenges, staffing situation and foresee future spending in the agency.

4.1.5 Correction coefficient used

At present the correction coefficient is 81,80 %.

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - Agency request

4.2.1 Title 1

Title 1 is intended to cover the costs related to the staff of the Agency, such as, staff in active employment (salaries and allowances), recruitment expenditure, socio-medical services, training and temporary assistance. Title 1 is expected to cover the annual salaries of the Establishment plan posts as well as the yearly salary adjustments, the effect of the country coefficient corrector for Greece, the career development and maturity of staff (reclassifications and steps awarded); expenditures related to other social welfare measures as well as missions and related travel costs. The increase in the number of staff will have an impact on the training expenditure. Therefore, an overall increase in Title 1 is necessary. Budget 2021 has been restructured to include mission expense (EUR 1,2 million) in Title 1 following a standard practise of EU bodies.

4.2.2 Title 2

Title 2 is intended to cover the costs related to infrastructure and operating expenditure such as rental of buildings and associated costs, movable property and associated costs, current administrative and ICT expenditure. Due to the increase in the number of staff and expansion of use of Athens' office to its full capacity, additional running costs are foreseen in rental of buildings and running costs. A possible cost for repairs, fixtures and fittings has been foreseen as the current rental contract of Athens premises expires on 31/12/2021 with no possible extension. Major ICT investments have been

made in 2019, however the increase in the number of staff will provide grounds for the increase in investments in equipment (PC and workstations/furniture).

Since 2013, the Greek Government decided to grant a subsidy covering the hosting needs of ENISA in Athens and Heraklion, for a maximum annual amount of EUR 640 000. The Agency settles the rent with the owners of the buildings.

4.2.3 Title 3

Title 3 appropriations are intended to finance the operational activities of ENISA as defined in its annual work programme and as foreseen in the Cybersecurity Act (Regulation (EU) 2019/881 of the European Parliament and of the Council of 17 April 2019 on ENISA (the European Union Agency for Cybersecurity) and on information and communications technology cybersecurity certification and repealing Regulation (EU) No 526/2013). New and redefined tasks in the CSA as well as new strategic approach towards internal working methods will result in a significant increase in appropriations allocated to the activities of Core Operational Department. Detailed information on activities is presented in the Single Programming Document 2021.

Activities related to meetings and missions have a significant decrease due to restructuring of mission expense under Title 1.

4.3 Ad hoc grants and delegation agreements

N/A

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA (in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Athens Office	Maroussi	2 036		2 036	316 444	31/12/2021	Rent	316444	
2	Athens Office East Wing	Maroussi	374		374	121 776	31/12/2021	Rent	121776	
3	Heraklion Office	Heraklion	706		706				0	
TOTAL			3 116		3 116	438 220				

5.1.2 Current building(s) Other comments

N/A

5.1.3 Building projects in the planning phase

N/A

5.1.4 Building projects submitted to the European Parliament and the Council

N/A

5.2 European Schools

A public school of European Education, type 2, was founded in 2005 by the Greek government in Heraklion, Crete for the children of ENISA staff, which are currently 5. There is no European School operating in Athens. Schooling requirements of the staff in Athens are met by service level agreements that have been concluded with 12 international schools, providing education to 32 children of ENISA staff.

5.3 Evaluation

The last evaluation of ENISA dates back to 2017 and confirmed the agency's objectives remain relevant and that the EU has to continue reinforcing high-level technical expertise on cybersecurity issues. Capacities should be built in the Member States to understand and respond to threats. The location split between Athens and Heraklion generates additional administrative costs. ENISA managed to make an impact in the vast field of network and information security, but it did not fully succeed in developing a strong brand name and gaining sufficient visibility to become recognised as "the" centre of expertise in Europe. The evaluation concluded that ENISA's added value had been primarily in the Agency's ability to enhance cooperation mainly between Member States, and especially with related network and information security communities (in particular between CSIRTs). There is no other actor at EU level that supports such broad scope of network and information security stakeholders. The Commission report on ENISA's evaluation was made public: <http://ec.europa.eu/transparency/regdoc/rep/1/2017/EN/COM-2017-478-F1-EN-MAIN-PART-1.PDF>

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
<p>In accordance with Art. 23 of Regulation (EU) No 2019/881 of the European Parliament and of the Council of 17 April 2019, the protocol No 7 on the privileges and immunities of the European Union annexed to the TEU and the TFEU applies to the Agency and its staff.</p> <p>The Greek Government and ENISA signed a Seat Agreement on 13 November 2018, which was ratified by Greek Law 4627/2019 on 25 September 2019 and is applicable to ENISA and its staff.</p>	<p>In accordance with Article 35 of Regulation (EU) No 2019/881 of the European Parliament and of the Council of 17 April 2019, the protocol No 7 on the privileges and immunities of the European Union annexed to the TEU and the TFEU applies to the Agency and its staff.</p> <p>The Greek Government and ENISA signed a Seat Agreement the 13 November 2018, which was ratified by Greek Law 4627/2019 on the 25 September 2019 and is applicable to ENISA and its staff.</p>	<p>A public School of European Education, Type 2, was founded in 2005 by the Greek government in Heraklion, Crete for the children of the staff of ENISA.</p> <p>There is no European School operating in Athens.</p>

1 Overview**1.1 Creation/modification (legal base)**

Decision	Date	Mission/ Tasks / Functions
Regulation (EU) No 1093/2010 of the European Parliament and the Council of 24 November 2010 establishing a European Supervisory Authority (European Banking Authority), amending Decision N 716/2009/EC and repealing Commission Decision 2009/78/EC	24/11/2010	The European Union decided to establish the European Banking Authority (EBA) with the objectives of preventing regulatory arbitrage, guaranteeing a level playing field, strengthening international supervisory coordination, promoting supervisory convergence and providing advice to the EU institutions in the areas of banking, payments and e-money regulation as well as on issues related to corporate governance, auditing and financial reporting.
Regulation (EU) No 1022/2013 of the European Parliament and of the Council of 22 October 2013 amending Regulation (EU) No 1093/2010 establishing a European Supervisory Authority (European Banking Authority) as regards the conferral of specific tasks on the European Central Bank pursuant to Council Regulation (EU) No 1024/2013.	22/10/2013	Added: together with the compilation of a European supervisory handbook.
Regulation (EU) 2019/2175 of the European Parliament and of the Council of 18 December 2019, amending Regulation (EU) No 1093/2010 establishing a European Supervisory Authority (European Banking Authority), Regulation (EU) No 1094/2010 establishing a European Supervisory Authority (European Insurance and Occupational Pensions Authority), Regulation (EU) No 1095/2010 establishing a European Supervisory Authority (European Securities and Markets Authority), Regulation (EU) No 600/2014 on markets in financial instruments, Regulation (EU) 2016/1011 on indices used as benchmarks in financial instruments and financial contracts or to measure the performance of investment funds, and Regulation (EU) 2015/847 on information accompanying transfers of funds.	18/12/2019	Modifications in the mandate and governance in order to ensure stronger and more integrated supervision across the EU.

1.2 Seat

Paris, France.

1.3 Budget Line

03 10 02 : European Banking Authority (EBA)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	144	138	95,83%	143	151
Assistants (AST)	11	6	54,55%	11	11

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	155	144	92,90%	154	162
Contract Agents (CA)	60	45	75,00%	47	50
Seconded National Experts (SNE)	17	19	111,76%	17	19
TOTAL STAFF	232	208	89,66%	218	231

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	19 076 140	18 506 940
Other Revenue	31 305 682	30 623 944
TOTAL REVENUES	50 381 822	49 130 884

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	29 647 145	29 647 145	32 067 639	32 067 639
Title 2 - Infrastructure and operating expenditure	13 573 768	13 573 768	7 741 402	7 741 402
Title 3 - Operational expenditure	7 160 909	7 160 909	9 321 843	9 321 843
TOTAL EXPENDITURE	50 381 822	50 381 822	49 130 884	49 130 884

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019		2020	2021	
	Authorised Budget	Actually filled as of 31/12/2019	Authorised Budget	Request of the Agency	Draft Budget Request

	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16		1				1		1		1
AD 15		1		2		1		1		1
AD 14		6		2		6		6		6
AD 13		2		1		2		2		2
AD 12		8		7		8		8		8
AD 11		12		6		12		12		12
AD 10		12		13		12		14		12
AD 9		22		17		22		25		22
AD 8		26		26		26		31		26
AD 7		19		32		19		27		21
AD 6		22		26		20		24		20
AD 5		13		6		14		10		20
AD TOTAL		144		138		143		161		151
AST 11										
AST 10										
AST 9										
AST 8										
AST 7										
AST 6		3				3		3		3
AST 5		4		3		4		3		4
AST 4		2		1		2				2
AST 3		1		2		1				1
AST 2		1				1				1
AST 1										
AST TOTAL		11		6		11		6		11
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		155		144		154		167		162
GRAND TOTAL	155		144		154		167		162	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	43	36	30	32
Function Group III	17	9	17	18
Function Group II				
Function Group I				
TOTAL	60	45	47	50

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	17	19	17	19

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	17 394 600	19 076 140	19 591 490	18 506 940	-2,98%
- <i>Of which assigned revenues deriving from previous years' surpluses</i>	729 344	102 422	555 866	410 833	301,12%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
- <i>Of which EEA/EFTA (excl. Switzerland)</i>					
- <i>Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS	27 932 300	31 305 682	32 300 766	30 623 944	-2,18%
5 ADMINISTRATIVE OPERATIONS					
- <i>Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	45 326 900	50 381 822	51 892 256	49 130 884	-2,48%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	31 473 197	29 647 145	33 453 609	32 067 639	8,16%
Salaries & allowances	24 997 499	25 368 528	28 983 919	27 760 068	9,43%
- Of which establishment plan posts	20 997 899	21 309 564	23 249 306	22 240 878	4,37%
- Of which external personnel	3 999 600	4 058 964	5 734 613	5 519 190	35,98%
Expenditure relating to Staff recruitment	2 941 264	693 497	621 179	548 829	-20,86%
Employer's pension contributions	1 755 144	1 882 934	2 102 428	2 023 156	7,45%
Mission expenses	167 486	85 866	95 876	95 876	11,66%
Socio-medical infrastructure	843 822	994 438	936 617	931 420	-6,34%
Training	183 029	407 173	438 110	438 110	7,60%
External Services	557 197	141 079	168 730	163 430	15,84%
Receptions, events and representation	27 756	73 630	106 750	106 750	44,98%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	7 223 357	13 573 768	7 885 149	7 741 402	-42,97%
Rental of buildings and associated costs	3 848 894	9 412 676	3 453 004	3 453 004	-63,32%
Information, communication technology and data processing	2 476 943	3 040 165	3 308 609	3 136 470	3,17%
Movable property and associated costs					
Current administrative expenditure	280 536	538 952	542 144	542 592	0,68%
Postage / Telecommunications	134 059	84 000	137 500	162 000	92,86%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing	482 925	497 975	443 892	447 336	-10,17%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	5 400 221	7 160 909	10 553 498	9 321 843	30,18%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
General Operat. Cost: seminar for NSA, meetings, missions, consultation services, publication	1 937 624	3 284 690	4 546 209	3 714 554	13,09%
Collection of information, developing and maintenance of a central European database					
IT solution assessment	3 462 597	3 876 219	6 007 289	5 607 289	44,66%
TOTAL	44 096 775	50 381 822	51 892 256	49 130 884	-2,48%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	31 473 197	29 647 145	33 453 609	32 067 639	8,16%
Salaries & allowances	24 997 499	25 368 528	28 983 919	27 760 068	9,43%
- Of which establishment plan posts	20 997 899	21 309 564	23 249 306	22 240 878	4,37%
- Of which external personnel	3 999 600	4 058 964	5 734 613	5 519 190	35,98%
Expenditure relating to Staff recruitment	2 941 264	693 497	621 179	548 829	-20,86%
Employer's pension contributions	1 755 144	1 882 934	2 102 428	2 023 156	7,45%
Mission expenses	167 486	85 866	95 876	95 876	11,66%
Socio-medical infrastructure	843 822	994 438	936 617	931 420	-6,34%
Training	183 029	407 173	438 110	438 110	7,60%
External Services	557 197	141 079	168 730	163 430	15,84%
Receptions, events and representation	27 756	73 630	106 750	106 750	44,98%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	7 223 357	13 573 768	7 885 149	7 741 402	-42,97%
Rental of buildings and associated costs	3 848 894	9 412 676	3 453 004	3 453 004	-63,32%
Information, communication technology and data processing	2 476 943	3 040 165	3 308 609	3 136 470	3,17%
Movable property and associated costs					
Current administrative expenditure	280 536	538 952	542 144	542 592	0,68%
Postage / Telecommunications	134 059	84 000	137 500	162 000	92,86%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing	482 925	497 975	443 892	447 336	-10,17%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	5 400 221	7 160 909	10 553 498	9 321 843	30,18%
General Operat. Cost: seminar for NSA, meetings, missions, consultation services, publication	1 937 624	3 284 690	4 546 209	3 714 554	13,09%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Collection of information, developing and maintenance of a central European database					
IT solution assessment	3 462 597	3 876 219	6 007 289	5 607 289	44,66%
TOTAL	44 096 775	50 381 822	51 892 256	49 130 884	-2,48%

3.3 Budget Outturn

The 2019 surplus is EUR 1 027 082 of which EUR 410 833 relates to the EU budget and should be reimbursed as assigned revenue.

4 Justification of needs

Commission assessment

Human Resources

The Commission requests 162 Establishment Plan posts for EBA in 2021. The additional 8 Establishment Plan posts over and above the 154 provided for in Budget 2020 are foreseen in the Legislative Financial Statements for the ESAs Review as revised to reflect the adopted modifications in EBA's tasks (of which 2 posts are for additional Anti-Money Laundering tasks and 6 for additional indirect supervision tasks).

EBA request for the permission to convert 5 of its ASTs posts to AD posts. Following the decisions of EBA's Management Board in 2016 - 2 AST posts and in 2018 another 3 AST posts have been used to recruit AD staff. EBA would like to have these 5 AST posts officially recognised as AD posts in its establishment plan. The Commission considers that this request is as yet insufficiently justified.

In addition to the above posts EBA requests another 5 AD posts to strengthen their work on the stress test for banks in light of the recommendations given in Special Report of the European Court of Auditors No 10/2019 "EU-wide stress tests for banks: unparalleled amount of information on banks provided but greater coordination and focus on risks needed". EBA's request does not specify the grade of these posts or the duration of the tasks that they would be needed for. At this time, justification is not fully sufficient for the Commission to support this request. It would seem to the Commission that if additional staff are needed, the needs may only be temporary as additional tasks would appear to be of limited duration. Furthermore, it could be the case that seconded national experts would be best placed to undertake such additional tasks.

The Commission supports EBA's request for 50 Contract Agent posts and 19 Seconded National Expert (SNE) posts for EBA in 2021. The additional 3 Contract Agent posts and 1 SNE post over and above those authorised under the 2020 budget are foreseen in the Legislative Financial Statements for the ESAs Review as revised to reflect modifications in tasks following agreement between the co-legislators (2 FGIV Contract Agents for anti-Money Laundering tasks; 1 FGIII Contract Agents and 1 SNE for additional indirect supervision tasks resulting from the ESAs Review).

The Commission would support EBA having an extra SNE (not least taking into account the additional tasks for the EU-wide stress test for banks).

In addition, EBA's request another 5 new CA posts to reinforce the administrative support for EBA's core activities (assistance with workshops, meetings and seminars; reporting, and maintaining certain databases up-to-date). Most of these tasks are currently performed by trainees which EBA considers a suboptimal solution because of the short duration of the traineeship programmes and hence the frequent handovers. EBA's request does not specify the function groups for the additional 5 CA posts. Given that EBA is at the same time requests AST posts to be made AD posts, this request for additional administrative support is insufficiently justified for the Commission to support it.

Financial Resources

A Union contribution to EBA for 2021 is requested of EUR 18 506 940 (of which EUR 18 096 107 fresh credits), which reflects the following amounts:

- * EUR 16 316 940 representing the 2013 Commission Communication for 2020 (EUR 15 997 000 with 2% indexation);
- * EUR 1 134 000 for the additional indirect supervision tasks, and EUR 1 020 000 for the anti-money laundering tasks, resulting from the ESAs Review;
- * EUR 36 000 foreseen in the Legislative Financial Statement for the implementation by EBA of the tasks required for the establishment of a framework to facilitate sustainable finance.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

The EBA requests for 2021 an establishment plan of 167 posts and foresees 55 Contract Agents (CAs) and 19 Seconded National Experts (SNEs) to be financed by the EU contribution.

The establishment plan posts and external personnel foreseen will enable the Agency to carry out the actions planned for 2021 outlined in the EBA's 2021 draft programming document.

In particular, in 2021 the EBA will receive 12 FTEs stemming from legislative financial statements of the ESAs review (6 TA, 1 CA and 1 SNE) and AML (2 TA and 2 CA). These resources will be allocated to work on the implementation of changes such as governance, tasks and powers and Anti-Money-Laundering. In addition, the EBA is requesting:

- i) 5 AD TAs for stress testing to follow-up on the findings of audit of the ECA on the implementation of the EU wide stress test. The EBA will need to make improvements in the design and development of the scenario, governance of the exercise, quality assurance and level of transparency.
- ii) 5 CAs for administrative staff. The EBA used 15 interim staff for administrative tasks in London. Since its move to Paris, and subsequent termination of interim contracts, the EBA currently only uses 4 contract agents to cover the same administrative functions. Given this reduction in numbers, the EBA does not have sufficient administrative staff to cover the current workload. Some of the tasks are currently being performed by trainees but this is not a long-term solution. Administrative staff is required across the 3 departments to assist them in running their projects, including providing assistance with workshops, meetings and seminars with external stakeholders, assisting in the preparation of summary reports (including Excel spreadsheets) based on source data provided by other departments and keeping relevant EBA databases up to date.
- iii) The EBA seeks to include 1 additional SNE position to be utilised as of 2021 where particular expertise is needed.

4.1.2 Vacancy rate as of end 2019

Against an establishment plan of 145 Temporary Agent posts, the occupation rate at the end of 2019 was 99.31 %. This includes two offers that were sent to candidates to start in the first quarter of 2020. The vacancy rate at the end of 2019 was therefore 0.69 %.

4.1.3 Standard abatement ('abatement forfaitaire') applied

The EBA does not apply the standard abatement. For 2021, the EBA expects:

- 98.2 % occupancy rate for TA positions. This is based on starting the year with 154 positions of the 2020 establishment plan filled, then recruiting the +13 positions over the year according to the recruitment plan;
- 96.4 % occupancy rate for CA positions, due to the timing of the recruitment of the increased number of CA;
- 94.7 % occupancy rate for SNE positions.

4.1.4 Salary assumption for calculating salary line (% applied)

The cost of the TA & CA posts is based on the actual costs for existing staff at the end of 2019, adjusted for the projected changes in the correction coefficient and expatriate allowances, for a normal level of reclassifications and step increases, and for 2.0 % indexation.

The budget projections include the posts proposed for the EBA in the Legislative Financial Statements for the ESAs review, Anti-Money Laundering (AML), and sustainable finance. On top of these, they include 5 extra TA for stress test, 5 extra CA for various tasks, and 1 extra SNE.

EBA must fund 60 % of the employer's pension contributions from its budget.

4.1.5 Correction coefficient used

The salary correction coefficient applied is 117.7 for the whole year.

4.1.6 Exchange rate used (if applicable)

The EUR/GBP exchange rate applied is 0.88778. This is in accordance with the 30 September 2019 reference rate as per the advice given in the Commission's Budget Circular for 2021, received on 06 January 2020. Note that with the departure of the EBA from London and the expected divestment of the London premises in 2020, the EBA expects almost no GBP expenditure in 2021.

4.2 Financial Resources - Agency request

4.2.1 Title 1

The following assumptions drive the 2021 expenditure:

- Minimal number of interim staff;
- Increased number of trainees, for longer period, driving an almost doubling of the cost compared to 2019;
- Increased expenditure on staff learning and development, compared to 2019, where activity in this area was impacted by the relocation to Paris. In 2019, average training days per staff member equalled 2.8, which the EBA management board considers to be low and in need of increase;
- While the European School is still being built up in Paris, the EBA will continue to contribute to school fees for some children of staff.

4.2.2 Title 2

The following assumptions drive the 2020 expenditure:

- There will be no further costs of the London premises;
- The French government contribution will amount to approximately EUR 600 000 and will be used to pay for part of the rent of the Paris premises. This revenue is treated as externally assigned revenue and as such is not included in the revenue or expense tables;
- Building charges are as per the lease;
- The EBA will continue to be liable for 'Taxes foncière et bureaux', estimated at EUR 250 000;
- IT infrastructure will be maintained and implemented as per the IT strategy and operational plan;
- Full cost of data centres is charged to Title 2, estimated at EUR 1 560 000, plus a further EUR 200 000 for on-going 'cloudification' of systems and applications in accordance with the EBA IT strategy and operational plan;
- Administrative services costs increase is driven by the increased number of services outsourced, including reception, handyman, missions support;
- The EBA website will be migrated to a "Europa Corporate CMS Platform". The platform is managed by DIGIT, guaranteeing security and performance, supported by a central team of web experts;
- Other administrative costs, including IT, office management, legal and communications, are budgeted at a normal level of activity.

4.2.3 Title 3

The budget request for chapter 31 is significantly higher than previous years, due mainly to increased requests for operational consulting, for:

- Mystery shopping: EUR 700 000. Article 9 of the new EBA regulation refers to ‘Tasks related to consumer protection and financial activities’ and mentions in its paragraph (1) (g) that the EBA “shall take a leading role in promoting transparency, simplicity and fairness in the market for consumer financial products or services across the internal market, including by: [...] coordinating mystery shopping activities of competent authorities, if applicable.”
- Support for the EBA cost of compliance study on reporting - data collection analysis;
- FinTech Knowledge Hub – support on use DLT or AI in financial services; cyber resilience testing framework and exercise;
- Stress test preparation 2022;
- Support on IFRS9 Benchmarking Exercise.

Chapter 31 also includes operational meeting costs, which are higher in Paris than London, and operational mission costs, which are budgeted to be slightly lower than they had been in London.

The budget request for chapter 32 is significantly higher than previous years due in particular to:

- AML system development, as per the LFS – 1.326 million euros;
- Collaboration platform development: EUR 500 000. The driver for this initiative is the increasing demand of EBA users to collaborate, exchange documents, structured and unstructured information, with external counterparties ie. NCAs, members of Committees, Working Groups, Taskforces and Governing Bodies;
- Identity management solution: EUR 400 000 to replace the existing Fortress solution. This will create unified identity management to be used for all EBA platform-related systems. It is a prerequisite for self-service business intelligence (SSBI), the collaboration platform, office automation, and the EBA’s move into the Cloud;
- Digital regulatory reporting tooling (DRR): EUR 384 000. In view of the expected evolution to greater granularity of regulatory data collections, EBA is aiming to revise and fine-tune the EBA Banking Data Dictionary (DPM), to better support the definition of data requirements. The objective of this project is to create (in coordination with EIOPA) a common solution, which will support the development of the reporting framework, including the DPM, validation rules, and XBRL taxonomies.

4.3 Ad hoc grants and delegation agreements

None

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	One Canada Square 50-floor multi-tenant building	Canary Wharf, London, United Kingdom	2 345	1 805	4 150	2 022 617	12 years with a break option after 6 years: 08/12/2014-07/12/2026	Lease Agreement	No	
2	Tour Europlaza	20 Avenue André Prothin, 92400 Courbevoie	5 336		5 336	2 494 560	9 term lease with a break option after 6 year (conditional)	Lease Contract	Financial contribution from French State	
TOTAL			7 681	1 805	9 486	4 517 177				

5.1.2 Current building(s) Other comments

London offices at One Canada Square

The annual rental cost is GBP 1 786 920. The euro figure above is the exact amount paid in 2019.

Non-office space is:

Reception/lobby = 190 m²

Storage, print rooms and corridors = 774 m²

Visitor meeting rooms = 841 m²

For its old London offices, which the EBA ceased to use at the end of May 2019, the EBA will continue to be liable for rent, building charges and local taxes up until the date of its contractual break clause in December 2020. In line with the contractual terms of the break clause of the lease agreement, in 2020, the EBA will have to refund to the landlord half of the rent-free period (original incentive) received at the beginning of the lease, which was based on the original full 12-year lease duration. This equates to 16 months of rent. At the end of the lease, the EBA will have to pay for dilapidations expenses of the London offices. To further reduce financial liability by e.g. subletting the premises in London or assigning the contract to another tenant, the EBA has appointed a property advisor in accordance with the EU procurement rules.

Paris offices at La Défense

Non-office space is:

Reception/lobby = 183.78 m²

Storage, print rooms and corridors = 1038.07 m²

Visitor meeting rooms = 526.99 m²

Internal meeting rooms = 417.09m²

Break out area visitors = 201.60

Break out area staff = 65.35

5.1.3 Building projects in the planning phase

None

5.1.4 Building projects submitted to the European Parliament and the Council

None

5.2 European Schools

A Type II European School opened in Courbevoie in September 2019 and is currently undergoing accreditation. The EBA plans to sign a “Mandate and Service Agreement” with the Commission, committing the EBA to carrying the cost of EBA staff pupils attending the school.

5.3 Evaluation

The main findings of the latest evaluation available are as follows:

An evaluation of the agency as a component of the European System of Financial Supervisors was submitted to the Budgetary Authority by 08.08.2012 [COM(2014) 509 final]. The main findings of the latest evaluation available are as follows:

The review shows that the ESAs have overall performed well during their first three years of operations. They have successfully built functioning organisations, started delivering on their mandates and developed their own profiles. Notably by preparing uniform standards and contributing to supervisory convergence and coordination, the ESAs have successfully contributed to shaping the development of a Single Rulebook applicable to all 28 EU Member States and thus to the good functioning of the Single Market.

The Commission has recently published proposals to improve the mandates, governance and funding of the ESAs. The proposals build on contributions to the Commission's public consultations in autumn 2016 (ESRB) and in spring 2017 (ESAs). They also take into account the March 2014 recommendations of the European Parliament and the review report prepared by the Commission in August 2014.

Summary of the Commissions' key proposals:

Stronger coordination of supervision across the EU: The ESAs will set EU-wide supervisory priorities, check the consistency of the work programmes of individual supervisory authorities with EU priorities and review their implementation. They will monitor authorities' practices in allowing market players - such as banks, fund managers and investment firms - to delegate and outsource business functions to non-EU countries, to ensure that risks are properly managed and to prevent circumventions of the rules.

Improved governance and funding of the ESAs: The ESAs will take decisions more independently from national interests. Under the new governance system, newly-created Executive Boards with permanent members will lead to quicker, more streamlined and EU-oriented decisions. Moreover, interested parties will be able to ask the Commission to intervene if the majority consider that the ESAs have exceeded their competences when issuing guidelines or recommendations. The reform will also make the funding of the ESAs independent from national supervisors. This will guarantee that the ESAs have improved autonomy and independence. While the EU budget will continue to contribute a share of the ESAs' funding, the rest will be funded by contributions from the financial sector.

Promoting sustainable finance and FinTech: As the EU steps up efforts to complete the Capital Markets Union, supervision has to keep pace with new market developments, notably:

- The ESAs will promote sustainable finance, while ensuring financial stability. They will take account of environmental, social and governance-related factors and risks in all the tasks they perform.
- The ESAs will prioritise FinTech and will coordinate national initiatives to promote innovation and strengthen cybersecurity. They will take account of technological innovation in all the tasks they perform.

The reforms will promote further capital market integration following the UK's departure from the EU. They will also introduce changes to the supervisory relations with non-EU countries so as to ensure proper management of all financial-sector risks.

The proposals – the main Regulation and the subsequent changes to a number of sectorial Directives – are due to be discussed by the European Parliament and the Council.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
EBA enjoys the privileges stipulated in the Protocol on the Privileges and Immunities of the European Communities (Articles 1 to 4 of the Protocol). EBA is entitled to refunds of Value Added Tax (VAT) for purchases of goods and services for the Agency, including vehicles.	Articles 12 to 16 of the Protocol on the Privileges and Immunities of the European Communities are applicable to the staff of the Agency. This includes: 1) Immunity from jurisdiction as regards acts carried out by them in their official capacity; 2) Exemption from regulations restricting immigration and formalities for the registration of foreigners; 3) Right to import household effects from their last	The UK has not provided specific/particular education/day care facilities for EBA staff.

Agency privileges	Privileges granted to staff	
<p>EBA can recover Insurance Premium Tax (IPT) and Air Passenger Duty (APD) from the host government.</p> <p>EBA pays business rates at 6% of the normal rate.</p>	<p>country of residence or from the country of which they are nationals free of customs duty and VAT.</p> <p>The following privileges and immunities have also been granted under the Headquarters Agreement between the Government of the United Kingdom and the EBA:</p> <p>Purchase of a VAT free motor vehicle within 12 months of first entry of the official;</p> <p>Exemption from road tax;</p> <p>Special vehicle registration plates;</p> <p>A diplomatic driving licence;</p> <p>A Foreign and Commonwealth Office issued identity card.</p>	
<p>EBA enjoys the privileges stipulated in the Protocol on the Privileges and Immunities of the European Communities.</p> <p>Furthermore, the draft Agreement between the French Government and the Agency stipulates the following:</p> <ul style="list-style-type: none"> - The Authority, its assets, income and other property are exempt from all direct taxes; - the French Government shall take appropriate measures to remit or refund the amount of indirect duties and sales taxes included in the prices of real estate or movable property and services where the Commission or the Authority carries out, for the official use of the Authority, significant purchases the price of which includes duties and taxes of this kind. The articles so acquired shall not be assigned for consideration or free of charge in the territory of the French Republic, unless it is on the conditions approved by the Government; - The Authority shall be exempt from all customs duties, prohibitions and restrictions on imports and exports in respect of articles intended for its official use. The articles so imported shall not be assigned for consideration or free of charge in the territory of the French Republic, unless it is on conditions approved by the Government; - The Authority is exempt from any customs duties and prohibitions and restrictions on imports and exports in respect of its publications; - The Authority has three license plates for service vehicles in the Preferred CD Series. 	<p>Articles 12 to 16 of the Protocol on the Privileges and Immunities of the European Communities are applicable to the staff of the Agency. This includes:</p> <ol style="list-style-type: none"> 1) Immunity from jurisdiction as regards acts carried out by them in their official capacity; 2) Exemption from regulations restricting immigration and formalities for the registration of foreigners; 3) Right to import household effects from their last country of residence or from the country of which they are nationals free of customs duty and VAT. <p>Furthermore, the draft Agreement between the French Government and the Agency stipulates the following:</p> <ul style="list-style-type: none"> -The Government shall issue to each staff member (other than those of French nationality and those who are permanent residents in France), after having been informed of their appointment, a special residence permit of the FI category which identifies them as a staff member of the Authority. The Government shall facilitate the issue of residence permits and work permits to members of the family of staff of the Authority and seconded national experts (other than those of French nationality and those who are permanent residents of France); - Staff members have the right to import duty-free motor vehicles for personal use acquired in the State of their last residence or in the State of which they are nationals on the conditions of the latter's internal market and to re-export them in subject, in both cases, to the conditions deemed necessary by the Government; -Staff member may purchase a VAT free motor vehicle within 12 months of first entry in the French territory; -Staff members who, because of only in the exercise of their functions in the service of the Authority, establish their residence in the territory of the French Republic, are exempt from inheritance tax on movable property in France. 	<p>In order to ensure the best possible conditions for the proper functioning of the Agency, the French Government is developing a multilingual schooling offer. To this end, France should submit a request for approval for a European school in the Paris region.</p>

1 Overview**1.1 Creation/modification (legal base)**

Decision	Date	Mission/ Tasks / Functions
Regulation (EU) No. 1094/2010 of the European Parliament and the Council of 24 November 2010 establishing a European Supervisory Authority (European Insurance and Occupational Pensions Authority), amending Decision 716/2009/EC and repealing Commission Decision 2009/79/EC	24/11/2010	The Authority shall act within the powers conferred by this Regulation and within the scope of Directive 2009/138/EC with the exception of Title IV thereof, of Directives 2002/92/EC, 2003/41/EC, 2002/87/EC, 64/225/EEC, 73/239/EEC, 73/240/EEC, 76/580/EEC, 78/473/EEC, 84/641/EEC, 87/344/EEC, 88/357/EEC, 92/49/EEC, 98/78/EC, 2001/17/EC, 2002/83/EC, 2005/68/EC and, to the extent that those acts apply to insurance undertakings, reinsurance undertakings, institutions for occupational retirement provision and insurance intermediaries, within the relevant parts of Directives 2005/60/EC and 2002/65/EC, including all directives, regulations, and decisions based on those acts, and of any further legally binding Union act which confers tasks on the Authority
Regulation (EU) 2019/2175 of the European Parliament and of the Council of 18 December 2019, amending Regulation (EU) No 1093/2010 establishing a European Supervisory Authority (European Banking Authority), Regulation (EU) No 1094/2010 establishing a European Supervisory Authority (European Insurance and Occupational Pensions Authority), Regulation (EU) No 1095/2010 establishing a European Supervisory Authority (European Securities and Markets Authority), Regulation (EU) No 600/2014 on markets in financial instruments, Regulation (EU) 2016/1011 on indices used as benchmarks in financial instruments and financial contracts or to measure the performance of investment funds, and Regulation (EU) 2015/847 on information accompanying transfers of funds.	18/12/2019	Modifications in the mandate and governance in order to ensure stronger and more integrated supervision across the EU.

1.2 Seat

Frankfurt am Main, Germany

1.3 Budget Line

03 10 03 : European Insurance and Occupational Pensions Authority (EIOPA)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	109	99	90,83%	113	124
Assistants (AST)	15	14	93,33%	14	14
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	124	113	91,13%	127	138
Contract Agents (CA)	40	36	90,00%	39	42
Seconded National Experts (SNE)	26	17	65,38%	27	29
TOTAL STAFF	190	166	87,37%	193	209

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	10 804 000	12 140 600
Other Revenue	18 616 398	20 744 705
TOTAL REVENUES	29 420 398	32 885 305

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	20 589 000	20 589 000	23 309 327	23 309 327
Title 2 - Infrastructure and operating expenditure	3 683 000	3 683 000	3 555 000	3 555 000
Title 3 - Operational expenditure	5 148 398	5 148 398	6 020 978	6 020 978
TOTAL EXPENDITURE	29 420 398	29 420 398	32 885 305	32 885 305

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16		1		1		1		1		1
AD 15		1				1		1		1
AD 14		2		1		1		2		1
AD 13		5		2		4		6		4
AD 12		11		3		11		15		10
AD 11		17		5		14		16		13
AD 10		17		10		14		17		14
AD 9		17		14		19		20		19

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 8		19		7		15		17		15
AD 7		12		15		15		15		15
AD 6		7		24		7		9		20
AD 5				17		11		5		11
AD TOTAL		109		99		113		124		124
AST 11						1		1		1
AST 10		1				1		1		1
AST 9		1				2		3		2
AST 8		3				3		4		3
AST 7		3				3		3		3
AST 6		3		3		2		1		2
AST 5		3		4		2		1		2
AST 4		1		5						
AST 3				2						
AST 2										
AST 1										
AST TOTAL		15		14		14		14		14
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		124		113		127		138		138
GRAND TOTAL	124		113		127		138		138	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	23	9	12	19
Function Group III	16	23	19	22
Function Group II	1	4	8	1
Function Group I				

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	40	36	39	42

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	26	17	27	29

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	10 083 336	10 804 000	12 413 956	12 140 600	12,37%
- <i>Of which assigned revenues deriving from previous years' surpluses</i>	69 102				
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	471 124	504 597	578 728	617 859	22,45%
- <i>Of which EEA/EFTA (excl. Switzerland)</i>	471 124	504 597	578 728	617 859	22,45%
- <i>Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS	16 583 568	17 761 801	20 371 210	19 956 846	12,36%
5 ADMINISTRATIVE OPERATIONS					
- <i>Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT		350 000		170 000	-51,43%
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	27 138 028	29 420 398	33 363 894	32 885 305	11,78%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	18 579 578	20 589 000	23 702 315	23 309 327	13,21%
Salaries & allowances	14 687 336	17 269 000	19 860 175	19 570 327	13,33%
- Of which establishment plan posts	11 679 100	13 660 000	15 712 200	15 675 000	14,75%
- Of which external personnel	3 008 236	3 609 000	4 147 975	3 895 327	7,93%
Expenditure relating to Staff recruitment	262 982	223 000	483 140	410 000	83,86%
Employer's pension contributions	1 261 081	1 600 000	1 800 000	1 800 000	12,50%
Mission expenses	91 000	120 000	130 000	100 000	-16,67%
Socio-medical infrastructure	586 491	795 000	812 000	812 000	2,14%
Training	198 429	230 000	235 000	235 000	2,17%
External Services	1 486 845	346 000	376 000	376 000	8,67%
Receptions, events and representation	5 414	6 000	6 000	6 000	0,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	3 237 960	3 683 000	3 686 600	3 555 000	-3,48%
Rental of buildings and associated costs	2 463 162	2 880 000	2 975 000	2 815 000	-2,26%
Information, communication technology and data processing	476 995	261 000	226 000	226 000	-13,41%
Movable property and associated costs	46 495	234 000	170 000	170 000	-27,35%
Current administrative expenditure	97 495	154 000	156 100	189 000	22,73%
Postage / Telecommunications	99 890	90 000	95 500	91 000	1,11%
Meeting expenses	23 570	27 000	27 000	27 000	0,00%
Running costs in connection with operational activities					
Information and publishing	30 353	37 000	37 000	37 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	5 320 490	5 148 398	5 974 978	6 020 978	16,95%
TOTAL	27 138 028	29 420 398	33 363 893	32 885 305	11,78%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	18 579 578	20 589 000	23 702 315	23 309 327	13,21%
Salaries & allowances	14 687 336	17 269 000	19 860 175	19 570 327	13,33%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
<i>- Of which establishment plan posts</i>	11 679 100	13 660 000	15 712 200	15 675 000	14,75%
<i>- Of which external personnel</i>	3 008 236	3 609 000	4 147 975	3 895 327	7,93%
Expenditure relating to Staff recruitment	262 982	223 000	483 140	410 000	83,86%
Employer's pension contributions	1 261 081	1 600 000	1 800 000	1 800 000	12,50%
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Receptions, events and representation	5 414	6 000	6 000	6 000	0,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	3 237 960	3 683 000	3 686 600	3 555 000	-3,48%
Rental of buildings and associated costs	2 463 162	2 880 000	2 975 000	2 815 000	-2,26%
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Current administrative expenditure	97 495	154 000	156 100	189 000	22,73%
Postage / Telecommunications	99 890	90 000	95 500	91 000	1,11%
Meeting expenses	23 570	27 000	27 000	27 000	0,00%
Running costs in connection with operational activities					
Information and publishing	30 353	37 000	37 000	37 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	5 320 490	5 148 398	5 974 978	6 020 978	16,95%
TOTAL	27 138 028	29 420 398	33 363 893	32 885 305	11,78%

3.3 Budget Outturn

The provisional EIOPA budget outturn 2019 is negative and equal to EUR 190 732.96 (out of which only EUR 76 293 corresponding to the EU budget). It is the result of revenues received equal to EUR 26 869 513.12 and appropriations from prior-year internal assigned revenue of EUR 80 855. Of these, payments made in 2019 equal to EUR 23 320 569, appropriations carried over to 2020 (EUR 3 991 167.39) and exchange rate losses of EUR 11 673.09 were deducted. Unspent appropriations of the prior-year carry-over (EUR 182 307.76) were added again and increased the result.

EIOPA is financed by the Member States (60%) and the Commission (40%) according to the key set out in the EIOPA Regulation and contributions by EFTA countries. The Commission contributed with EUR 10 014 234 of fresh 2019 credits plus the repayment of the budgetary surplus 2017 of EUR 172 939.12. Member States contributed with EUR 16 118 236.16 and EFTA countries with EUR 468 255.64. Other income was equal to EUR 95 848.20 and mainly stemmed from internal assigned revenue.

Expenditure in 2019 was equal to EUR 23 320 568.54 out of which EUR 83 213.89 were for payments made from internal assigned revenue. For title 1 these were EUR 16 963 186.49 including payments from internal assigned revenue,

for title 2 EUR 2 628 627.32 and for title 3, EUR 3 728 754.73. Carry over appropriations represent EUR 3 991 167.39 out of which EUR 3 900 672.96 stemmed from budgetary contributions and EUR 90 494.43 from internal assigned revenue.

4 Justification of needs

Commission assessment

Human Resources

The Commission supports EIOPA's request for 138 Establishment Plan posts, 42 Contract Agent posts and 29 Seconded National Expert posts for 2021.

The additional 11 Establishment Plan posts over and above the 127 provided for in the adopted budget 2020 are all foreseen in the Legislative Financial Statement accompanying the ESAs review adopted by the College of Commissioners and consist of 11 extra Temporary Agents (AD 5) for the implementation by EIOPA of its revised tasks.

In addition to the numbers of CAs shown in the tables 1.4 Human Resources Overview and table 2.2.1 Contract Agents, the Commission supports EIOPA's request for one additional Contract Agent (Function Group III) post for the period from June 2020 to May 2022. This post would be over and above the maximum number of external staff specified in the Agency Instructions of the Budgetary Circular for 2021 (i.e. the level agreed during the 2020 budget increased where appropriate for changes documented in Legislative Financial Statements). The posts would be needed, subject to a formal financing decision of the Commission, for the implementation of a Pilot Training Programme funded by the SRSS.

Financial Resources

A Union contribution to EIOPA for 2021 is requested of EUR 12 140 600 (all of which is fresh credits), which reflects the following amounts:

- * EUR 10 127 580 representing the 2013 Commission Communication for 2020 (EUR 9 929 000) with 2% indexation;
- * EUR 1 725 000 for the costs of the implementation by EIOPA of the revised tasks resulting from the ESAs review;
- * EUR 32 000 for the implementation by EIOPA of the tasks required for the establishment of a framework to facilitate sustainable finance;
- * EUR 256 020 for the tasks required for the Pan-European Pension Product (the EUR 251 000 allocated for 2020 adjusted for 2 %).

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

Linked to the ESAs' review, EIOPA is requesting for 2021 an additional 11 TAs, 3 CAs and 2 SNEs.

The legislative proposal pertaining to the European Supervisory Authorities (ESAs) review has been factored into EIOPA's plans for 2021. The resource implications (budget and staff) that EIOPA used in its planning assumptions are provided by the COM in the legislative proposal and corresponding financial statement. Based on this, EIOPA has included 16 FTEs for the ESAs review in 2021 (16 having already been allocated in 2020). EIOPA, according to the proposal assumes the following. Under the role of indirect supervision, the legislative proposal outlines a number of new tasks and the strengthening of some existing areas. For Peer Reviews, EIOPA will recruit one further member of staff. EIOPA will also have a stronger role in relation to FinTech, supported by two additional FTEs in 2021. One FTE will be recruited to support the Proportionality Advisory Committee. Equivalence will grow in importance following Brexit and reflecting this an additional staff members will be recruited to monitor regimes where there is an equivalence decision in place. EIOPA will also recruit an FTE to strengthen its role in ensuring consumer protection. One additional staff member will work on Environmental, Social and Governance (ESG) factors. To strengthen EIOPA's important role in relation to Internal Models, one FTE is planned. A further five FTEs will be recruited to contribute to the running of EIOPA's cross-border cooperation platforms. One additional FTEs will provide legal support, and two further staff members will provide general support in the areas of IT and finance.

In addition, EIOPA has secured an administrative agreement with the SRSS, which was signed in 2020. This agreement will cover also the costs for an additional short-term Contract Agent for a period of two years. Therefore, an additional short-term contract agent is requested.

4.1.2 Vacancy rate as of end 2019

The fulfilment rate of the Establishment Plan in 2019 was 98.3 %, with two open vacancies at the end of the year. The authorised budget figures for 2019 displayed in the tables above do not reflect the reality due to the delay in the approval of the ESAs' review.

4.1.3 Standard abatement ('abatement forfaitaire') applied

Not applicable

4.1.4 Salary assumption for calculating salary line (% applied)

In terms of staff costs, the budget has been calculated based on the following assumptions:

One single average per category has been used based on historical data.

98% of the establishment plan has been considered for the first half year and 100% for the remainder of the year;

The correction coefficient (0.5%) and salaries increase (1.5%) and effect of reclassification (1%) have been set to take effect for existing staff for six months for AD, AST and CA;

The correction coefficient increase for SNEs is assumed as 1.2% to take effect on the whole year.

New recruits work on average 4 months.

4.1.5 Correction coefficient used

The coefficient correction applicable as of July 2019 is 99.4 %. A stable increase of 0.5 % for the correction coefficient has been anticipated for the year 2021.

4.1.6 Exchange rate used (if applicable)

Not applicable

4.2 Financial Resources - Agency request

4.2.1 Title 1

At the time of the adoption of the draft budget the EU Multi-Financial Framework 2021-2027 has not been adopted yet. EIOPA planned the resources according to the existing Legal Financial Statements (LFSs) for the European Supervisory Authorities review (ESAs), the Pan-European Personal Pension Product (PEPP) and for Sustainable Finance. The annual indexation, correction co-efficient and salary increase are considered.

4.2.2 Title 2

Title II represents to a large extend fixed running costs. The budget will cover the ESAs review and PEPP related costs.

4.2.3 Title 3

Title III covers operational costs. The budget will cover costs for running and new projects; the ESAs review, sustainable finance and PEPP related costs.

4.3 Ad hoc grants and delegation agreements

N/A

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Westhafen Tower	Westhafen Platz 1, Frankfurt am Main, Germany, per 1.1.2018, 5 floors, add half-floor in 08	4 664	46	4 710	1 900 000	Rental contract with fixed duration until 30.06.2028 (an additional half-floor (21th South) 08/2020	The contract defines the price per square metre, which is subject to indexation.	N/A	
TOTAL			4 664	46	4 710	1 900 000				

5.1.2 Current building(s) Other comments

EIOPA's initial contract with the landlord (Mann Management) foresaw a dedicated 10-year contract for every half floor. The average rental fee per square metre, adjusted after indexation in line with the German consumer price index was EUR 30.15/month/m² (indexed until September 2018, i.e. the latest official indexation).

At the end of June 2019 EIOPA signed a twelfth amendment to the contract. This has led to a number of new lease conditions applicable as of 1 July 2019:

- All contract end dates for the rented (half-)floors are merged into one, i.e. until June 2028;
- 2 rent-free months, respectively in July 2023 and 2024;
- New (lower) rental fee as of 1 July 2019: EUR 29.30/month/m²; on average EUR 28.76/month/m² calculated over the total contract term, subject to indexation;
- Financial contributions for office space works for the next years, worth 300,000 EUR in total;
- Re-confirmation of the exit clause of the contract entitling EIOPA to an early termination in case it is closed down or its seat is transferred to a location outside Germany. In addition an early termination right in case the landlord cannot offer sufficient office space in the event EIOPA needs to expand. In such circumstances EIOPA has the right to terminate the contract under the condition of compensation payments;
- The right of having an additional half floor via pre-booking without additional costs and keeping on hold until the actual need may arise.

5.1.3 Building projects in the planning phase

The implementation of adjustments in the context of the recently conducted ESAs review will result in an increase of EIOPA staff and require the provision of additional workstations and the improvement of existing office facilities. To accommodate the need for an enhanced office space utilisation, more workplaces as well as improved meeting and break-out spaces, EIOPA has launched the Workplace Strategy 2020-2022 project. The development of the strategy and concept planning is foreseen to be undertaken from Q4 2019 – Q1 2020, with the implementation being provisionally planned to commence in Q2 2020. Depending on the extent of the office space re-modelling, all infrastructure and interior fitting works, layout changes, furniture replacements, additional furnishings and staff relocations will be executed gradually within the timeframe 2020-2022.

5.1.4 Building projects submitted to the European Parliament and the Council

No new building project was submitted to the European Parliament and the Council (information on building policy provided on 1 June 2019 according to Article 266 of the Regulation (EU, Euratom) 2018/1046).

5.2 European Schools

EIOPA's staff members have access to the European School in Frankfurt for their children. EIOPA has signed in 2019 an agreement with the Directorate General for Human Resources and has commenced paying contribution towards the school fees with effect from the school year 2019/2020.

5.3 Evaluation

An annual evaluation of the agency will be submitted to the Budgetary Authority before 15 June 2020, in line with Art. 43.5 of EIOPA's Founding Regulation and Art. 102 Approval of the final accounts of EIOPA's Financial Regulation.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
EIOPA benefits from the privileges granted by the Protocol of Privileges and Immunities to EU organisations and institutions (mainly from the VAT exemption of supplier invoices).	Headquarter agreement signed on 18 October 2011 with the Government of the German Federal Republic.	

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Regulation (EU) No 1095/2010 establishing a European Supervisory Authority (European Securities and Markets Authority).	24/11/2010	Establishment of ESMA as an EU Authority that contributes to safeguarding the stability of the EU's financial system by ensuring the integrity, transparency, efficiency and orderly functioning of securities markets, as well as enhancing investor protection.
Regulation (EU) N° 513/2011 on credit rating agencies.	11/05/2011	Grant ESMA competence for the direct supervision of Credit Rating Agencies in the EU.
Regulation (EU) No 648/2012 on OTC derivatives, central counterparties and trade repositories (EMIR).	04/07/2012	Grants ESMA competence for the direct supervision of Trade Repositories in the EU.
Directive 2014/65/EU on markets in financial instruments.	15/05/2014	MiFID II
Regulation (EU) No 600/2014 on markets in financial instruments.	15/05/2014	MiFIR
Directive 2014/91/EU on the coordination of laws, regulations and administrative provisions relating to undertakings for collective investment in transferable securities (UCITS).	23/07/2014	UCITS Directive
Regulation (EU) 2015/2365 on transparency of securities financing transactions.	25/11/2015	Extend ESMA competence for the direct supervision of trade repositories in the EU
Commission Delegated Regulation (EU) 2017/653 on key information documents for packaged retail and insurance-based investment products (PRIIPs).	08/03/2017	PRIIPs delegated regulation
Regulation (EU) 2017/1129 on the prospectus to be published when securities are offered to the public or admitted to trading on a regulated market.	14/06/2017	Prospectus Regulation
Regulation (EU) 2017/1131 for money market funds (MMFs) established, managed or marketed in the Union.	14/06/2017	Money Market Funds
Regulation (EU) 2017/2402 laying down a specific framework for simple, transparent and standardised securitisation.	12/12/2017	Grants ESMA competence for the direct supervision of Securitisation Repositories in the EU.
Regulation (EU) 2019/1156 on facilitating cross-border distribution of collective investment undertakings and amending Regulations (EU) No 345/2013, (EU) No 346/2013 and (EU) No 1286/2014	20/06/2019	An increased cross-border investment flow. Consumers have access to safe and reliable insurance, pension and UCITS products and services, both nationally and across borders.
Regulation (EU) 2019/2099 amending Regulation (EU) No 648/2012 as regards the procedures and authorities involved for the authorisation of CCPs and requirements for the recognition of third-country CCPs	23/10/2019	Enhanced supervision of CCPs at EU level. More involvement of central banks of issue in the supervision of CCPs. Better ability of the EU to monitor, identify and mitigate third-country CCP risks.
Regulation (EU) 2019/2033 on the prudential requirements of investment firms and amending Regulations (EU) No 1093/2010, (EU) No 575/2013, (EU) No 600/2014 and (EU) No 806/2014	27/11/2019	IFR - Uniform prudential requirements which apply to investment firms authorised and supervised under Directive 2014/65/EU and Directive (EU) 2019/2034
Regulation (EU) 2019/2175 amending Regulation (EU) No 1095/2010 establishing the European Securities and Markets Authority, Regulation (EU) No 600/2014 on markets in financial instruments, Regulation (EU) 2016/1011 on indices used as benchmarks in financial instruments and financial contracts or to measure the performance of investment funds, and Regulation (EU) 2015/847 on information accompanying transfers of funds.	27/12/2019	ESAs Review – Enhanced supervisory convergence and new direct supervisory mandates for Data Service Providers and critical Benchmarks.

1.2 Seat

Paris, France.

1.3 Budget Line

03 10 04 : European Securities and Markets Authority (ESMA)

1.4 Human Resource Overview ESMA

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	197	146	74,11%	214	238
Assistants (AST)	13	9	69,23%	12	12
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	210	155	73,81%	226	250
Contract Agents (CA)	89	68	76,40%	73	83
Seconded National Experts (SNE)	22	10	45,45%	32	33
TOTAL STAFF	321	233	72,59%	331	366

1.5 Financial Resources Overview

1.5.1 Financial Resources Overview ESMA

1.5.1.1 Revenues Overview ESMA

1.5.1.1.1 General revenues ESMA

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	20 112 045	19 081 769
Other Revenue	37 921 438	46 942 749
TOTAL REVENUES	58 033 483	66 024 518

1.5.1.1.2 Additional EU funding: contribution, grant and service level agreements ESMA

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.1.2 Expenditure Overview ESMA

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	36 571 483	36 571 483	43 424 518	43 424 518

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 2 - Infrastructure and operating expenditure	8 015 000	8 015 000	7 855 000	7 855 000
Title 3 - Operational expenditure	10997000	10997000	12255000	12255000
Title 4 - Delegated tasks	2450000	2450000	2490000	2490000
TOTAL EXPENDITURE	58 033 483	58 033 483	66 024 518	66 024 518

1.5.2 Financial Resources Overview (Fees from CRA and TR)

1.5.2.1 Revenues Overview (Fees from CRA and TR)

1.5.2.1.1 General revenues (Fees from CRA and TR)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES	13 383 007	18 872 720

1.5.2.1.2 Additional EU funding: contribution, grant and service level agreements (Fees from CRA and TR)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2.2 Expenditure Overview (Fees from CRA and TR)

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	9 596 194	9 596 194	13 607 307	13 607 307
Title 2 - Infrastructure and operating expenditure	1 987 226	1 987 226	2 330 711	2 330 711
Title 3 - Operational expenditure	1 799 587	1 799 587	2 934 702	2 934 702
Title 4 - Delegated tasks				
TOTAL EXPENDITURE	13 383 007	13 383 007	18 872 720	18 872 720

1.5.3 Financial Resources Overview (UE, NCA, NCA for delegated tasks)

1.5.3.1 Revenues Overview (UE, NCA, NCA for delegated tasks)

1.5.3.1.1 General revenues (UE, NCA, NCA for delegated tasks)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	20 112 045	19 081 769
Other Revenue	24 538 431	28 070 029

TOTAL REVENUES	44 650 476	47 151 798
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1.5.3.1.2 Additional EU funding: contribution, grant and service level agreements (UE, NCA, NCA for delegated tasks)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.3.2 Expenditure Overview (UE, NCA, NCA for delegated tasks)

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	26 975 289	26 975 289	29 817 211	29 817 211
Title 2 - Infrastructure and operating expenditure	6 027 774	6 027 774	5 524 289	5 524 289
Title 3 - Operational expenditure	9 197 413	9 197 413	9 320 298	9 320 298
Title 4 - Delegated tasks	2 450 000	2 450 000	2 490 000	2 490 000
TOTAL EXPENDITURE	44 650 476	44 650 476	47 151 798	47 151 798

2 Human Resources

2.1 Establishment plan posts ESMA

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16		1		1		2		2		1 ¹
AD 15		2		1		3		3		3 ²
AD 14		6						1		1 ³
AD 13		2				3		4		3
AD 12		7		5		7		10		10
AD 11		14		1		14		15		15
AD 10		17		10		17		23		24
AD 9		39		31		39		41		42
AD 8		30		33		30		40		40
AD 7		58		25		57		45		45
AD 6		10		13		10		17		17
AD 5		11		26		32		37		37
AD TOTAL		197		146		214		238		238

¹ 1 AD 16 post for the Chair of the CCP Supervisory Committee and 1 ad personam AD 16 post from 1 January to 31 March 2021, the end of the mandate of the current ESMA Chairperson.

² Of which 1 post to be used for the above mentioned ad personam AD 16 post until the end of the mandate of the current ESMA Chairperson.

³ To be used for an ad personam AD15 post until the end of the mandate of the current Executive Director.

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 11										
AST 10										
AST 9								1		
AST 8		2				2		3		2
AST 7		3				3		3		3
AST 6		3				3		3		3
AST 5		3		4		3		2		3
AST 4		1		3		1				1
AST 3		1								
AST 2										
AST 1				2						
AST TOTAL		13		9		12		12		12
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		210		155		226		250		250
GRAND TOTAL		210		155		226		250		250

2.2 External personnel ESMA

2.2.1 Contract Agents ESMA

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	43	45	41	66
Function Group III	46	23	32	17
Function Group II				
Function Group I				
TOTAL	89	68	73	83

2.2.2 Seconded National Experts ESMA

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	22	10	32	33

3 Financial Resources

3.1 Financial Resources ESMA

3.1.1 Revenues ESMA

3.1.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES	11 521 812	13 383 007	18 872 720	18 872 720	41,02%
2 EU CONTRIBUTION	13 606 045	20 112 045	21 203 660	19 081 769	-5,12%
<i>- Of which assigned revenues deriving from previous years' surpluses</i>				77 858	100%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	558 239	625 437	681 705	727 298	16,29%
<i>- Of which EEA/EFTA (excl. Switzerland)</i>	558 239	625 437	681 705	727 298	16,29%
<i>- Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS	19 650 030	22 015 379	23 996 016	25 600 882	16,29%
5 ADMINISTRATIVE OPERATIONS		200 000			-100%
<i>- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
8 CONTRIBUTION FOR DELEGATED TASKS	1 717 312	1 697 615	1 741 849	1 741 849	2,61%
TOTAL	47 053 438	58 033 483	66 495 950	66 024 518	13,77%

3.1.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.1.2 Expenditure ESMA

3.1.2.1 Commitment appropriations ESMA

EXPENDITURE	Commitment appropriations ESMA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	27 863 325	36 571 483	43 695 950	43 424 518	18,74%
Salaries & allowances	24 550 255	31 463 000	37 703 927	37 503 495	19,20%
- Of which establishment plan posts	24 532 077	31 448 000	37 688 927	37 488 495	19,21%
- Of which external personnel	18 178	15 000	15 000	15 000	0,00%
Expenditure relating to Staff recruitment	325 227	600 000	600 000	600 000	0,00%
Employer's pension contributions	2 179 483	3 377 483	4 064 023	3 993 023	18,22%
Mission expenses					
Socio-medical infrastructure	568 407	820 000	872 000	872 000	6,34%
Training	234 953	305 000	450 000	450 000	47,54%
External Services					
Receptions, events and representation	5 000	6 000	6 000	6 000	0,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	8 085 688	8 015 000	8 055 000	7 855 000	-2,00%
Rental of buildings and associated costs	7 074 108	6 560 000	6 990 000	6 790 000	3,51%
Information, communication technology and data processing	354 182	600 000	450 000	450 000	-25,00%
Movable property and associated costs					
Current administrative expenditure	657 398	855 000	615 000	615 000	-28,07%
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	9 197 083	10 997 000	12 255 000	12 255 000	11,44%
Training for a common supervisory culture	840	50 000	50 000	50 000	0,00%
Collection of information : IT projects	7 244 570	8 540 000	9 715 000	9 715 000	13,76%
Legal advice	60 332	150 000	150 000	150 000	0,00%
Access to data for Economic Research	408 484	600 000	600 000	600 000	0,00%
Mission expenses, travel and incidental expenses	512 196	610 000	780 000	780 000	27,87%
Communications	558 757	517 000	330 000	330 000	-36,17%
Meeting expenses	324 884	445 000	530 000	530 000	19,10%
Services on operational matters	87 020	85 000	100 000	100 000	17,65%
Title 4 - Delegated tasks	1 907 342	2 450 000	2 490 000	2 490 000	1,63%
TOTAL	47 053 438	58 033 483	66 495 950	66 024 518	13,77%

3.1.2.2 Payment appropriations ESMA

EXPENDITURE	Payment appropriations ESMA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	27 863 325	36 571 483	43 695 950	43 424 518	18,74%
Salaries & allowances	24 550 255	31 463 000	37 703 927	37 503 495	19,20%
- Of which establishment plan posts	24 532 077	31 448 000	37 688 927	37 488 495	19,21%
- Of which external personnel	18 178	15 000	15 000	15 000	0,00%
Expenditure relating to Staff recruitment	325 227	600 000	600 000	600 000	0,00%
Employer's pension contributions	2 179 483	3 377 483	4 064 023	3 993 023	18,22%
Mission expenses					
Socio-medical infrastructure	568 407	820 000	872 000	872 000	6,34%
Training	234 953	305 000	450 000	450 000	47,54%
External Services					
Receptions, events and representation	5 000	6 000	6 000	6 000	0,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	8 085 689	8 015 000	8 055 000	7 855 000	-2,00%
Rental of buildings and associated costs	7 074 108	6 560 000	6 990 000	6 790 000	3,51%
Information, communication technology and data processing	354 183	600 000	450 000	450 000	-25,00%
Movable property and associated costs					
Current administrative expenditure	657 398	855 000	615 000	615 000	-28,07%
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	9 197 082	10 997 000	12 255 000	12 255 000	11,44%
Training for a common supervisory culture	840	50 000	50 000	50 000	0,00%
Collection of information : IT projects	7 244 570	8 540 000	9 715 000	9 715 000	13,76%
Legal advice	60 332	150 000	150 000	150 000	0,00%
Access to data for Economic Research	408 484	600 000	600 000	600 000	0,00%
Mission expenses, travel and incidental expenses	512 196	610 000	780 000	780 000	27,87%
Communications	558 757	517 000	330 000	330 000	-36,17%
Meeting expenses	324 883	445 000	530 000	530 000	19,10%
Services on operational matters	87 020	85 000	100 000	100 000	17,65%
Title 4 - Delegated tasks	1 907 342	2 450 000	2 490 000	2 490 000	1,63%
TOTAL	47 053 438	58 033 483	66 495 950	66 024 518	13,77%

3.2 Financial Resources (Fees from CRA and TR)

3.2.1 Revenues (Fees from CRA and TR)

3.2.1.1 General revenues (Fees from CRA and TR)

REVENUES	General revenues (Fees from CRA and TR)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES	11 521 812	13 383 007	18 872 720	18 872 720	41,02%
2 EU CONTRIBUTION					
- Of which assigned revenues deriving from previous years' surpluses					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
- Of which EEA/EFTA (excl. Switzerland)					
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
8 CONTRIBUTION FOR DELEGATED TASKS					
TOTAL	11 521 812	13 383 007	18 872 720	18 872 720	41,02%

3.2.1.2 Additional EU funding: contribution, grant and service level agreements (Fees from CRA and TR)

REVENUES	Additional EU funding: contribution, grant and service level agreements (Fees from CRA and TR)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2.2 Expenditure (Fees from CRA and TR)

3.2.2.1 Commitment appropriations (Fees from CRA and TR)

EXPENDITURE	Commitment appropriations (Fees from CRA and TR)			
	Executed Budget	Budget 2020	Draft Budget 2021	VAR

	2019		Agency request	Budget forecast	2021/2020 (%)
Title 1 - Staff expenditure	7 316 914	9 596 194	13 607 307	13 607 307	41,80%
Salaries & allowances	5 986 040	8 053 591	11 383 442	11 383 442	41,35%
- <i>Of which establishment plan posts</i>	5 981 617	8 046 894	11 378 853	11 378 853	41,41%
- <i>Of which external personnel</i>	4 423	6 697	4 589	4 589	-31,48%
Expenditure relating to Staff recruitment	73 664	155 199	178 119	178 119	14,77%
Employer's pension contributions	1 060 536	1 110 230	1 654 426	1 654 426	49,02%
Mission expenses					
Socio-medical infrastructure	138 293	196 728	255 949	255 949	30,10%
Training	57 164	78 894	133 590	133 590	69,33%
External Services					
Receptions, events and representation	1 217	1 552	1 781	1 781	14,76%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 967 247	1 987 226	2 330 711	2 330 711	17,28%
Rental of buildings and associated costs	1 721 130	1 625 900	1 891 946	1 891 946	16,36%
Information, communication technology and data processing	86 172	148 711	130 180	130 180	-12,46%
Movable property and associated costs					
Current administrative expenditure	159 945	212 615	308 585	308 585	45,14%
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	2 237 651	1 799 587	2 934 702	2 934 702	63,08%
Training for a common supervisory culture	204				
Collection of information : IT projects	1 762 604	1 323 475	2 257 182	2 257 182	70,55%
Legal advice	14 679	69 828	68 268	68 268	-2,23%
Access to data for Economic Research	99 384				
Mission expenses, travel and incidental expenses	124 617	217 251	389 066	389 066	79,09%
Communications	135 946	99 274	75 567	75 567	-23,88%
Meeting expenses	79 045	89 759	144 619	144 619	61,12%
Services on operational matters	21 172				
Title 4 - Delegated tasks					
TOTAL	11 521 812	13 383 007	18 872 720	18 872 720	41,02%

3.2.2.2 Payment appropriations (Fees from CRA and TR)

EXPENDITURE	Payment appropriations (Fees from CRA and TR)			
	Executed Budget	Budget 2020	Draft Budget 2021	VAR

	2019		Agency request	Budget forecast	2021/2020 (%)
Title 1 - Staff expenditure	7 316 914	9 596 194	13 607 307	13 607 307	41,80%
Salaries & allowances	5 986 040	8 053 591	11 383 442	11 383 442	41,35%
- <i>Of which establishment plan posts</i>	5 981 617	8 046 894	11 378 853	11 378 853	41,41%
- <i>Of which external personnel</i>	4 423	6 697	4 589	4 589	-31,48%
Expenditure relating to Staff recruitment	73 664	155 199	178 119	178 119	14,77%
Employer's pension contributions	1 060 536	1 110 230	1 654 426	1 654 426	49,02%
Mission expenses					
Socio-medical infrastructure	138 293	196 728	255 949	255 949	30,10%
Training	57 164	78 894	133 590	133 590	69,33%
External Services					
Receptions, events and representation	1 217	1 552	1 781	1 781	14,76%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 967 248	1 987 226	2 330 711	2 330 711	17,28%
Rental of buildings and associated costs	1 721 130	1 625 900	1 891 946	1 891 946	16,36%
Information, communication technology and data processing	86 173	148 711	130 180	130 180	-12,46%
Movable property and associated costs					
Current administrative expenditure	159 945	212 615	308 585	308 585	45,14%
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	2 237 650	1 799 587	2 934 702	2 934 702	63,08%
Training for a common supervisory culture	204				
Collection of information : IT projects	1 762 604	1 323 475	2 257 182	2 257 182	70,55%
Legal advice	14 679	69 828	68 268	68 268	-2,23%
Access to data for Economic Research	99 384				
Mission expenses, travel and incidental expenses	124 617	217 251	389 066	389 066	79,09%
Communications	135 946	99 274	75 567	75 567	-23,88%
Meeting expenses	79 044	89 759	144 619	144 619	61,12%
Services on operational matters	21 172				
Title 4 - Delegated tasks					
TOTAL	11 521 812	13 383 007	18 872 720	18 872 720	41,02%

3.2.3 Budget Outturn (Fees from CRA and TR)

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 194,645

3.3 Financial Resources (UE, NCA, NCA for delegated tasks)

3.3.1 Revenues (UE, NCA, NCA for delegated tasks)

3.3.1.1 General revenues (UE, NCA, NCA for delegated tasks)

REVENUES	General revenues (UE, NCA, NCA for delegated tasks)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	13 606 045	20 112 045	21 203 660	19 081 769	-5,12%
- Of which assigned revenues deriving from previous years' surpluses				77 858	100%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	558 239	625 437	681 705	727 298	16,29%
- Of which EEA/EFTA (excl. Switzerland)	558 239	625 437	681 705	727 298	16,29%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS	19 650 030	22 015 379	23 996 016	25 600 882	16,29%
5 ADMINISTRATIVE OPERATIONS		200 000			-100%
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
8 CONTRIBUTION FOR DELEGATED TASKS	1 717 312	1 697 615	1 741 849	1 741 849	2,61%
TOTAL	35 531 626	44 650 476	47 623 230	47 151 798	5,60%

3.3.1.2 Additional EU funding: contribution, grant and service level agreements (UE, NCA, NCA for delegated tasks)

REVENUES	Additional EU funding: contribution, grant and service level agreements (UE, NCA, NCA for delegated tasks)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.3.2 Expenditure (UE, NCA, NCA for delegated tasks)

3.3.2.1 Commitment appropriations (UE, NCA, NCA for delegated tasks)

EXPENDITURE	Commitment appropriations (UE, NCA, NCA for delegated tasks)			
	Executed Budget	Budget 2020	Draft Budget 2021	VAR

	2019		Agency request	Budget forecast	2021/2020 (%)
Title 1 - Staff expenditure	20 546 411	26 975 289	30 088 643	29 817 211	10,54%
Salaries & allowances	18 564 215	23 409 409	26 320 485	26 120 053	11,58%
- <i>Of which establishment plan posts</i>	<i>18 550 460</i>	<i>23 401 106</i>	<i>26 310 074</i>	<i>26 109 642</i>	<i>11,57%</i>
- <i>Of which external personnel</i>	<i>13 755</i>	<i>8 303</i>	<i>10 411</i>	<i>10 411</i>	<i>25,39%</i>
Expenditure relating to Staff recruitment	251 563	444 801	421 881	421 881	-5,15%
Employer's pension contributions	1 118 947	2 267 253	2 409 597	2 338 597	3,15%
Mission expenses					
Socio-medical infrastructure	430 114	623 272	616 051	616 051	-1,16%
Training	177 789	226 106	316 410	316 410	39,94%
External Services					
Receptions, events and representation	3 783	4 448	4 219	4 219	-5,15%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	6 118 441	6 027 774	5 724 289	5 524 289	-8,35%
Rental of buildings and associated costs	5 352 978	4 934 100	5 098 054	4 898 054	-0,73%
Information, communication technology and data processing	268 010	451 289	319 820	319 820	-29,13%
Movable property and associated costs					
Current administrative expenditure	497 453	642 385	306 415	306 415	-52,30%
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	6 959 432	9 197 413	9 320 298	9 320 298	1,34%
Training for a common supervisory culture	636	50 000	50 000	50 000	0,00%
Collection of information : IT projects	5 481 966	7 216 525	7 457 818	7 457 818	3,34%
Legal advice	45 653	80 172	81 732	81 732	1,95%
Access to data for Economic Research	309 100	600 000	600 000	600 000	0,00%
Mission expenses, travel and incidental expenses	387 579	392 749	390 934	390 934	-0,46%
Communications	422 811	417 726	254 433	254 433	-39,09%
Meeting expenses	245 839	355 241	385 381	385 381	8,48%
Services on operational matters	65 848	85 000	100 000	100 000	17,65%
Title 4 - Delegated tasks	1 907 342	2 450 000	2 490 000	2 490 000	1,63%
TOTAL	35 531 626	44 650 476	47 623 230	47 151 798	5,60%

3.3.2.2 Payment appropriations (UE, NCA, NCA for delegated tasks)

EXPENDITURE	Payment appropriations (UE, NCA, NCA for delegated tasks)			
	Executed Budget	Budget 2020	Draft Budget 2021	VAR

	2019		Agency request	Budget forecast	2021/2020 (%)
Title 1 - Staff expenditure	20 546 411	26 975 289	30 088 643	29 817 211	10,54%
Salaries & allowances	18 564 215	23 409 409	26 320 485	26 120 053	11,58%
- <i>Of which establishment plan posts</i>	<i>18 550 460</i>	<i>23 401 106</i>	<i>26 310 074</i>	<i>26 109 642</i>	<i>11,57%</i>
- <i>Of which external personnel</i>	<i>13 755</i>	<i>8 303</i>	<i>10 411</i>	<i>10 411</i>	<i>25,39%</i>
Expenditure relating to Staff recruitment	251 563	444 801	421 881	421 881	-5,15%
Employer's pension contributions	1 118 947	2 267 253	2 409 597	2 338 597	3,15%
Mission expenses					
Socio-medical infrastructure	430 114	623 272	616 051	616 051	-1,16%
Training	177 789	226 106	316 410	316 410	39,94%
External Services					
Receptions, events and representation	3 783	4 448	4 219	4 219	-5,15%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	6 118 441	6 027 774	5 724 289	5 524 289	-8,35%
Rental of buildings and associated costs	5 352 978	4 934 100	5 098 054	4 898 054	-0,73%
Information, communication technology and data processing	268 010	451 289	319 820	319 820	-29,13%
Movable property and associated costs					
Current administrative expenditure	497 453	642 385	306 415	306 415	-52,30%
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	6 959 432	9 197 413	9 320 298	9 320 298	1,34%
Training for a common supervisory culture	636	50 000	50 000	50 000	0,00%
Collection of information : IT projects	5 481 966	7 216 525	7 457 818	7 457 818	3,34%
Legal advice	45 653	80 172	81 732	81 732	1,95%
Access to data for Economic Research	309 100	600 000	600 000	600 000	0,00%
Mission expenses, travel and incidental expenses	387 579	392 749	390 934	390 934	-0,46%
Communications	422 811	417 726	254 433	254 433	-39,09%
Meeting expenses	245 839	355 241	385 381	385 381	8,48%
Services on operational matters	65 848	85 000	100 000	100 000	17,65%
Title 4 - Delegated tasks	1 907 342	2 450 000	2 490 000	2 490 000	1,63%
TOTAL	35 531 626	44 650 476	47 623 230	47 151 798	5,60%

3.3.3 Budget Outturn (UE, NCA, NCA for delegated tasks)

The 2019 surplus is EUR 194 645, of which EUR 77 858 relates to the EU budget and should be reimbursed as assigned revenue.

4 Justification of needs

Commission assessment

Human Resources

The Commission supports ESMA's request for 250 Establishment Plan for 2021. The Commission notes that for 2021 ESMA would have been entitled to 255 Establishment Plan posts, which are the 2020 Establishment Plan posts and the 29 additional Establishment Plan posts as foreseen in the Legislative Financial Statements for the ESAs Review, EMIR 2.2 and Crowdfunding. The Commission notes that ESMA has requested 5 Establishment plan posts less than the total number of posts that could have been allocated to it for 2021.

The Commission notes that ESMA has requested 101 Contract Agent posts and 15 Seconded National Experts (SNEs) which is a total of 116 posts.

However, in line with the Budget Circular for 2021 (Agency Instructions) the Commission can only support 83 Contract Agent posts for ESMA in 2021, of which 73 posts correspond to the 2020 allocation, 10 Contract Agent posts are for the ESAs Review (4 indirect and 6 direct supervision).

In turn, the Commission requests 33 Seconded National Experts (SNEs) posts for ESMA. The Commission notes that ESMA has requested only 15 SNE posts. However, given that the Authority could only have 83 Contract Agent posts, the Commission considers that 33 SNE posts would be needed for ESMA to have a total of the 116 allocations requested. (According to the 2020 Establishment Plan and the additional Legislative Financial Statements ESMA could have requested 35 SNEs).

Financial Resources

The Commission requests a Union subsidy of EUR 19 081 769 for ESMA, which reflects the following amounts:

- * EUR 12 876 480 representing the Commission Communication for 2020 with 2% indexation;
- * EUR 3 296 000 for the additional indirect supervision tasks resulting from the ESAs Review;
- * an advance of EUR 2 249 289 for the additional fee-funded direct supervision tasks resulting from the ESAs Review;
- * EUR 191 000 for the implementation of the Cross-border distribution of investment funds.
- * EUR 401 000 for the European Crowdfunding Service providers for Business;
- * EUR 68 000 for the establishment of a framework to facilitate sustainable finance investment.

Based on the information provided in the Agency Statement, the Commission is not in a position to support ESMA's request for additional EUR 2 121 891 which mainly relates to the additional fee-funded direct supervision tasks resulting from the ESAs Review as this amount is not provided for in the Legislative Financial Statement.

Agency Assessment

Financial Resources

ESMA's proposal for the 2021-2023 takes into account the resources for the new mandates received from the ESAs Review and EMIR 2.2, as well as the CMU tasks with confirmed Legislative Financial Statements (LFSs), e.g. Cross-Border Funds distribution and part of Sustainable Finance package. It does not include the budgetary and financial resources for Crowdfunding, Sovereign Bond-Backed Securities (SBBS) and for Investment Firms Framework (IFR) as these legislations were not yet subject to final confirmation from the co-legislators. Where one or more of these legislations, or the IFR LFS, are confirmed in the course of 2020, ESMA will integrate the relevant resources through an amendment.

Moreover, at the moment the ceilings concerning the 2021-2027 Multi-annual Financial Framework (MFF – the budget projections of the EU) are unknown.

As regards ESMA's new mandates on direct supervision activities, the LFSs of the ESAs Review and EMIR 2.2. foresee EU advances to cover ESMA's preparatory work for new direct supervisory mandates (Third Country CCPs, Data Service Providers, Benchmarks), as follows:

- EU advances for part of 2019 and 2020, in view of ESMA collecting EMIR 2.2. supervisory fees as from 2021;
- EU advances in 2020 and 2021, in view of ESMA starting its supervisory powers and consequently being self-financed via fees as from 2022 from Benchmarks and Data Service Providers under the ESAs Review.

The amount of the EU advance has to be later reimbursed via fees to the Commission.

Based on the above assumptions, ESMA's proposal of 2021 revenue breakdown is the following:

REVENUE	2021 (EUR)
Fees for direct supervision	18,872,720
Contributions from National Competent Authorities	24,677,721
EU subsidy- TOTAL	21,203,660
EU subsidy – MFF	15,821,850
ESAs' Review EU advance for direct supervision of Benchmarks and Data Service Provides	5,381,810
Sub-total	64,754,101
Annual contributions of National Competent Authorities and other entities to TRACE and FIRDS (IT delegated projects)	1,741,849
Total	66,495,950

In the below table you can see the details of 2021 fee revenue per kind of supervised entity:

ANNUAL SUPERVISORY FEES PER KIND OF ENTITY	2021 (EUR)
Credit Rating Agencies (CRAs)	10,545,743
Trade Repositories (TRs)	2,992,856
Securitisation Repositories (STs)	357,230
Securities Financing Transactions (SFTRs)	636,555
EMIR 2.2 – Third Countries Central Counterparties (CCPs)	4,340,336
FEES FOR DIRECT SUPERVISION	18,872,720

In order to understand properly the financial information included in the tables in this document, please be aware of the following:

- ESMA's budget is disclosed as a whole and, beside, split between fee-related budget and NCAs/EU-related budget;
- The fee-related budget includes the budget concerning all kind of ESMA's direct supervisory fees: from CRAs, TRs, SFTRs, STs, EMIR 2.2 (not only CRAs and TRs fees);
- The NCAs and EU-related budget includes the NCAs contributions and EU subsidy being part of ESMA's core budget on the basis of the 60/40 ratio, the contributions from NCAs and other external entities for ESMA's IT delegated projects (external assigned revenue) and the participation charges (€200,000) planned for 2020.

The split between fee versus NCAs/EU budget has been calculated:

- proportionally to the fee versus NCA/EU ratio in the executed budget for 2019; and
- on the basis of ESMA's Activity-Based Budgeting model for 2020 and 2021.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

The staffing figures proposed in this document for 2021 are within the LFSs staff ceilings of the confirmed mandates mentioned above:

Type of staff	2021
Temporary agents	250
Contract agents and SNEs	116
Total	366

Please consider that ESMA is currently experiencing difficulties in the recruitment of SNEs (the situation is getting worse with the Brexit). Therefore, ESMA proposes a ratio CAs/SNEs in favour of an increased number of CAs, having similar costs than SNEs.

It worth mentioning that many new mandates and tasks have been or are being taken up by ESMA via full internal redeployment and thus without any additional resources. Examples of these are the new tasks given to ESMA by the Prospectus Regulation and the Money Market Funds Regulation. In addition, already from 2020, a part of the confirmed new mandates under the ESAs Review and also EMIR 2.2. (particularly all new responsibilities in the area of EU CCPs) explicitly require ESMA to use internal redeployment for their implementation. Altogether, it is estimated that no less than 20 FTEs will have to be redeployed internally during the next four years, to manage these new tasks.

Moreover, ESMA has continued its programme on efficiency gains by, for example, digitalising its administration (HR, ethics, finance and procurement and facility management processes). This entire project has been managed only with internal resources and benefitting from existing tools already available in other EU agencies. Moreover, despite a moderate growth in staff (as per MFF and LFSs), ESMA staff travel less every year (20% less total number of missions since 2015). Overall ESMA receives more external stakeholders and visitors without increasing the staff managing this activity. Similarly, a growing budget has been managed with less overall transactions (2% less commitments and 7% less payments in 2018 vs 2017) due to a continuous effort to simplify and optimise processes while respecting the financial rules. In addition, ESMA has the strategy of optimising procurement resources by joining inter-institutional procedures and also by leading major inter-agency procurements.

4.1.2 Vacancy rate as of end 2019

The vacancy rate as of end 2019 was 7%.

4.1.3 Standard abatement ('abatement forfaitaire') applied

A linear phase-in for the budgeted salary costs for the requested new staff has been applied. Average date of entry into service is 01/07.

4.1.4 Salary assumption for calculating salary line (% applied)

Salary increases due to inflation have been assumed to be 2% in July 2020 and 2% July 2021. The overall vacancy rate has been calculated with average entry into service of the new staff from 1st July 2021. The vacancy rate is much higher than 2019 because of the significant recruitment implied by the ESAs' Review, EMIR 2.2 and CMU proposed legislations.

4.1.5 Correction coefficient used

The correction coefficient for France has been increased from 116.7% to 117.7% in the end of 2019.

4.1.6 Exchange rate used (if applicable)

4.2 Financial Resources - Agency request

4.2.1 Title 1

4.2.1.1 Title 1 (Fees from CRA and TR)

The staffing budget is aligned with the MFF establishment plan and the final version of the EMIR 2.2, the ESAs Review and confirmed LFSs for the confirmed mandates under the CMU tasks (Cross-Border Funds distribution and part of Sustainable Finance package). Its increase in planned posts and in the salary, pension costs and recruitment expenditure is mainly triggered by the accumulation of new tasks.

According to the Staff Regulations, ESMA, as an Authority partly financed from the general budget of the EU, pays the part of the employers' pension contributions corresponding to the proportion of its revenues without the EU subsidy (e.g. NAs contributions and fees) versus its total revenues. In 2021 this proportion is currently calculated at 76.06% and represents a cost equal to EUR 4,064,023, added to the Title 1 (the pension contribution proportion and the relevant amount to be covered by NCAs contribution and fees may be confirmed in possible amendments of the 2021-2023 SPD across 2020); this amount will not be funded by the EU subsidy.

4.2.1.2 Title 1 (UE, NCA, NCA for delegated tasks)

The staffing budget is aligned with the MFF establishment plan and the final version of the EMIR 2.2, the ESAs Review and confirmed LFSs for the confirmed mandates under the CMU tasks (Cross-Border Funds distribution and part of Sustainable Finance package). Its increase in planned posts and in the salary, pension costs and recruitment expenditure is mainly triggered by the accumulation of new tasks.

According to the Staff Regulations, ESMA, as an Authority partly financed from the general budget of the EU, pays the part of the employers' pension contributions corresponding to the proportion of its revenues without the EU subsidy (e.g. NAs contributions and fees) versus its total revenues. In 2021 this proportion is currently calculated at 76.06% and represents a cost equal to EUR 4,064,023, added to the Title 1 (the pension contribution proportion and the relevant amount to be covered by NCAs contribution and fees may be confirmed in possible amendments of the 2021-2023 SPD across 2020); this amount will not be funded by the EU subsidy.

4.2.2 Title 2

4.2.2.1 Title 2 (Fees from CRA and TR)

2020 is the first year of rent in ESMA's new premises. In the new and larger offices the cost of the rent per mq is lower than the previous one; this explains the almost flat increase in the rental of building and associated costs (including facility management services) between 2019 (without the additional staff for ESA Review, EMIR 2.2 and CMU tasks) and 2020.

Despite the need to furnish the additional staff with ICT material and to reinforce high compliance with Internal Control Standards on physical and cyber security, business continuity and document management, overall the Title 2 budget in 2021 is stable versus 2020 and even decreasing versus 2019.

4.2.2.2 Title 2 (UE, NCA, NCA for delegated tasks)

2020 is the first year of rent in ESMA's new premises. In the new and larger offices the cost of the rent per mq is lower than the previous one; this explains the almost flat increase in the rental of building and associated costs (including facility management services) between 2019 (without the additional staff for ESA Review, EMIR 2.2 and CMU tasks) and 2020.

Despite the need to furnish the additional staff with ICT material and to reinforce high compliance with Internal Control Standards on physical and cyber security, business continuity and document management, overall the Title 2 budget in 2021 is stable versus 2020 and even decreasing versus 2019.

4.2.3 Title 3

4.2.3.1 Title 3 (Fees from CRA and TR)

In 2021 the IT needs related to the execution of the additional mandates from the ESAs' Review, EMIR 2.2 and CMU tasks are reflected in the total cost for IT projects equal to EUR 9,715,000. This total amount includes the expenditure for

the development of new IT systems and for the maintenance of more than 30 systems that have been built previously further to mandates received from Level 1 legislation.

Finally, Title 3 also includes some proportionate increases across meetings with stakeholders and missions to account for the projected significant increase in the Authority's staff base and tasks.

4.2.3.2 Title 3 (UE, NCA, NCA for delegated tasks)

In 2021 the IT needs related to the execution of the additional mandates from the ESAs' Review, EMIR 2.2 and CMU tasks are reflected in the total cost for IT projects equal to EUR 9,715,000. This total amount includes the expenditure for the development of new IT systems and for the maintenance of more than 30 systems that have been built previously further to mandates received from Level 1 legislation.

Finally, Title 3 also includes some proportionate increases across meetings with stakeholders and missions to account for the projected significant increase in the Authority's staff base and tasks.

4.3 Ad hoc grants and delegation agreements

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	iBox	201-203 rue de Bercy, 75012 Paris - France	7 969	1 115	9 084	4 774 616	Lease expiring on 10 October 2028	Lease	None	
TOTAL			7 969	1 115	9 084	4 774 616				

5.1.2 Current building(s) Other comments

The annual rent is the contractual amount for the rent in 2020. Each year a nationally set rate of inflation is applied.

ESMA rents in addition 4 archive rooms and 28 car parking places, 5 motorcycle places and 35 bicycle places.

5.1.3 Building projects in the planning phase

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 European schools

Following the move from EBA to France, the French government decided to set up an accredited European school in Courbevoie as from September 2019, with a gradual opening of the different school levels and language sections in the future.

For the school year 2019/2020 only the English language section is fully available for the primary school level, the accreditation for the primary school level is expected for April 2020. The secondary level for the English language section is planned to be fully available from school year 2021/2022 with a planned accreditation in 2022.

Uncertainties remain regarding whether and when other language sections will be fully available for all school levels in the accredited European school.

Under those circumstances and in line with the practice of several EU agencies, ESMA decided to continue to provide schooling support and pre-schooling to its staff members.

Under the schooling support programme only the annual registration and annual tuition fees which exceed the education allowance are reimbursed up to a ceiling based on the average costs of multilingual schools in the Paris area.

The pre-school support is limited to a maximum amount of €3,000 per school year per child.

5.3 Evaluation

The first evaluation of ESMA as a component of the European System of Financial Supervisors was submitted to the Budgetary Authority by 08.08.2014 [COM (2014) 509 final].

In 2017 the Commission began the second review. This led to a legislative proposal to grant ESMA additional mandates, as explained in detail in the 2021-2023 multi-annual work programme and the 2021 detailed annual work programme above.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
ESMA benefits from the privileges granted by the Protocol (No 7) on the Privileges and Immunities of the European Union. The French Parliament endorsed ESMA's Headquarters agreement on 24 May 2019. ESMA Headquarters agreement entered into force in 2019.	None, beyond the provisions included in the Protocol (no 7) on the Privileges and Immunities of the European Union.	None.

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
<p>Regulation (EC) No. 1907/2006 of 18 December 2006, concerning the Registration, Evaluation, Authorisation and Restriction of Chemicals (REACH), establishing a European Chemicals Agency</p> <p>Regulation (EC) No. 1272/2008 of 16 December 2008 on classification, labelling and packaging of substances and mixtures</p>	<p>18/12/2006</p> <p>16/12/2008</p>	<ul style="list-style-type: none"> - Manage and carry out technical, scientific and administrative aspects of REACH and CLP Regulations - The REACH and CLP processes are designed to ensure a high level of protection of human health and the environment, including the promotion of alternative methods for assessment of hazards of substances, as well as the free circulation of substances on the internal market while enhancing competitiveness and innovation - Provide the Member States and the institutions of the Union with the best possible scientific and technical advice on questions relating to chemicals which fall under REACH or CLP - Manage IT based guidance documents, tools and data bases - Support national helpdesk and run a helpdesk for registrants - Make information on chemicals publicly accessible - Develop a poison centre notification portal
<p>Regulation (EU) No 528/2012 of the European Parliament and the Council of 22 May 2012 concerning the making available on the market and use of biocidal products</p>	<p>22/05/2012</p>	<ul style="list-style-type: none"> - Manage and carry out technical, scientific, and administrative aspects of the Biocidal Products Regulation - The purpose of the Biocides Regulation is to improve the functioning of the internal market through the harmonisation of the rules on the placing on the market and use of biocidal products, whilst ensuring a high level of protection of both human and animal health and the environment. The provisions of the Regulation are underpinned by the precautionary principle, the aim of which is to safeguard the health of humans, animals and the environment. - Establish and maintain the Register for Biocidal Products - Coordinate and manage the processing and evaluation of the applications covered by the Regulation (including active substance approval, Union authorisation, data sharing, technical equivalence, alternative suppliers) - Provide guidance, support national helpdesks and assist and advise application (through the ECHA Helpdesk) - Make information on biocides publicly accessible.
<p>Regulation (EU) No 649/2012 of the European Parliament and of the Council of 4 July 2012 concerning the export and import of hazardous chemicals (PIC-Regulation)</p>	<p>04/07/2012</p>	<ul style="list-style-type: none"> - Manage and carry out technical, scientific, and administrative aspects related to export and import of dangerous chemicals under the PIC Regulation - The objectives of the PIC Regulation are to implement the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, and to promote shared responsibility and cooperative efforts in the international movement of hazardous chemicals in order to protect human health and the environment from potential harm. Through its provisions it contributes to the environmentally sound use of hazardous chemicals. - Manage the tasks related to and the cooperation with Member States on export notifications and explicit import consents - Manage guidance documents and IT tools - Make information publicly available
<p>Regulation (EU) No 2019/1021 of the European Parliament and of the Council of 20 June 2019 on persistent organic pollutants</p>	<p>20/06/2019</p>	<ul style="list-style-type: none"> - Support the Commission and the Member States in fulfilling their obligations under the POPs-Regulation.

(POPs-Regulation)		<ul style="list-style-type: none"> - The objective of the POPs-Regulation is to implement international obligations of the Union and the Member States for eliminating Persistent Organic Pollutants in order to protect human health and the environment from these substances subject to the Stockholm Convention. Through its provisions the Regulation ensures the elimination of hazardous chemicals or, in exceptional cases, their environmentally sound use. - Carry out certain technical, scientific, and administrative tasks allocated in the proposal to ECHA related to the identification of new POPs, enforcement and reporting on the implementation of the Regulation. - Make information on POPs publicly available.
Directive (EU) 2018/851 of the European Parliament and of the Council of 30 May 2018 amending Directive 2008/98/EC on waste.	30/05/2018	<ul style="list-style-type: none"> - Develop and manage a new database under the Waste Framework Directive. - The objective of the revised Waste Framework Directive is to achieve more recycling of waste and contribute to the creation of a circular economy. The objective of the database is for ECHA to ensure that the information about the presence of substances of very high concern is available throughout the whole lifecycle of products and materials, including at the waste stage. - Establish and maintain a database of articles containing Candidate List substances and facilitate the submissions by article suppliers - Provide access to the database to waste operators and consumers. - Provide support to duty holders.
Proposal for a recast of the Directive of the European Parliament and of the Council on the quality of water intended for human consumption (Drinking Water Directive)		<ul style="list-style-type: none"> - The Agency shall, on the basis of national positive lists of starting substances and compositions, recommend a compiled list to the Commission for the purpose of establishing the first European Positive list. The European positive lists shall contain the only substances, compositions or constituents that are authorised to be used for manufacturing of final materials or products in contact with water intended for human consumption, including, where appropriate, conditions for the use of these materials and migration limits. - The Agency shall review and deliver an opinion on all the substances, compositions and constituents on the first European positive lists by 15 years after its adoption. - For the purposes of updating the European positive list the Agency shall deliver opinions on the inclusion or removal of substances and compositions.
Remark		<p>The Agency, established on 1 June 2007, will manage the registration, evaluation, authorisation and restriction processes for chemical substances as well the classification and labelling of substances and mixtures to ensure consistency across the European Union. These REACH processes are designed to provide additional information on chemicals, to ensure their safe use, and to ensure competitiveness of the European industry.</p> <p>In its decision-making the Agency will take the best available scientific and technical data and socio-economic information into account. It will also provide information on chemicals and technical and scientific advice.</p> <p>Under the Biocidal Products Regulation, adopted in 2012, ECHA is responsible for specific tasks with regard to applications for active substance approval and Union authorisation and other related tasks such as data sharing inquiries. The Biocidal products Committee has been established within the Agency to provide opinions to the Commission on scientific and technical matters relating to applications under the Regulation.</p> <p>The recast PIC Regulation, adopted in 2012, further adds to the remit of the Agency, and complements it with scientific, technical, and administrative tasks related to export and import of dangerous chemicals.</p> <p>The recast of the POPs-Regulation also adds to the remit of the Agency,</p>

		<p>and complements it with scientific, technical, and administrative tasks related to persistent organic pollutants.</p> <p>Under the Waste Framework Directive the Agency shall establish and maintain a new database of articles containing Candidate List substances.</p> <p>Under the proposed recast of the Drinking Water Directive the Agency shall make assessments of starting substances for materials in contact with drinking water.</p>
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1.2 Seat

Helsinki

1.3 Budget Line

03 10 01 01 : European Chemicals Agency — Chemicals legislation

03 10 01 02 : European Chemicals Agency — Activities in the field of biocides legislation

09 10 01 : European Chemicals Agency - Environmental directives and International conventions

1.4 Human Resources overview

1.4.1 Human Resources Overview ECHA

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	343	343	100,00%	347	357
Assistants (AST)	118	103	87,29%	116	109
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	461	446	96,75%	463	466
Contract Agents (CA)	119	122	102,52%	119	121
Seconded National Experts (SNE)	15	4	26,67%	15	15
TOTAL STAFF	595	572	96,13%	597	602

1.4.2 Human Resources Overview (REACH / CLP)

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	301	305	101,33%	303	310
Assistants (AST)	103	89	86,41%	101	94
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	404	394	97,52%	404	404
Contract Agents (CA)	102	106	103,92%	102	94
Seconded National Experts (SNE)	13	3	23,08%	13	13
TOTAL STAFF	519	503	96,92%	519	511

1.4.3 Human Resources Overview (BIOCIDES)

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	41	37	90,24%	43	43
Assistants (AST)	9	8	88,89%	9	9
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	50	45	90,00%	52	52
Contract Agents (CA)	15	14	93,33%	15	15
Seconded National Experts (SNE)	2	1	50,00%	2	2
TOTAL STAFF	67	60	89,55%	69	69

1.4.4 Human Resources Overview (Environmental directives and International conventions)

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	1	1	100,00%	1	4
Assistants (AST)	6	6	100,00%	6	6
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	7	7	100,00%	7	10
Contract Agents (CA)	2	2	100,00%	2	12
Seconded National Experts (SNE)					
TOTAL STAFF	9	9	100,00%	9	22

1.5 Financial Resources overview

1.5.1 Financial Resources Overview ECHA

1.5.1.1 Revenues Overview ECHA

1.5.1.1.1 General revenues ECHA

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	71 944 520	76 047 824
Other Revenue	42 094 661	34 703 713
TOTAL REVENUES	114 039 181	110 751 537

1.5.1.1.2 Additional EU funding: contribution, grant and service level agreements ECHA

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
Additional EU funding stemming from grant agreements (FFR Art.7)		
Additional EU funding stemming from contribution agreements (FFR Art.7)	2 091 000	1 680 000

Additional EU funding stemming from service level agreements (FFR Art. 43.2)	240 000	240 000
TOTAL REVENUES	2 331 000	1 920 000

1.5.1.2 Expenditure Overview ECHA

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	76 060 753	76 060 753	75 187 571	75 187 571
Title 2 - Infrastructure and operating expenditure	15 052 950	15 052 950	14 894 780	14 894 780
Title 3 - Operational expenditure	18 805 000	18 990 000	15 836 200	15 766 200
Title 4 - Operational expenditure	2 040 250	2 040 250	1 901 236	1 901 236
Title 5 - Operational expenditure	1 895 228	1 895 228	3 001 750	3 001 750
Title 6 - Other tasks	2 331 000	2 331 000	1 920 000	1 920 000
TOTAL EXPENDITURE	116 185 181	116 370 181	112 741 537	112 671 537

1.5.2 Financial Resources Overview (REACH / CLP)

1.5.2.1 Revenues Overview (REACH / CLP)

1.5.2.1.1 General revenues (REACH / CLP)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	61 879 520	63 614 564
Other Revenue	37 141 278	31 128 397
TOTAL REVENUES	99 020 798	94 742 961

1.5.2.1.2 Additional EU funding: contribution, grant and service level agreements (REACH / CLP)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
Additional EU funding stemming from grant agreements (FFR Art.7)		
Additional EU funding stemming from contribution agreements (FFR Art.7)	2 091 000	1 680 000
Additional EU funding stemming from service level agreements (FFR Art. 43.2)	240 000	240 000
TOTAL REVENUES	2 331 000	1 920 000

1.5.2.2 Expenditure Overview (REACH / CLP)

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	66 928 019	66 928 019	66 093 261	66 093 261

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 2 - Infrastructure and operating expenditure	13 102 779	13 102 779	12 883 500	12 883 500
Title 3 - Operational expenditure	18 805 000	18 990 000	15 836 200	15 766 200
Title 6 - Other tasks	2 331 000	2 331 000	1 920 000	1 920 000
TOTAL EXPENDITURE	101 166 798	101 351 798	96 732 961	96 662 961

1.5.3 Financial Resources Overview (BIOCIDES)

1.5.3.1 Revenues Overview (BIOCIDES)

1.5.3.1.1 General revenues (BIOCIDES)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	7 008 000	7 148 160
Other Revenue	4 953 383	3 575 316
TOTAL REVENUES	11 961 383	10 723 476

1.5.3.1.2 Additional EU funding: contribution, grant and service level agreements (BIOCIDES)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.3.2 Expenditure Overview (BIOCIDES)

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	8 210 883	8 210 883	7 300 310	7 300 310
Title 2 - Infrastructure and operating expenditure	1 710 250	1 710 250	1 521 930	1 521 930
Title 4 - Operational expenditure	2 040 250	2 040 250	1 901 236	1 901 236
TOTAL EXPENDITURE	11 961 383	11 961 383	10 723 476	10 723 476

1.5.4 Financial Resources Overview (Environmental directives and International conventions)

1.5.4.1 Revenues Overview (Environmental directives and International conventions)

1.5.4.1.1 General revenues (Environmental directives and International conventions)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	3 057 000	5 285 100

Other Revenue	0	0
TOTAL REVENUES	3 057 000	5 285 100

1.5.4.1.2 Additional EU funding: contribution, grant and service level agreements (Environmental directives and International conventions)

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.4.2 Expenditure Overview (Environmental directives and International conventions)

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	921 851	921 851	1 794 000	1 794 000
Title 2 - Infrastructure and operating expenditure	239 921	239 921	489 350	489 350
Title 5 - Operational expenditure	1 895 228	1 895 228	3 001 750	3 001 750
TOTAL EXPENDITURE	3 057 000	3 057 000	5 285 100	5 285 100

2 Human Resources

2.1 Establishment plan posts

2.1.1 Establishment plan posts ECHA

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		8		5		6		6		6
AD 13		16		9		16		16		16
AD 12		20		8		21		21		21
AD 11		34		21		32		32		32
AD 10		44		35		46		46		46
AD 9		62		47		66		65		65
AD 8		63		55		64		62		62
AD 7		65		85		57		62		62
AD 6		25		66		26		34		34
AD 5		6		12		13		14		13
AD TOTAL		343		343		347		358		357
AST 11										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 10		1								
AST 9		4		2		4		4		4
AST 8		6		3		8		8		8
AST 7		13		6		15		12		12
AST 6		20		12		22		20		20
AST 5		35		21		27		23		23
AST 4		23		27		26		25		25
AST 3		15		15		13		13		13
AST 2		1		17		1		5		4
AST 1										
AST TOTAL		118		103		116		110		109
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		461		446		463		468		466
GRAND TOTAL	461		446		463		468		466	

2.1.2 Establishment plan posts (REACH / CLP)

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		8		5		6		6		6
AD 13		16		9		15		15		15
AD 12		18		6		19		19		19
AD 11		31		21		30		30		30
AD 10		39		32		41		41		41
AD 9		52		45		56		55		55
AD 8		52		49		52		52		52
AD 7		61		72		51		53		53

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 6		19		54		21		27		27
AD 5		5		12		12		12		12
AD TOTAL		301		305		303		310		310
AST 11										
AST 10		1								
AST 9		4		2		4		4		4
AST 8		6		3		8		8		8
AST 7		10		6		12		9		9
AST 6		19		12		21		19		19
AST 5		32		20		23		19		19
AST 4		18		23		21		20		20
AST 3		12		11		11		11		11
AST 2		1		12		1		4		4
AST 1										
AST TOTAL		103		89		101		94		94
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		404		394		404		404		404
GRAND TOTAL	404		394		404		404		404	

2.1.3 Establishment plan posts (BIOCIDES)

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14										
AD 13						1		1		1
AD 12		2		2		2		2		2
AD 11		3				2		2		2

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 10		5		3		5		5		5
AD 9		10		2		10		10		10
AD 8		10		5		11		9		9
AD 7		4		13		6		8		8
AD 6		6		12		5		5		5
AD 5		1				1		2		1
AD TOTAL		41		37		43		44		43
AST 11										
AST 10										
AST 9										
AST 8										
AST 7		1				1		1		1
AST 6		1				1		1		1
AST 5		3		1		3		3		3
AST 4		3		3		3		3		3
AST 3		1		2		1		1		1
AST 2				2				1		
AST 1										
AST TOTAL		9		8		9		10		9
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		50		45		52		54		52
GRAND TOTAL		50		45		52		54		52

2.1.4 Establishment plan posts (Environmental directives and International conventions)

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 14										
AD 13										
AD 12										
AD 11										
AD 10										
AD 9										
AD 8		1		1		1		1		1
AD 7								1		1
AD 6								2		2
AD 5										
AD TOTAL		1		1		1		4		4
AST 11										
AST 10										
AST 9										
AST 8										
AST 7		2				2		2		2
AST 6										
AST 5						1		1		1
AST 4		2		1		2		2		2
AST 3		2		2		1		1		1
AST 2				3						
AST 1										
AST TOTAL		6		6		6		6		6
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		7		7		7		10		10
GRAND TOTAL		7		7		7		10		10

2.2 External personnel

2.2.1 External personnel ECHA

2.2.1.1 Contract Agents ECHA

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	29	26	29	41
Function Group III	70	57	70	60
Function Group II	20	39	20	20
Function Group I				
TOTAL	119	122	119	121

2.2.1.2 Seconded National Experts ECHA

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	15	4	15	15

2.2.2 External personnel (REACH /CLP)

2.2.2.1 Contract Agents (REACH /CLP)

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	20	21	20	24
Function Group III	64	53	64	52
Function Group II	18	32	18	18
Function Group I				
TOTAL	102	106	102	94

2.2.2.2 Seconded National Experts (REACH /CLP)

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	13	3	13	13

2.2.3 External personnel (BIOCIDES)

2.2.3.1 Contract Agents (BIOCIDES)

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	7	4	7	7
Function Group III	6	4	6	6
Function Group II	2	6	2	2
Function Group I				
TOTAL	15	14	15	15

2.2.3.2 Seconded National Experts (BIOCIDES)

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	2	1	2	2

2.2.4 External personnel (Environmental directives and International conventions)

2.2.4.1 Contract Agents (Environmental directives and International conventions)

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	2	1	2	10
Function Group III				2
Function Group II		1		
Function Group I				
TOTAL	2	2	2	12

2.2.4.2 Seconded National Experts (Environmental directives and International conventions)

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL				

3 Financial Resources

3.1 Financial Resources ECHA

3.1.1 Revenues ECHA

3.1.1.1 General revenues ECHA

REVENUES	General revenues ECHA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES	44 385 256	40 250 000	31 719 350	32 597 350	-19,01%
2 EU CONTRIBUTION	62 888 415	71 944 520	87 296 000	76 047 824	5,70%
- Of which assigned revenues deriving from previous years' surpluses	5 774 865	3 651 680	1 513 862	1 513 862	-58,54%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	1 615 033	1 844 661	2 339 750	2 106 363	14,19%
- Of which EEA/EFTA (excl. Switzerland)	1 615 033	1 844 661	2 339 750	2 106 363	14,19%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS	228 318				
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					

REVENUES	General revenues ECHA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	109 117 022	114 039 181	121 355 100	110 751 537	-2,88%

3.1.1.2 Additional EU funding: contribution, grant and service level agreements ECHA

REVENUES	Additional EU funding: contribution, grant and service level agreements ECHA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)	450 000				
Additional EU funding stemming from contribution agreements (FFR Art.7)	1 692 500	2 091 000	1 680 000	1 680 000	-19,66%
Additional EU funding stemming from service level agreements (FFR Art. 43.2)	1 024 428	240 000	240 000	240 000	0,00%
TOTAL	3 166 928	2 331 000	1 920 000	1 920 000	-17,63%

3.1.2 Expenditure ECHA

3.1.2.1 Commitment appropriations ECHA

EXPENDITURE	Commitment appropriations ECHA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	70 453 711	76 060 753	80 657 200	75 187 571	-1,15%
Salaries & allowances	58 366 860	66 746 800	71 316 350	68 311 160	2,34%
- Of which establishment plan posts	50 279 860	59 534 800	62 294 930	60 498 200	1,62%
- Of which external personnel	8 087 000	7 212 000	9 021 420	7 812 960	8,33%
Expenditure relating to Staff recruitment	718 868	681 514	716 000	559 000	-17,98%
Employer's pension contributions	5 703 000	3 095 000	2 795 850	2 543 211	-17,83%
Mission expenses	38 014	41 401	41 800	32 000	-22,71%
Socio-medical infrastructure	1 821 733	1 921 361	1 975 000	1 768 500	-7,96%
Training	647 877	860 376	942 200	568 700	-33,90%
External Services	3 157 359	2 714 301	2 870 000	1 405 000	-48,24%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	17 180 600	15 052 950	15 175 200	14 894 780	-1,05%
Rental of buildings and associated costs	7 297 639	7 885 745	7 978 900	7 872 130	-0,17%
Information, communication technology and data processing	6 993 293	6 546 723	6 580 100	6 460 100	-1,32%

EXPENDITURE	Commitment appropriations ECHA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Movable property and associated costs	2 410 033	364 401	312 300	295 650	-18,87%
Current administrative expenditure	472 701	242 081	289 000	259 500	7,20%
Postage / Telecommunications					
Meeting expenses	6 934	14 000	14 900	7 400	-47,14%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	16 376 586	18 805 000	19 970 700	15 836 200	-15,79%
Registration, datasharing and dissemination	456 296	297 000	300 000	200 000	-32,66%
Evaluation	1 910	85 500	80 000	40 000	-53,22%
Risk Management	318 391	800 000	950 000	450 000	-43,75%
Classification and labelling	31 818	70 000	70 000	17 500	-75,00%
Advice and assistance through guidance and helpdesk	76 361	200 000	170 000	115 000	-42,50%
Scientific IT tools	9 482 856	10 000 000	10 566 700	9 366 700	-6,33%
Scientific and technical advice to EU institutions	256 027	380 000	400 000	300 000	-21,05%
Committees and Forum	1 298 080	1 600 000	1 700 000	725 000	-54,69%
Board of appeal	36 299	77 000	77 000	67 000	-12,99%
Communications including translations	1 765 483	2 050 000	2 300 000	1 850 000	-9,76%
International cooperation	4 831	80 000	50 000	30 000	-62,50%
Management Board and management of the Agency	661 213	965 500	1 000 000	700 000	-27,50%
Missions	432 531	450 000	557 000	225 000	-50,00%
External training					
Refunds					
Substance evaluation and Rapporteurs (Differentiated appropriations)	1 354 510	950 000	1 100 000	1 100 000	15,79%
Cooperation with international organisations for IT programmes (Differentiated appropriations)	199 980	800 000	650 000	650 000	-18,75%
Title 4 - Operational expenditure	3 697 183	2 040 250	2 421 500	1 901 236	-6,81%
Substances, products and technical equivalence		10 000	200 000	169 736	1597,36%
Refunds pursuant to Article 13 of the Regulation (EU) 564/2013					
Submissions, datasharing and dissemination					
Advice and assistance through guidance and helpdesk	18 997	38 750	50 000	50 000	29,03%
Scientific IT tools	3 162 919	1 200 000	1 300 000	1 000 000	-16,67%
Scientific and technical advice to EU institutions					
Biocidal products Committee and Forum	341 314	475 000	580 000	450 000	-5,26%

EXPENDITURE	Commitment appropriations ECHA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Board of appeal	3 777	11 500	11 500	11 500	0,00%
Communications including translations	54 586	100 000	100 000	100 000	0,00%
Management Board and management of the Agency	59 590	135 000	110 000	80 000	-40,74%
Missions	56 000	70 000	70 000	40 000	-42,86%
External training					
Cooperation with international organisations for IT programs					
Preparatory work BPR 13/3938 Norwegian					
Title 5 - Operational expenditure	572 055	1 895 228	3 200 500	3 001 750	58,38%
Studies and consultants			20 000	20 000	100%
Advice and assistance through guidance and helpdesk					
Scientific IT tools	527 071	1 663 728	3 022 900	2 867 450	72,35%
Meetings with authorities and expert groups			18 600	9 300	100%
Communications including translations	23 983	195 000	100 000	85 000	-56,41%
Missions	21 001	36 500	39 000	20 000	-45,21%
External training					
Title 6 - Other tasks	3 240 364	2 331 000	1 920 000	1 920 000	-17,63%
IPA programme	358 508				
EUON	930 512	892 000	600 000	600 000	-32,74%
EUCLEF	967 680	1 199 000	1 080 000	1 080 000	-9,92%
Occupational exposure limits	199 236	240 000	240 000	240 000	0,00%
Further development of IUCLID (as co-investments from third parties)	784 428				
TOTAL	111 520 499	116 185 181	123 345 100	112 741 537	-2,96%

3.1.2.2 Payment appropriations ECHA

EXPENDITURE	Payment appropriations ECHA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	70 448 931	76 060 753	80 657 200	75 187 571	-1,15%
Salaries & allowances	58 362 080	66 746 800	71 316 350	68 311 160	2,34%
- Of which establishment plan posts	50 275 080	59 534 800	62 294 930	60 498 200	1,62%
- Of which external personnel	8 087 000	7 212 000	9 021 420	7 812 960	8,33%
Expenditure relating to Staff recruitment	718 868	681 514	716 000	559 000	-17,98%
Employer's pension contributions	5 703 000	3 095 000	2 795 850	2 543 211	-17,83%
Mission expenses	38 014	41 401	41 800	32 000	-22,71%
Socio-medical infrastructure	1 821 733	1 921 361	1 975 000	1 768 500	-7,96%
Training	647 877	860 376	942 200	568 700	-33,90%
External Services	3 157 359	2 714 301	2 870 000	1 405 000	-48,24%

EXPENDITURE	Payment appropriations ECHA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	17 180 599	15 052 950	15 175 200	14 894 780	-1,05%
Rental of buildings and associated costs	7 297 638	7 885 745	7 978 900	7 872 130	-0,17%
Information, communication technology and data processing	6 993 293	6 546 723	6 580 100	6 460 100	-1,32%
Movable property and associated costs	2 410 033	364 401	312 300	295 650	-18,87%
Current administrative expenditure	472 701	242 081	289 000	259 500	7,20%
Postage / Telecommunications					
Meeting expenses	6 934	14 000	14 900	7 400	-47,14%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	15 779 490	18 990 000	19 900 700	15 766 200	-16,98%
Registration, datatsharing and dissemination	456 296	297 000	300 000	200 000	-32,66%
Evaluation	1 910	85 500	80 000	40 000	-53,22%
Risk Management	318 391	800 000	950 000	450 000	-43,75%
Classification and labelling	31 818	70 000	70 000	17 500	-75,00%
Advice and assistance through guidance and helpdesk	76 361	200 000	170 000	115 000	-42,50%
Scientific IT tools	9 482 856	10 000 000	10 566 700	9 366 700	-6,33%
Scientific and technical advice to EU institutions	256 027	380 000	400 000	300 000	-21,05%
Committees and Forum	1 298 080	1 600 000	1 700 000	725 000	-54,69%
Board of appeal	36 299	77 000	77 000	67 000	-12,99%
Communications including translations	1 765 483	2 050 000	2 300 000	1 850 000	-9,76%
International cooperation	4 831	80 000	50 000	30 000	-62,50%
Management Board and management of the Agency	661 213	965 500	1 000 000	700 000	-27,50%
Missions	432 531	450 000	557 000	225 000	-50,00%
External training					
Refunds					
Substance evaluation and Rapporteurs (Differentiated appropriations)	525 259	1 096 000	1 030 000	1 030 000	-6,02%
Cooperation with international organisations for IT programmes (Differentiated appropriations)	432 135	839 000	650 000	650 000	-22,53%
Title 4 - Operational expenditure	3 697 183	2 040 250	2 421 500	1 901 236	-6,81%
Substances, products and technical equivalence		10 000	200 000	169 736	1597,36%
Refunds pursuant to Article 13 of the					

EXPENDITURE	Payment appropriations ECHA				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Regulation (EU) 564/2013					
Submissions, datatsharing and dissemination					
Advice and assistance through guidance and helpdesk	18 997	38 750	50 000	50 000	29,03%
Scientific IT tools	3 162 919	1 200 000	1 300 000	1 000 000	-16,67%
Scientific and technical advice to EU institutions					
Biocidal products Committee and Forum	341 314	475 000	580 000	450 000	-5,26%
Board of appeal	3 777	11 500	11 500	11 500	0,00%
Communications including translations	54 586	100 000	100 000	100 000	0,00%
Management Board and management of the Agency	59 590	135 000	110 000	80 000	-40,74%
Missions	56 000	70 000	70 000	40 000	-42,86%
External training					
Cooperation with international organisations for IT programs					
Preparatory work BPR 13/3938 Norwegian					
Title 5 - Operational expenditure	572 055	1 895 228	3 200 500	3 001 750	58,38%
Studies and consultants			20 000	20 000	100%
Advice and assistance through guidance and helpdesk					
Scientific IT tools	527 071	1 663 728	3 022 900	2 867 450	72,35%
Meetings with authorities and expert groups			18 600	9 300	100%
Communications including translations	23 983	195 000	100 000	85 000	-56,41%
Missions	21 001	36 500	39 000	20 000	-45,21%
External training					
Title 6 - Other tasks	3 240 364	2 331 000	1 920 000	1 920 000	-17,63%
IPA programme	358 508				
EUON	930 512	892 000	600 000	600 000	-32,74%
EUCLEF	967 680	1 199 000	1 080 000	1 080 000	-9,92%
Occupational exposure limits	199 236	240 000	240 000	240 000	0,00%
Further development of IUCLID (as co-investments from third parties)	784 428				
TOTAL	110 918 622	116 370 181	123 275 100	112 671 537	-3,18%

3.2 Financial Resources (REACH / CLP)

3.2.1 Revenues (REACH / CLP)

3.2.1.1 General revenues (REACH / CLP)

REVENUES	General revenues (REACH / CLP)			
	Executed Budget	Budget 2020	Draft Budget 2021	VAR

	2019		Agency request	Budget forecast	2021/2020 (%)
1 REVENUE FROM FEES AND CHARGES	34 740 608	35 700 000	29 447 350	29 447 350	-17,51%
2 EU CONTRIBUTION	58 346 000	61 879 520	71 700 000	63 614 564	2,80%
<i>- Of which assigned revenues deriving from previous years' surpluses</i>	4 664 235	3 051 863	1 353 559	1 353 559	-55,65%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	1 412 237	1 441 278	1 756 650	1 681 047	16,64%
<i>- Of which EEA/EFTA (excl. Switzerland)</i>	1 412 237	1 441 278	1 756 650	1 681 047	16,64%
<i>- Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS	203 892				
<i>- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	94 702 737	99 020 798	102 904 000	94 742 961	-4,32%

3.2.1.2 Additional EU funding: contribution, grant and service level agreements (REACH / CLP)

REVENUES	Additional EU funding: contribution, grant and service level agreements (REACH / CLP)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)	450 000				
Additional EU funding stemming from contribution agreements (FFR Art.7)	1 692 500	2 091 000	1 680 000	1 680 000	-19,66%
Additional EU funding stemming from service level agreements (FFR Art. 43.2)	1 024 428	240 000	240 000	240 000	0,00%
TOTAL	3 166 928	2 331 000	1 920 000	1 920 000	-17,63%

3.2.2 Expenditure (REACH / CLP)

3.2.2.1 Commitment appropriations (REACH / CLP)

EXPENDITURE	Commitment appropriations (REACH / CLP)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	62 624 112	66 928 019	70 100 300	66 093 261	-1,25%
Salaries & allowances	51 855 979	58 910 000	61 946 850	59 936 850	1,74%
<i>- Of which establishment plan posts</i>	44 956 979	52 950 000	54 961 390	53 891 390	1,78%
<i>- Of which external personnel</i>	6 899 000	5 960 000	6 985 460	6 045 460	1,43%
Expenditure relating to Staff recruitment	674 233	545 537	546 000	446 000	-18,25%
Employer's pension contributions	5 088 000	2 715 000	2 604 450	2 393 211	-11,85%
Mission expenses	32 801	36 018	35 800	30 000	-16,71%

EXPENDITURE	Commitment appropriations (REACH / CLP)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Socio-medical infrastructure	1 594 015	1 671 582	1 700 000	1 620 000	-3,09%
Training	585 105	752 081	817 200	517 200	-31,23%
External Services	2 793 979	2 297 801	2 450 000	1 150 000	-49,95%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	15 029 985	13 102 779	12 903 000	12 883 500	-1,67%
Rental of buildings and associated costs	6 373 921	6 860 597	6 790 000	6 790 000	-1,03%
Information, communication technology and data processing	6 119 269	5 695 648	5 580 000	5 580 000	-2,03%
Movable property and associated costs	2 108 779	317 028	270 000	270 000	-14,83%
Current administrative expenditure	421 902	217 214	250 000	237 000	9,11%
Postage / Telecommunications					
Meeting expenses	6 114	12 292	13 000	6 500	-47,12%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	16 376 586	18 805 000	19 970 700	15 836 200	-15,79%
Registration, datatsharing and dissemination	456 296	297 000	300 000	200 000	-32,66%
Evaluation	1 910	85 500	80 000	40 000	-53,22%
Risk Management	318 391	800 000	950 000	450 000	-43,75%
Classification and labelling	31 818	70 000	70 000	17 500	-75,00%
Advice and assistance through guidance and helpdesk	76 361	200 000	170 000	115 000	-42,50%
Scientific IT tools	9 482 856	10 000 000	10 566 700	9 366 700	-6,33%
Scientific and technical advice to EU institutions	256 027	380 000	400 000	300 000	-21,05%
Committees and Forum	1 298 080	1 600 000	1 700 000	725 000	-54,69%
Board of appeal	36 299	77 000	77 000	67 000	-12,99%
Communications including translations	1 765 483	2 050 000	2 300 000	1 850 000	-9,76%
International cooperation	4 831	80 000	50 000	30 000	-62,50%
Management Board and management of the Agency	661 213	965 500	1 000 000	700 000	-27,50%
Missions	432 531	450 000	557 000	225 000	-50,00%
External training					
Refunds					
Substance evaluation and Rapporteurs (Differentiated appropriations)	1 354 510	950 000	1 100 000	1 100 000	15,79%
Cooperation with international organisations for IT programmes (Differentiated appropriations)	199 980	800 000	650 000	650 000	-18,75%

EXPENDITURE	Commitment appropriations (REACH / CLP)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 6 - Other tasks	3 240 364	2 331 000	1 920 000	1 920 000	-17,63%
IPA programme	358 508				
EUON	930 512	892 000	600 000	600 000	-32,74%
EUCLEF	967 680	1 199 000	1 080 000	1 080 000	-9,92%
Occupational exposure limits	199 236	240 000	240 000	240 000	0,00%
Further development of IUCLID (as co-investments from third parties)	784 428				
TOTAL	97 271 047	101 166 798	104 894 000	96 732 961	-4,38%

3.2.2.2 Payment appropriations (REACH / CLP)

EXPENDITURE	Payment appropriations (REACH / CLP)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	62 619 332	66 928 019	70 100 300	66 093 261	-1,25%
Salaries & allowances	51 851 199	58 910 000	61 946 850	59 936 850	1,74%
- Of which establishment plan posts	44 952 199	52 950 000	54 961 390	53 891 390	1,78%
- Of which external personnel	6 899 000	5 960 000	6 985 460	6 045 460	1,43%
Expenditure relating to Staff recruitment	674 233	545 537	546 000	446 000	-18,25%
Employer's pension contributions	5 088 000	2 715 000	2 604 450	2 393 211	-11,85%
Mission expenses	32 801	36 018	35 800	30 000	-16,71%
Socio-medical infrastructure	1 594 015	1 671 582	1 700 000	1 620 000	-3,09%
Training	585 105	752 081	817 200	517 200	-31,23%
External Services	2 793 979	2 297 801	2 450 000	1 150 000	-49,95%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	15 029 985	13 102 779	12 903 000	12 883 500	-1,67%
Rental of buildings and associated costs	6 373 921	6 860 597	6 790 000	6 790 000	-1,03%
Information, communication technology and data processing	6 119 269	5 695 648	5 580 000	5 580 000	-2,03%
Movable property and associated costs	2 108 779	317 028	270 000	270 000	-14,83%
Current administrative expenditure	421 902	217 214	250 000	237 000	9,11%
Postage / Telecommunications					
Meeting expenses	6 114	12 292	13 000	6 500	-47,12%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	15 779 490	18 990 000	19 900 700	15 766 200	-16,98%

EXPENDITURE	Payment appropriations (REACH / CLP)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Registration, datasharing and dissemination	456 296	297 000	300 000	200 000	-32,66%
Evaluation	1 910	85 500	80 000	40 000	-53,22%
Risk Management	318 391	800 000	950 000	450 000	-43,75%
Classification and labelling	31 818	70 000	70 000	17 500	-75,00%
Advice and assistance through guidance and helpdesk	76 361	200 000	170 000	115 000	-42,50%
Scientific IT tools	9 482 856	10 000 000	10 566 700	9 366 700	-6,33%
Scientific and technical advice to EU institutions	256 027	380 000	400 000	300 000	-21,05%
Committees and Forum	1 298 080	1 600 000	1 700 000	725 000	-54,69%
Board of appeal	36 299	77 000	77 000	67 000	-12,99%
Communications including translations	1 765 483	2 050 000	2 300 000	1 850 000	-9,76%
International cooperation	4 831	80 000	50 000	30 000	-62,50%
Management Board and management of the Agency	661 213	965 500	1 000 000	700 000	-27,50%
Missions	432 531	450 000	557 000	225 000	-50,00%
External training					
Refunds					
Substance evaluation and Rapporteurs (Differentiated appropriations)	525 259	1 096 000	1 030 000	1 030 000	-6,02%
Cooperation with international organisations for IT programmes (Differentiated appropriations)	432 135	839 000	650 000	650 000	-22,53%
Title 6 - Other tasks	3 240 364	2 331 000	1 920 000	1 920 000	-17,63%
IPA programme	358 508				
EUON	930 512	892 000	600 000	600 000	-32,74%
EUCLEF	967 680	1 199 000	1 080 000	1 080 000	-9,92%
Occupational exposure limits	199 236	240 000	240 000	240 000	0,00%
Further development of IUCLID (as co-investments from third parties)	784 428				
TOTAL	96 669 171	101 351 798	104 824 000	96 662 961	-4,63%

3.2.3 Budget Outturn (REACH / CLP)

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): 1 353 559.23 EUR

3.3 Financial Resources (BIOCIDES)

3.3.1 Revenues (BIOCIDES)

3.3.1.1 General revenues (BIOCIDES)

REVENUES	General revenues (BIOCIDES)			
	Executed Budget	Budget 2020	Draft Budget 2021	VAR

	2019		Agency request	Budget forecast	2021/2020 (%)
1 REVENUE FROM FEES AND CHARGES	9 644 648	4 550 000	2 272 000	3 150 000	-30,77%
2 EU CONTRIBUTION	2 978 415	7 008 000	9 800 000	7 148 160	2,00%
<i>- Of which assigned revenues deriving from previous years' surpluses</i>	1 096 245	577 292	134 997	134 997	-76,62%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	202 796	403 383	583 100	425 316	5,44%
<i>- Of which EEA/EFTA (excl. Switzerland)</i>	202 796	403 383	583 100	425 316	5,44%
<i>- Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS	24 358				
<i>- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	12 850 217	11 961 383	12 655 100	10 723 476	-10,35%

3.3.1.2 Additional EU funding: contribution, grant and service level agreements (BIOCIDES)

REVENUES	Additional EU funding: contribution, grant and service level agreements (BIOCIDES)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.3.2 Expenditure (BIOCIDES)

3.3.2.1 Commitment appropriations (BIOCIDES)

EXPENDITURE	Commitment appropriations (BIOCIDES)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	7 102 324	8 210 883	8 455 900	7 300 310	-11,09%
Salaries & allowances	5 943 444	7 150 000	7 594 500	6 819 310	-4,63%
<i>- Of which establishment plan posts</i>	4 790 444	6 018 000	6 428 540	5 769 310	-4,13%
<i>- Of which external personnel</i>	1 153 000	1 132 000	1 165 960	1 050 000	-7,24%
Expenditure relating to Staff recruitment	33 482	123 273	100 000	50 000	-59,44%
Employer's pension contributions	615 000	380 000	191 400	150 000	-60,53%
Mission expenses	4 629	4 720	5 000	1 000	-78,81%
Socio-medical infrastructure	202 213	219 036	225 000	100 000	-54,35%

EXPENDITURE	Commitment appropriations (BIOCIDES)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Training	56 370	94 831	100 000	30 000	-68,36%
External Services	247 186	239 023	240 000	150 000	-37,24%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 909 868	1 710 250	1 777 700	1 521 930	-11,01%
Rental of buildings and associated costs	820 332	898 975	935 000	828 230	-7,87%
Information, communication technology and data processing	776 140	746 327	770 000	650 000	-12,91%
Movable property and associated costs	267 514	41 542	37 000	23 000	-44,63%
Current administrative expenditure	45 109	21 794	34 000	20 000	-8,23%
Postage / Telecommunications					
Meeting expenses	773	1 612	1 700	700	-56,58%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 4 - Operational expenditure	3 697 183	2 040 250	2 421 500	1 901 236	-6,81%
Substances, products and technical equivalence		10 000	200 000	169 736	1597,36%
Refunds pursuant to Article 13 of the Regulation (EU) 564/2013					
Submissions, datasharing and dissemination					
Advice and assistance through guidance and helpdesk	18 997	38 750	50 000	50 000	29,03%
Scientific IT tools	3 162 919	1 200 000	1 300 000	1 000 000	-16,67%
Scientific and technical advice to EU institutions					
Biocidal products Committee and Forum	341 314	475 000	580 000	450 000	-5,26%
Board of appeal	3 777	11 500	11 500	11 500	0,00%
Communications including translations	54 586	100 000	100 000	100 000	0,00%
Management Board and management of the Agency	59 590	135 000	110 000	80 000	-40,74%
Missions	56 000	70 000	70 000	40 000	-42,86%
External training					
Cooperation with international organisations for IT programs					
Preparatory work BPR 13/3938 Norwegian					
TOTAL	12 709 375	11 961 383	12 655 100	10 723 476	-10,35%

3.3.2.2 Payment appropriations (BIOCIDES)

EXPENDITURE	Payment appropriations (BIOCIDES)
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	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	7 102 324	8 210 883	8 455 900	7 300 310	-11,09%
Salaries & allowances	5 943 444	7 150 000	7 594 500	6 819 310	-4,63%
<i>- Of which establishment plan posts</i>	<i>4 790 444</i>	<i>6 018 000</i>	<i>6 428 540</i>	<i>5 769 310</i>	<i>-4,13%</i>
<i>- Of which external personnel</i>	<i>1 153 000</i>	<i>1 132 000</i>	<i>1 165 960</i>	<i>1 050 000</i>	<i>-7,24%</i>
Expenditure relating to Staff recruitment	33 482	123 273	100 000	50 000	-59,44%
Employer's pension contributions	615 000	380 000	191 400	150 000	-60,53%
Mission expenses	4 629	4 720	5 000	1 000	-78,81%
Socio-medical infrastructure	202 213	219 036	225 000	100 000	-54,35%
Training	56 370	94 831	100 000	30 000	-68,36%
External Services	247 186	239 023	240 000	150 000	-37,24%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 909 867	1 710 250	1 777 700	1 521 930	-11,01%
Rental of buildings and associated costs	820 331	898 975	935 000	828 230	-7,87%
Information, communication technology and data processing	776 140	746 327	770 000	650 000	-12,91%
Movable property and associated costs	267 514	41 542	37 000	23 000	-44,63%
Current administrative expenditure	45 109	21 794	34 000	20 000	-8,23%
Postage / Telecommunications					
Meeting expenses	773	1 612	1 700	700	-56,58%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 4 - Operational expenditure	3 697 183	2 040 250	2 421 500	1 901 236	-6,81%
Substances, products and technical equivalence		10 000	200 000	169 736	1597,36%
Refunds pursuant to Article 13 of the Regulation (EU) 564/2013					
Submissions, datasharing and dissemination					
Advice and assistance through guidance and helpdesk	18 997	38 750	50 000	50 000	29,03%
Scientific IT tools	3 162 919	1 200 000	1 300 000	1 000 000	-16,67%
Scientific and technical advice to EU institutions					
Biocidal products Committee and Forum	341 314	475 000	580 000	450 000	-5,26%
Board of appeal	3 777	11 500	11 500	11 500	0,00%
Communications including translations	54 586	100 000	100 000	100 000	0,00%
Management Board and management of the Agency	59 590	135 000	110 000	80 000	-40,74%
Missions	56 000	70 000	70 000	40 000	-42,86%
External training					

EXPENDITURE	Payment appropriations (BIOCIDES)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Cooperation with international organisations for IT programs					
Preparatory work BPR 13/3938 Norwegian					
TOTAL	12 709 374	11 961 383	12 655 100	10 723 476	-10,35%

3.3.3 Budget Outturn (BIOCIDES)

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): 134 996.53 EUR

3.4 Financial Resources (Environmental directives and International conventions)

3.4.1 Revenues (Environmental directives and International conventions)

3.4.1.1 General revenues (Environmental directives and International conventions)

REVENUES	General revenues (Environmental directives and International conventions)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	1 564 000	3 057 000	5 796 000	5 285 100	72,89%
- Of which assigned revenues deriving from previous years' surpluses	14 385	22 525	25 306	25 306	12,35%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
- Of which EEA/EFTA (excl. Switzerland)					
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS	68				
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	1 564 068	3 057 000	5 796 000	5 285 100	72,89%

3.4.1.2 Additional EU funding: contribution, grant and service level agreements (Environmental directives and International conventions)

REVENUES	Additional EU funding: contribution, grant and service level agreements (Environmental directives and International conventions)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					

REVENUES	Additional EU funding: contribution, grant and service level agreements (Environmental directives and International conventions)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.4.2 Expenditure (Environmental directives and International conventions)

3.4.2.1 Commitment appropriations (Environmental directives and International conventions)

EXPENDITURE	Commitment appropriations (Environmental directives and International conventions)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	727 275	921 851	2 101 000	1 794 000	94,61%
Salaries & allowances	567 437	686 800	1 775 000	1 555 000	126,41%
- Of which establishment plan posts	532 437	566 800	905 000	837 500	47,76%
- Of which external personnel	35 000	120 000	870 000	717 500	497,92%
Expenditure relating to Staff recruitment	11 153	12 704	70 000	63 000	395,91%
Employer's pension contributions					
Mission expenses	584	663	1 000	1 000	50,83%
Socio-medical infrastructure	25 505	30 743	50 000	48 500	57,76%
Training	6 402	13 464	25 000	21 500	59,69%
External Services	116 194	177 477	180 000	105 000	-40,84%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	240 747	239 921	494 500	489 350	103,96%
Rental of buildings and associated costs	103 386	126 173	253 900	253 900	101,23%
Information, communication technology and data processing	97 884	104 748	230 100	230 100	119,67%
Movable property and associated costs	33 740	5 831	5 300	2 650	-54,55%
Current administrative expenditure	5 690	3 073	5 000	2 500	-18,65%
Postage / Telecommunications					
Meeting expenses	47	96	200	200	108,33%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 5 - Operational expenditure	572 055	1 895 228	3 200 500	3 001 750	58,38%
Studies and consultants			20 000	20 000	100%

EXPENDITURE	Commitment appropriations (Environmental directives and International conventions)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Advice and assistance through guidance and helpdesk					
Scientific IT tools	527 071	1 663 728	3 022 900	2 867 450	72,35%
Meetings with authorities and expert groups			18 600	9 300	100%
Communications including translations	23 983	195 000	100 000	85 000	-56,41%
Missions	21 001	36 500	39 000	20 000	-45,21%
External training					
TOTAL	1 540 077	3 057 000	5 796 000	5 285 100	72,89%

3.4.2.2 Payment appropriations (Environmental directives and International conventions)

EXPENDITURE	Payment appropriations (Environmental directives and International conventions)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	727 275	921 851	2 101 000	1 794 000	94,61%
Salaries & allowances	567 437	686 800	1 775 000	1 555 000	126,41%
- Of which establishment plan posts	532 437	566 800	905 000	837 500	47,76%
- Of which external personnel	35 000	120 000	870 000	717 500	497,92%
Expenditure relating to Staff recruitment	11 153	12 704	70 000	63 000	395,91%
Employer's pension contributions					
Mission expenses	584	663	1 000	1 000	50,83%
Socio-medical infrastructure	25 505	30 743	50 000	48 500	57,76%
Training	6 402	13 464	25 000	21 500	59,69%
External Services	116 194	177 477	180 000	105 000	-40,84%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	240 747	239 921	494 500	489 350	103,96%
Rental of buildings and associated costs	103 386	126 173	253 900	253 900	101,23%
Information, communication technology and data processing	97 884	104 748	230 100	230 100	119,67%
Movable property and associated costs	33 740	5 831	5 300	2 650	-54,55%
Current administrative expenditure	5 690	3 073	5 000	2 500	-18,65%
Postage / Telecommunications					
Meeting expenses	47	96	200	200	108,33%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 5 - Operational expenditure	572 055	1 895 228	3 200 500	3 001 750	58,38%

EXPENDITURE	Payment appropriations (Environmental directives and International conventions)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Studies and consultants			20 000	20 000	100%
Advice and assistance through guidance and helpdesk					
Scientific IT tools	527 071	1 663 728	3 022 900	2 867 450	72,35%
Meetings with authorities and expert groups			18 600	9 300	100%
Communications including translations	23 983	195 000	100 000	85 000	-56,41%
Missions	21 001	36 500	39 000	20 000	-45,21%
External training					
TOTAL	1 540 077	3 057 000	5 796 000	5 285 100	72,89%

3.4.3 Budget Outturn (Environmental directives and International conventions)

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): 25 306.19 EUR

4 Justification of needs

Commission assessment

Human Resources

REACH/CLP: As far as REACH and CLP is concerned the number of Temporary Agents posts remain stable (404 TA). The maximum number of Contract Agents is limited to 94 after the redeployment of 8 Contract Agents from REACH/CLP to the PIC, POPs and Circular Economy strand of ECHA resources to allow the Agency to meet its legal obligations stemming from Article 9 of the Waste Framework Directive.

Biocides: as regards the Biocides, the Commission considers that there is no need to increase the staffing and thus the establishment plan as well as the number of contract agents and seconded national experts can be maintained at the 2020 level.

Environmental directives and International conventions: for 2021, the Environmental directives and International conventions line includes the EU contribution for ECHA's work under:

- the Regulation (EU) No 649/2012 of the European Parliament and of the Council of 4 July 2012 concerning the export and import of hazardous chemicals (PIC-Regulation),
- the Regulation (EU) No 2019/1021 of the European Parliament and of the Council of 20 June 2019 on persistent organic pollutants (POPs-Regulation),
- the Directive (EU) 2018/851 of the European Parliament and of the Council of 30 May 2018 amending Directive 2008/98/EC on waste (the Waste Framework Directive), and
- the proposal for the recast of the Directive of the European Parliament and of the Council on the quality of water intended for human consumption (the Drinking Water Directive).

The impact of the proposal for the recast of the Drinking Water Directive for 2021 is EUR 1 690 000, and includes the 3 additional temporary agents and 2 additional contract agents in line with the Legislative Financial Statement of the recast.

As for the Waste Framework Directive, the request includes 8 additional contract agent posts to ensure the sustained funding and human resources for the work to be carried out under Article 9 of the Directive (currently the work for the Waste Framework Directive is carried out by CAs recruited via REACH/CLP establishment plan posts).

Financial Resources

The overall 2021 EU contribution for ECHA has been increased by 5.7% compared to 2020.

REACH/CLP: as far REACH CLP resources are concerned, ECHA fees and charges were expected to fall and fluctuate after the last regulatory deadline in 2018. The Covid-19 crisis has exacerbated the uncertainty of fees and charges income. Therefore, the balancing subsidy for 2021 has been increased compared to 2020 to take into account the uncertainty. In parallel, the income from fees and charges will be monitored closely by ECHA and an increase of the EU balancing subsidy could be envisaged to allow the Agency to meet its commitments if the trend of the fall of fees and charges income continues in 2021.

The EU balancing contribution for 2021 for REACH / CLP amounts to EUR 63 614 564 including surplus from previous years amounting to EUR 1 353 559 and after deduction of EUR 520 000 corresponding to the transfer of 8 Contract Agents to PIC/POP and Circular Economy strand. The EU balancing contribution covers also the expenditure for the maintenance and the further refinement of the poison centres databases given that the main development phase has been completed in the current MFF.

Biocides: as regards the Biocides, the Commission considers that there is no need to increase the EU contribution, except for an adaptation in accordance with inflation, i.e. a 2% increase of the EU contribution compared to 2020.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

4.1.1.1 Number of staff requested (REACH / CLP)

4.1.1.1 Number of staff requested (REACH / CLP)

ECHA's mandate and specific tasks under the four Regulations remain the core of its activities and, therefore, overall, ECHA needs to maintain the resources allocated to its regulatory tasks. ECHA intends to continue maintaining its low vacancy rate for all regulations and implementing proactive human resource management practices to ensure a healthy level of staff turnover. ECHA will also continue to carefully monitor its establishment plan and ensure good forward planning with respect to recruitment, mobility and promotions. This will include consideration of changes in the recruitment grades of profiles to maintain and build scientific competence, enhance overall organisational performance and optimise the utilisation of ECHA's allocated human resources within the overall establishment plan. If ECHA cannot maintain its full REACH/CLP establishment plan, it will examine the use of additional flexibility measures to ensure that it has the necessary human resources in place to implement the programme of work over the 2021 period. Such flexibility measures will include modification of ECHA's establishment plan, in accordance with Article 38(1) and 38(2) of ECHA's Financial Regulation. Additionally, in 2020, ECHA will not engage a certain number of SNE posts in order to facilitate the engagement of CAs to work on Waste Framework regulation for which ECHA did not yet get resources. From 2021, however, ECHA will again require such SNE posts for all REACH/CLP processes.

ECHA's request for REACH/CLP tasks includes also the posts in relation to Other tasks, coming mostly from the Commission either via Contribution agreements or SLAs, please refer to 4.3.1 for more detailed breakdown of the 10 posts for Other tasks.

4.1.1.2 Number of staff requested (BIOCIDES)

4.1.1.2 Number of staff requested (BIOCIDES)

ECHA's mandate and specific tasks under the four Regulations remain the core of its activities and, therefore, overall, ECHA needs to maintain the resources allocated to its regulatory tasks. ECHA intends to continue maintaining its low vacancy rate for all regulations and implementing proactive human resource management practices to ensure a healthy level of staff turnover. ECHA will also continue to carefully monitor its establishment plan and ensure good forward planning with respect to recruitment, mobility and promotions. This will include consideration of changes in the

recruitment grades of profiles to maintain and build scientific competence, enhance overall organisational performance and optimise the utilisation of ECHA's allocated human resources within the overall establishment plan.

For Biocides regulation, ECHA requests two additional TA posts for 2021 in comparison with 2020.

4.1.1.3 Number of staff requested (Environmental directives and International conventions)

4.1.1.3 Number of staff requested (PIC, POP, WFD, DWD)

ECHA has undertaken a strategic analysis of its future direction, and potential new tasks, with its Management Board and key stakeholders and there are a number of potential new tasks, or existing activity areas that are expected to grow, that will require additional human resources.

In the context of a recast of Regulation (EC) No 850/2004 on Persistent Organic Pollutants, ECHA received one CA post to work on these tasks during 2019.

ECHA requests for 2021 additional CA posts for its work related to the Waste Framework Directive (8 CA posts). Currently the work for the Waste Framework Directive is carried out by CAs recruited via REACH/CLP establishment plan posts. To ensure the sustained funding and resources for the work required under Article 9 of the Directive 2008/98/EC on waste, ECHA requests 8 CA posts.

For Drinking Water Directive 98/83/EC additional new tasks have been foreseen for the Agency and ECHA requests 3 AD posts and 2 CA posts.

4.1.2 Vacancy rate as of end 2019

4.1.2.1 Vacancy rate as of end 2019 (REACH / CLP)

The vacancy rate of the establishment plan posts for REACH/CLP was 2% at 31 December 2019. The overall vacancy rate of the establishment plan posts across all regulations at 31 December 2019 was 3.3%.

4.1.2.2 Vacancy rate as of end 2019 (BIOCIDES)

The vacancy rate of the establishment plan posts for Biocidal Regulation was 10% at 31 December 2019. The overall vacancy rate of the establishment plan posts across all regulations at 31 December 2019 was 3.3%.

4.1.2.3 Vacancy rate as of end 2019 (Environmental directives and International conventions)

The vacancy rate of the establishment plan posts for PIC, POPs, circular economy and DWD was 0%.

4.1.3 Standard abatement ('abatement forfaitaire') applied

4.1.3.1 Standard abatement ('abatement forfaitaire') applied (REACH / CLP)

3%

4.1.3.2 Standard abatement ('abatement forfaitaire') applied (BIOCIDES)

3%

4.1.3.3 Standard abatement ('abatement forfaitaire') applied (Environmental directives and International conventions)

3%

4.1.4 Salary assumption for calculating salary line (% applied)

4.1.4.1 *Salary assumption for calculating salary line (% applied) (REACH / CLP)*

2% increase yearly

4.1.4.2 *Salary assumption for calculating salary line (% applied) (BIOCIDES)*

2% increase yearly

4.1.4.3 *Salary assumption for calculating salary line (% applied) (Environmental directives and International conventions)*

2% increase yearly

4.1.5 *Correction coefficient used*

4.1.5.1 *Correction coefficient used (REACH / CLP)*

119.1

4.1.5.2 *Correction coefficient used (BIOCIDES)*

119.1

4.1.5.3 *Correction coefficient used (Environmental directives and International conventions)*

119.1

4.1.6 *Exchange rate used (if applicable)*

4.1.6.1 *Exchange rate used (if applicable) (REACH / CLP)*

N/A

4.1.6.2 *Exchange rate used (if applicable) (BIOCIDES)*

N/A

4.1.6.3 *Exchange rate used (if applicable) (Environmental directives and International conventions)*

N/A

4.2 Financial Resources - Agency request

4.2.1 *Title 1*

4.2.1.1 *Title 1 (REACH /CLP)*

For 2021, the needs for staff-related expenditure (Title 1) will amount to c. € 70.1 million (+5% from 2020). The increase stems mainly from the increase in the salaries and allowances, which represent 92% of the total Title 1 budget. The increase is higher than the average indexation foreseen, due to the fact that ECHA had to significantly reduce its budget for the year 2020 due to insufficient financing.

4.2.1.2 Title 1 (BIOCIDES)

The total amount for staff-related expenditure under BPR in 2021 totals c. EUR 8.5 million, representing an increase of 3 % compared to 2020. The increase stems mainly from salaries and allowances following the general indexation and from the additional posts requested for 2021. It is to be noted that direct salary costs represent around 92% of the total staff-related expenditure.

4.2.1.3 Title 1 (Environmental directives and International conventions)

The total amount for staff-related expenditure under PIC, POPs, Circular Economy and Drinking Water Directive in 2021 totals c. EUR 2.1 million. Compared to 2020, the request is c. € 1.2 million higher as it now contains in full the staffing related to the work for the Waste Framework Directive and Drinking Water Directive. The direct salary costs represent around 85 % of the total staff-related expenditure.

4.2.2 Title 2

4.2.2.1 Title 2 (REACH / CLP)

The Agency's overall Title 2 (infrastructure and operating expenditure) for 2021 amounts to c. EUR 15.2 million, representing an increase of less than 1%. The costs are split between the regulations based on the estimated average number of staff per regulation and the preliminary ratios for 2021 are REACH/CLP – c. 85%, Biocides - c. 12% and PIC, POPs, Circular Economy and Drinking Water Directive - c. 3%. The proportion of REACH/CLP totals € 12.9 million accordingly.

4.2.2.2 Title 2 (BIOCIDES)

The Agency's overall Title 2 (infrastructure and operating expenditure) for 2021 amounts to c. EUR 15.2 million, representing an increase of less than 1%. The costs are split between the regulations based on the estimated average number of staff per regulation and the preliminary ratios for 2021 are REACH/CLP – c. 85%, Biocides - c. 12% and PIC, POPs, Circular Economy and Drinking Water Directive - c. 3%. The proportion of Biocides totals € 1.8 million accordingly.

4.2.2.3 Title 2 (Environmental directives and International conventions)

The Agency's overall Title 2 (infrastructure and operating expenditure) for 2021 amounts to c. EUR 15.2 million, representing an increase of less than 1%. The costs are split between the regulations based on the estimated average number of staff per regulation and the preliminary ratios for 2021 are REACH/CLP – c. 85%, Biocides - c. 12% and PIC, POPs, Circular Economy and Drinking Water Directive - c. 3%. The proportion of PIC, POPs, Circular Economy and Drinking Water Directive totals € 0.5 million accordingly.

4.2.3 Operational Title

4.2.3.1 Title 3 (REACH / CLP)

The overall REACH/CLP operational expenditure remains stable in 2021 and totals c. € 20.0 million. The Scientific IT tools remains by far the largest expenditure item, representing c. 53% of the overall operational expenditure. The IT costs in Title 3 are intended to cover all the costs for developing and maintaining the Agency's main IT tools (such as REACH-IT, IUCLID, Cloud Services for SMEs, CHESAR, BIDI, Dynamic Case, Portal Dashboard, ODYSSEY and other ECM Programme tools, quality assurance services for these applications and other services). In addition, the costs related to the Data Management and Dissemination of REACH/CLP data fall under Title 3.

The expenditure related to running the Committees (MSC, RAC and SEAC), together with the amounts reserved to compensate the rapporteurs, and for the substance evaluation total c. € 2.8 million and account for c. 14% of the operational expenditure.

In Title 3, ECHA has two differentiated budget lines. One is reserved for contracts with the Member States for Substance evaluation, Authorisation and Restriction and the other one for contracts related to the development and implementation of tools for the international co-operation in the fields of chemicals, including training, such as the QSAR-toolbox.

The amounts foreseen on these lines in 2021 are presented in the below table:

Budget line	Commitments Appropriations	Payment appropriations
Substance evaluation and Rapporteurs (Differentiated appropriations)	1 100 000	1 030 000
Cooperation with international organisations for IT programmes (Differentiated appropriations)	650 000	650 000
Total	1 650 000	1 680 000

4.2.3.2 Title 4 (BIOCIDES)

The overall Biocides operational expenditure for 2021 amounts to c. € 2.4 million. The main item continues to be related to maintenance and development of the relevant IT tools (such as R4BP, SPC Editor and EUSES), representing c. 54% of the overall operational expenditure. Another significant expenditure item relates to the Biocidal Products Committee and its technical working groups, representing c. 24% of the overall operational expenditure. Through the Committee, ECHA continues delivering opinions for the European Commission to support decision making on biocidal active substances and products. From 2021 onwards additional € 200 000 has been reserved to support the evaluating competent authorities in preparing assessment reports in the context of evaluating biocidal active substances and to contribute towards harmonised approaches taken in the evaluation.

4.2.3.3 Title 5 (Environmental directives and International conventions)

The overall operational expenditure for PIC, POPs, the circular economy and Drinking Water Directive for 2021 amounts to c. € 3.2 million. As a new element, the expenditure for the Drinking Water Directive has been included in the budget totalling € 1 million. The operational expenditure is almost exclusively (c. 94%) allocated to the maintenance and developments of the IT tools related to the development of the Waste Framework Directive database (SCIP), support of the export notifications, the import consents and related reporting and the POPs, as well as for setting up the IT tools for the Drinking Water Directive implementation. Other main elements are related to communication activities, particularly translating materials into 22 languages.

4.3 Ad hoc grants and delegation agreements

4.3.1 Ad hoc grants and delegation agreements (REACH / CLP)

The Commission and ECHA signed, on 7 December 2016, a Delegation Agreement on the European Union Observatory for Nanomaterials and for a feasibility study on the European Union Chemical Legislation Finder.

Following the completion of the feasibility study, the Commission and ECHA signed, on 8 December 2017, a Delegation Agreement for the set-up of the European Union Chemical Legislation Finder.

ECHA also receives funding from the Instrument for Pre-accession Assistance (IPA) to provide capacity building for the EU candidate countries and potential candidates on the EU chemical legislation.

The Commission and ECHA have also signed a Service Level Agreement for providing opinions for Occupational Exposure Limits (OELs).

Further to the agreements with the Commission, the Agency signed a Service Level Agreement with EFSA (the European Food Safety Authority) for the development of IUCLID software for pesticides.

Here below the breakdown of the posts for Other tasks:

Other tasks	Posts for 2020		Posts for 2021	
	TA	CA	TA	CA
EUON		3		3
OEL		3		3
IUCLID as a service for EFSA		3		3
IPA		1		1
TOTAL Other tasks	0	10	0	10

4.3.2 Ad hoc grants and delegation agreements (BIOCIDES)

4.3.3 Ad hoc grants and delegation agreements (Environmental directives and International conventions)

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Telakkakatu 6	Telakkakatu 6	11 021	7 050	18 071	5 504 119	Lease contract until 22.01.2030		NO	
TOTAL			11 021	7 050	18 071	5 504 119				

5.1.2 Current building(s) Other comments

5.1.3 Building projects in the planning phase

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 European schools

The European School of Helsinki (ESH) opened in September 2008 to provide education for the children of ECHA staff, following the enactment of the ESH Act on 1 January 2008 (the Act). The ESH is maintained by the State of Finland and it annually concludes an attainment contract with the Finnish National Agency for Education. It is organised on the basis of the educational structure of the European Schools, providing education based on the syllabi of the European Schools. It is an Accredited European School and is administered and funded by the Finnish Government, which receives EU subsidies, and own revenues generated through certain fees. Accreditation is subject to regular audit reviews, and the latest review in 2019 ensured continuation of accreditation for another three years. The Act provides that the children of ECHA staff (Category I pupils) have an entitlement to cost-free enrolment at ESH. In 2009, an amendment to the Act on European Schooling Helsinki was adopted to facilitate admission of Category II (non-ECHA) pupils to the School. Category II pupils may apply for enrolment in the ESH since 2010 and, presently, approximately 40 % of the pupils are of category II.

In reference to Commission’s Decision C(2013)4886 of 01/08/2013 and additional written communication provided by the Commission in respect to allocation of costs related to Accredited European Schools, ECHA’s 2021 draft budget includes the European School contribution amounts related to ECHA’s staff pupils. More specifically, it is used to pay the EU subsidy for the European School Helsinki, following the conclusion of a Mandate and Service Agreement with the European Commission. Moreover, the draft budget also foresees funds to partially cover, pursuant to Article 1e of the Staff Regulations, costs for after-school activities, special educational needs, the school nurse and private day care services for dependent children within the meaning of the Staff Regulations who are too young to be admitted to municipality nurseries.

The availability of a high quality of education in Helsinki is a critical attraction and retention factor for ECHA and, in this respect, the ESH is a key stakeholder for ECHA. There is a clear requirement for the School’s budget – and, specifically, the subsidy from the Finnish state - to be maintained at a sufficient level to continue to ensure the provision of a high quality of education at the School. Another element is to ensure that ESH students receive the necessary education, support and guidance to perform well in the European Baccalaureate. ECHA will, through its presence on the Administrative Board and interactions with other stakeholders, continue to represent the interests of ECHA staff on this issue. ECHA co-chairs the Sub-Network of EU Agencies on Accredited European Schools (SNAES) within the Network of the Heads of Administration to ensure coordination and mutual support among Agencies on this important topic.

5.3 Evaluation

In 2018, the Commission published a “General Report on the operation of REACH and review of certain elements - Conclusions and Actions” (COM(2018) 116 final – <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52018DC0116&from=EN>), concluding overall that REACH is addressing citizens’ concerns about chemical safety and that REACH is found to be generally coherent with other EU legislation concerning chemicals and is delivering the international goals as intended. Regarding the Agency, it was concluded that ECHA has been instrumental in the implementation of REACH and has now built up a significant competence in chemicals management. To the extent that the review is indicating the need to improve efficiencies, the Agency has set out the measures in its Programming Document and Strategic Plan 2019-2023. ECHA follows up regularly on progress made in this regard and informs the Management Board accordingly.

Furthermore, in 2019, the Commission published its “Findings of the Fitness Check of the most relevant chemicals legislation (excluding REACH) and identified challenges, gaps and weaknesses” (COM(2019) 264 final - <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52019DC0264&from=EN>), concluding that overall, the EU framework of chemicals legislation is fit for purpose and delivers a high level of protection of people and the environment in balance with the needs of an efficiently functioning internal market and of a competitive and innovative chemicals industry. ECHA has analysed the outcome of this check with a view to identify where regulatory tasks of the Agency can be further consolidated and improved and where further synergies between existing tasks and possible new tasks could be sought.

5.4 Privileges and immunities

The privileges and immunities of staff and the Agency are contained in the respective Protocol to the EU Treaty. Moreover, further effect is given by the Seat Agreement signed between Finland and ECHA on 28 June 2007.

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
Inviolability	Immunity from jurisdiction regarding official capacity	Same access to day-care organised by municipalities as Finnish nationals
Facilitations for Communications	Exemption from registration requirements Duty free import of goods upon taking up services Reimbursement of VAT between 1 June 2007 and 31 May 2009 (no longer in place)	Access to Finnish school system

Agency privileges	Privileges granted to staff	
	Right to free export when leaving the service Exemption from taxes on EU salaries Exemption from national car tax once every three years Executive Director and Directors join diplomatic status Temporary residence permits to family members who are not EU / EEA nationals Issuance of personal cards through the Foreign Ministry Issuance of Finnish identity numbers	
Assistance and Cooperation in Security Matters		Access to European Schooling through the European Schooling Helsinki
Exemption from all duties and taxes		

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Regulation (EU) No 912/2010 of the European Parliament and of the Council setting up the European GNSS Agency, repealing Council Regulation (EC) No 1321/2004 on the establishment of structures for the management of the European satellite radio navigation programmes and amending Regulation (EC) No 683/2008 of the European Parliament and of the Council	22/09/2010	To bring the provisions of Council Regulation No 1321/2004 in line with those of Regulation (EC) n°683/2008. New task: the operation of the Galileo security centre. To set up the European GNSS Agency.
GNSS Regulation No 1285/2013 of the European Parliament and of the Council of 11 December 2013 on the implementation and exploitation of European satellite navigation systems and repealing Council Regulation (EC) No 876/2002 and Regulation (EC) No 683/2008 of the European Parliament and of the Council.	20/12/2013	New governance for the exploitation phase of the GNSS programmes. GSA to become responsible for the exploitation of EGNOS and Galileo as from 01/01/2014. Preparatory actions were required in 2013.
Regulation (EU) No 512/2014 of the European Parliament and of the Council of 16 April 2014 amending Regulation (EU) No 912/2010 setting up the European GNSS Agency	20/05/2014	Exploitation of EGNOS and Galileo systems. With the provisions of initial services, the agency will progressively manage exploitation related activities including development activities and the operation of the first constellation of satellites. GSA will ensure coordination of all the tasks related to the exploitation of the systems such as maintenance, operations, service provision and implementation of future generation of systems, as well as supporting the definition of systems requirements for future systems by providing feedback on changing operational needs and users' requirements.
Proposal for a Regulation of the European Parliament and of the Council establishing the space programme of the Union and the European Union Agency for the Space Programme and repealing Regulation (EU) No 912/2010, (EU) No 1285/2013, (EU) No 377/2014 and decision 541/2014/EU – Confirmation of Common Understanding	13/03/2019	Establishment of EU Space Programme Agency in place of GSA together with change of governance and increase of scope to include new core and delegated tasks. New core tasks include tasks related to security accreditation for the whole EU space programme, operational security tasks for Galileo and EGNOS, new market and communications tasks for Copernicus. New delegated tasks include full scope of Galileo exploitation, GOVSATCOM activities and other activities delegated to the Agency.

1.2 Seat

Prague (the Czech Republic). The Agency also operates the Galileo Security Monitoring Centre (GSMC) and its back up in Paris (France) and Madrid (Spain) respectively, the GNSS Service Centre (GSC) in Madrid (Spain) and the Galileo Reference Centre (GRC) in Noordwijk (the Netherlands).

1.3 Budget Line

04 10 01 : European Union Agency for the Space Programme

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	135	134	99,26%	147	148

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Assistants (AST)	4	4	100,00%	3	2
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	139	138	99,28%	150	150
Contract Agents (CA)	34	57	167,65%	34	34
Seconded National Experts (SNE)	2	3	150,00%	2	2
TOTAL STAFF	175	198	113,14%	186	186

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	34 664 000	36 107 280
Other Revenue	785 480	814 932
TOTAL REVENUES	35 449 480	36 922 212

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES	1 328 668 363	728 554 700

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	23 663 959	23 663 959	25 579 080	25 579 080
Title 2 - Infrastructure and operating expenditure	6 065 521	6 065 521	6 423 132	6 423 132
Title 3 - Operational expenditure	5 720 000	5 720 000	4 920 000	4 920 000
TOTAL EXPENDITURE	35 449 480	35 449 480	36 922 212	36 922 212

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019		2020	2021	
	Authorised Budget	Actually filled as of 31/12/2019	Authorised Budget	Request of the Agency	Draft Budget Request

	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1		1		1		1		1
AD 13		4		2		3		5		3
AD 12		7		1		8		10		8
AD 11		8		6		9		12		10
AD 10		17		10		16		19		16
AD 9		20		18		27		34		28
AD 8		42		35		46		53		47
AD 7		24		38		27		32		30
AD 6		6		15		4		8		2
AD 5		6		8		6		7		3
AD TOTAL		135		134		147		181		148
AST 11										
AST 10										
AST 9										
AST 8										
AST 7								1		1
AST 6		2		1		1		2		1
AST 5		1		1		2				
AST 4		1		1						
AST 3				1						
AST 2										
AST 1										
AST TOTAL		4		4		3		3		2
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		139		138		150		184		150
GRAND TOTAL		139		138		150		184		150

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	23	48	23	23
Function Group III	7	6	7	7
Function Group II	4	3	4	4
Function Group I				
TOTAL	34	57	34	34

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	2	3	2	2

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	35 287 712	34 664 000	71 365 994	36 107 280	4,16%
- Of which assigned revenues deriving from previous years' surpluses	230 624	61 381	207 189	207 189	237,55%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	730 875	785 480	1 620 008	814 932	3,75%
- Of which EEA/EFTA (excl. Switzerland)	730 875	785 480	1 620 008	814 932	3,75%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	36 018 587	35 449 480	72 986 002	36 922 212	4,15%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)	523 494 171	1 328 668 363	728 554 700	728 554 700	-45,17%
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL	523 494 171	1 328 668 363	728 554 700	728 554 700	-45,17%

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	21 738 436	23 663 959	35 046 471	25 579 080	8,09%
Salaries & allowances	19 645 547	21 088 459	30 871 101	22 991 430	9,02%
- Of which establishment plan posts	15 503 033	16 643 998	25 020 900	17 845 272	7,22%
- Of which external personnel	4 142 514	4 444 461	5 850 201	5 146 158	15,79%
Expenditure relating to Staff recruitment	100 000	116 000	176 000	50 000	-56,90%
Employer's pension contributions					
Mission expenses	1 147 427	1 450 000	1 794 870	1 520 000	4,83%
Socio-medical infrastructure	13 840	50 000	129 500	55 000	10,00%
Training	193 000	157 500	800 000	160 650	2,00%
External Services	327 085	300 000	325 000	300 000	0,00%
Receptions, events and representation	952	2 000	10 000	2 000	0,00%
Social welfare	310 585	500 000	940 000	500 000	0,00%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	5 749 994	6 065 521	15 087 531	6 423 132	5,90%
Rental of buildings and associated costs	2 734 498	2 873 016	7 761 990	3 056 337	6,38%
Information, communication technology and data processing	1 725 116	1 500 000	4 304 405	1 542 440	2,83%
Movable property and associated costs	33 000	20 000	118 703	20 000	0,00%
Current administrative expenditure	939 084	1 060 000	1 570 657	1 180 800	11,40%
Postage / Telecommunications	205 898	262 505	666 840	267 755	2,00%
Meeting expenses	47 398	60 000	162 793	60 000	0,00%
Running costs in connection with operational activities	65 000	290 000	502 143	295 800	2,00%
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	6 101 433	5 720 000	22 852 000	4 920 000	-13,99%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Operations and studies	5 633 130	4 940 000	21 935 000	4 140 000	-16,19%
Security accreditation expenditure	468 303	780 000	917 000	780 000	0,00%
Galileo Security Monitoring Centres (GSMCs)					
TOTAL	33 589 863	35 449 480	72 986 002	36 922 212	4,15%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	21 738 436	23 663 959	35 046 471	25 579 080	8,09%
Salaries & allowances	19 645 547	21 088 459	30 871 101	22 991 430	9,02%
- Of which establishment plan posts	15 503 033	16 643 998	25 020 900	17 845 272	7,22%
- Of which external personnel	4 142 514	4 444 461	5 850 201	5 146 158	15,79%
Expenditure relating to Staff recruitment	100 000	116 000	176 000	50 000	-56,90%
Employer's pension contributions					
Mission expenses	1 147 427	1 450 000	1 794 870	1 520 000	4,83%
Socio-medical infrastructure	13 840	50 000	129 500	55 000	10,00%
Training	193 000	157 500	800 000	160 650	2,00%
External Services	327 085	300 000	325 000	300 000	0,00%
Receptions, events and representation	952	2 000	10 000	2 000	0,00%
Social welfare	310 585	500 000	940 000	500 000	0,00%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	5 749 994	6 065 521	15 087 531	6 423 132	5,90%
Rental of buildings and associated costs	2 734 498	2 873 016	7 761 990	3 056 337	6,38%
Information, communication technology and data processing	1 725 116	1 500 000	4 304 405	1 542 440	2,83%
Movable property and associated costs	33 000	20 000	118 703	20 000	0,00%
Current administrative expenditure	939 084	1 060 000	1 570 657	1 180 800	11,40%
Postage / Telecommunications	205 898	262 505	666 840	267 755	2,00%
Meeting expenses	47 398	60 000	162 793	60 000	0,00%
Running costs in connection with operational activities	65 000	290 000	502 143	295 800	2,00%
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	8 530 157	5 720 000	22 852 000	4 920 000	-13,99%
Operations and studies	7 661 756	4 940 000	21 935 000	4 140 000	-16,19%
Security accreditation expenditure	868 401	780 000	917 000	780 000	0,00%
Galileo Security Monitoring Centres (GSMCs)					

EXPENDITURE	Payment appropriations				VAR 2021/2020 (%)
	Executed Budget 2019	Budget 2020	Draft Budget 2021		
			Agency request	Budget forecast	
TOTAL	36 018 587	35 449 480	72 986 002	36 922 212	4,15%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 207 189.17.

4 Justification of needs

Commission assessment

Human Resources and Financial Resources

This document represents the GNSS Agency (GSA) request.

The European Commission does not support the Agency request in terms of additional staffing and subsidy.

It has to be noted that the Space Regulation voted on in April 2019 foresees additional tasks for Agency, with the key ones listed here-below.

- Security accreditation Copernicus and Govsatcom
- New activities Copernicus, Govsatcom, SSA
- Market development and promotion of Copernicus, Govsatcom, SSA

The increased number of tasks to be delegated to the EUSPA Agency in the next MFF should be supported by an updated Legislative Financial Statement. In the absence of the above, the Commission supports a stable staff number to the level of the 2020 Budget (150 TAs, 34 CAs and 2 SNEs).

The same applies to the subsidy: the Commission supports a subsidy of EUR 36.107.280, which comprises:

- the baseline of Budget 2020 (after conciliation = EUR 34.664.000),
- inflation (EUR 693.280) and
- the salaries for 10 TAs for the remaining 6 months (EUR 750.000), since in B 2020 the salaries for 10 TAs were accounted only for 6 months in 2020.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

Based on the Common Understanding text, the GSA has developed a governance model for the implementation of the new EU Space Regulation which is necessary to develop in order to estimate required Human and Financial Resources. The current FPPA discussions will result in an evolution of the governance structure between the different actors of the EU Space Programmes (COM, EUSPA, ESA). The objective is to use the complementarity between all stakeholders, in order to streamline costs and overheads and to optimise core and delegated budgets as well as achieve contractual optimisations (GSA-ESA-COM staff, contractors, industry). The result of this exercise will be presented to the Commission (DG DEFIS and then DG BUDGET) with an updated staffing table end of June 2020.

For further information concerning governance, please refer to Annex 1 Governance structure.

The model envelope taken as basis estimates the total HR needs, including both establishment plan staff and CA/SNE, for the complete financial perspective building on the model identified above as:

	2020	2021	2022	2023	2024	2025	2026	2027
TA	150	184	203	218	232	247	260	273
CA/SNE	64	75	86	95	102	105	105	106
Total	214	259	289	313	334	352	365	379

In 2021 the staff of a revised government structure will focus on ensuring the ramp up of EUSPA to undertake its new activities, in particular related to security accreditation for the whole EU space programme, operational security tasks for Galileo and EGNOS, new market and communications tasks for Copernicus and new delegated tasks including the full scope of Galileo exploitation and GOVSATCOM. In addition, and whilst not part of the establishment plan staff, the Agency will require a sustained increase in the number of CA/SNE in particular to undertake GSMC operational activities in support of new system configurations.

This proposal lays the foundation for the EUSPA to develop as the EU's Space Programme Agency ensuring not only that it will be able to guarantee the provision of Galileo and EGNOS services to citizens worldwide, but also to start its new EU space activities. In order to achieve this ambitious goal, the EUSPA, following on from the GSA, must continue to build up its competences as rapidly as possible.

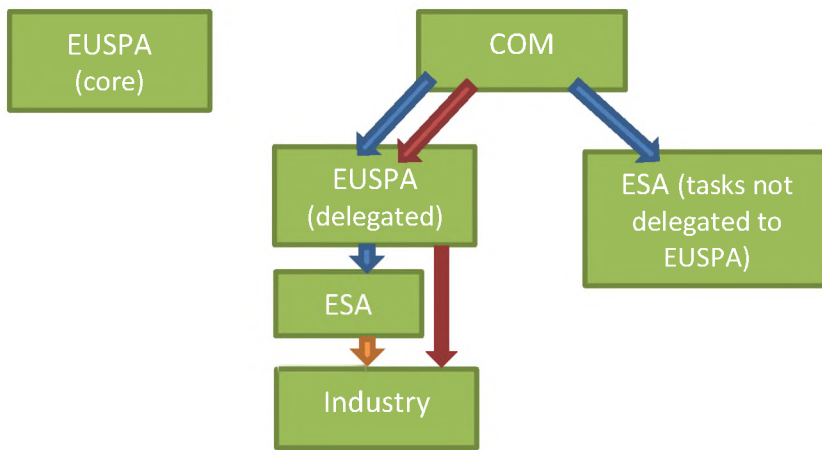
Annex 1 – Governance structure

Based on the Common Understanding text, the GSA has developed an outline of a governance model for the implementation of the new EU space Regulation which is necessary to develop in order to estimate required Human and Financial Resources.

The governance structure reflects a user centric approach for all components of the Programme. It shall therefore bring the best possible return of investment to the European citizens, SMEs and Industry.

The Regulation determines a governance for the activities for each actor, streamlining them through a tripartite Financial Framework Partnership Agreement (FFPA) signed by the European Commission (COM), the Agency and ESA (European Space Agency). The Regulation requires that the FFPA shall include overall roles and responsibilities of each of the entities, security rules, management of funds, COM procurement board, participation of EC as member in TEBs of the Agency and ESA, ESA remuneration principles and other elements. It does not include programme management or technical elements, which the Agency considers shall be determined component-by-component to meet the specific needs. It therefore does not impose a 'triangular' governance model.

The following is foreseen for the overall governance model:

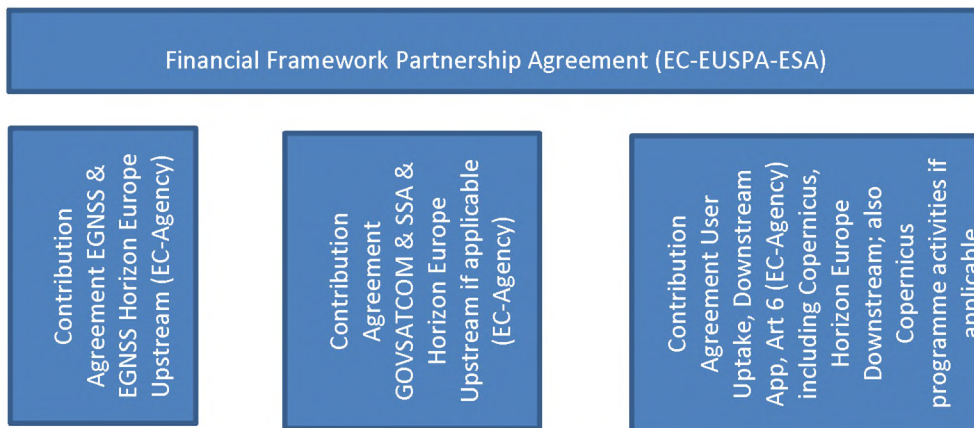


Key: Direct relationship between ESA and Industry in cases where ESA will act in the name and on behalf (i.e. as procurement agent) of EUSPA, (which retains the contracting authority).

In other cases (to be defined in Contribution Agreements with COM), ESA could act as technical advisor of the EUSPA, with no interface with Industry

Contribution agreement Contracting authority

In line with an approach of minimising the number of agreements, whilst taking account of the split of the budget and activities included in the Regulation, the following overall approach to the COM-EUSPA Agreements is identified for the Agency:



The FFPA and Contribution Agreements should be in place from 1 January 2021 although negotiations have yet to start.

4.1.2 Vacancy rate as of end 2019

There was a 0.7% vacancy rate as of 31/12/2019. 138 out of 139 EP posts were filled, including 9 offers accepted by the end of the year. One offer had to be put on hold due to administrative reasons, which prevented a vacancy rate of 0%.

4.1.3 Standard abatement ('abatement forfaitaire') applied

4.1.4 Salary assumption for calculating salary line (% applied)

Salary assumptions are based on existing real costs of the GSA per grade and staff. Current correction coefficients for the place of living have been applied for the staff located in the Czech Republic, France, The Netherlands and Spain. Part of the staff costs are linked to the installation and one-off costs for all new staff, in accordance with the Staff Regulations of Officials of the European Union and Conditions of Employment of other Servants of the European Union.

4.1.5 Correction coefficient used

The correction coefficient used to estimate the salary needs for 2021 is based on the current correction coefficients for the Czech Republic, France, the Netherlands and Spain which are 85.5 %, 117.7 %, 111.5 % and 91.6 % respectively.

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - Agency request

4.2.1 Title 1

Salary assumptions are based on existing real costs per grade and staff. Multilingual tuition costs for children increase in proportion to the number of staff and are estimated based on a thorough analysis and extrapolation of present-day costs. It is noted that, with the certification of a European school in Paris, the tuition costs associated with staff based in Paris are expected to be significantly reduced in the coming years.

Mission costs remain relatively stable, despite increasing staff figures and an increasing level of delegated activities for which no missions' budget is allocated and yet requires a very intense missions schedule. This is possible due to increasingly efficient mission management, with videoconferencing being used wherever appropriate and due to effective advance planning of missions. The increase is expected due to a satellite launch planned in 2021.

Training costs remain stable in 2021. Effective and financially efficient training methods have been continuously sought by the Agency, such as grouping training sessions for staff where appropriate and holding training on-site in order to avoid mission costs and taking advantage wherever possible of "in-house" training, passing on knowledge effectively between staff members.

A package of social measures for GSA staff based in Prague, as approved by the Agency's Administrative Board, were introduced in the second half of 2016, having limited impact on the budget. Nevertheless, the Executive Director decided to reduce them by half in 2019, and it is expected that this level will be maintained. The budgetary needs will therefore remain stable and increase only in proportion to the new staff, and remain subject to regular revision.

Medical costs are higher due to the fact that new framework contract shall be signed before end of 2020 covering full year.

4.2.2 Title 2

In January 2015, the Agency took over the entire building in Prague which it previously shared with the Czech Ministry of Finance. The rent was set at 25% of the market rate as of September 2017. Full 12 month rent cost is currently estimated at around EUR 215,000 for 2021 taking into account exchange rate fluctuations and indexation.

Utility consumption costs are expected to increase in proportion to the number of additional staff in future years and according to inflation.

In 2021 the Agency expects to start making a regular financial contribution for occupation of extended HQ facilities to meet the needs of EUSPA, in particular from a security and ICT perspective. Investment to reinforce business continuity capabilities (datacentre, migration of system to cloud) are necessary if we do not want to compromise the ability of the Agency to recover from unexpected situations. In order to align with MFF proposal from May 2018 such investments are currently not included in the budget.

In addition, the Agency expects also to start making a regular financial contribution for occupation of the re-developed GSMC building in St Germain en Laye.

Facility management, reception, hosting services and security services for all sites are indexed and so will increase to a minor extent on an annual basis.

The fact that the Agency has staff in 6 separate locations together with 1 unclassified and 2 classified ICT systems, coupled with the fact that it is a highly technical Agency, places a necessary budgetary burden upon the Agency in terms of administrative costs. However, new IT applications and videoconferencing have been set up by the Agency in order to limit rising costs as much as possible. These investments and their maintenance costs are reflected in the Data Processing and in the Telecommunications budgets.

The increase of current administration costs is due to new security-related administrative requirements – new contract shall provide technical support to the internal accreditation of GSA systems, facilities and premises.

4.2.3 Title 3

Title 3 operational core budget covers the Agency's core tasks as stipulated in the GNSS Regulation 1285/2013. In common understanding reached for the new Regulation it is clear that the Agency's core tasks are expanded to also include security accreditation for the whole EU space programme, operational security for Galileo and EGNOS and new market and communications tasks for Copernicus. The initial Agency's proposal was based on its understanding of the complete set of Title 3 activities that will be required in 2021.

Following the request to align with MFF proposal from May 2018, Title 3 forecast is now adjusted to the 2020 level of expenditures.

Market development applications, contribution to the commercialisation and awareness of Galileo and EGNOS, communication and promotion activities are in total expected to require a budget of approximately EUR 2,515,000 for this reporting period. The increasing tasks of the GSA will require intense communication and promotion activities towards industry and all GNSS stakeholders. These activities include sector specific event support and promotion of EGNOS and Galileo in aviation, high precision, agriculture, road, maritime, rail and surveying markets; market monitoring, web development, E-communication and publications, promotional events and video to represent and increase visibility of the programmes.

For the operation of the Galileo Security Monitoring Centre (GSMCs), operational support contracts will be required for 2021 for an estimated amount of EUR 1,625,000. These support contracts will be crucial in ensuring operational, technical and security activities supporting GSMC services for both GSMC sites (France and Spain). In more specific terms, the contracts will be necessary to cover the following essential actions:

- GSMC Operations Processes, including the support needed for the monitoring of the security of the Galileo System and the capability to react to all security incidents on a 24/7 basis;
- GSMC Operations Engineering Processes to support the progressive deployment of GSMC capabilities, including the design and documentation of all the operations procedures through testing phases and managing the technical processes lifecycle;
- Provision of quality management support services to the GSA, including in particular the ISO 9001 certificate renewal and maintenance and the GSMC product assurance capability.

In order to align with MFF proposal from May 2018 security activities expected to require a budget of EUR 12,715,000 are not included in the budget. However in our understanding those shall be necessary in particular for undertaking the new operational security task for Galileo and EGNOS as defined in Art 30 & 34(2) of the new Regulation. The assignment of the responsibility for the operational security is interpreted as entrusting the Agency with the role of Information Assurance Operational Authority (IAOA) for each EU GNSS system, as defined in Council Decision 2013/488/EU. This role is related to both Galileo and EGNOS, therefore objectives are set up in order to undertake the relevant activities for both systems. It has to be noted that similar activities for the EU GNSS components have been already undertaken by the Agency in previous years, although under delegation from the Commission. The budget estimate is therefore based on this previous experience, although the Agency also notes that the precise definition of these activities, including the split between core and delegated tasks, is still being properly defined.

The SAB budget of EUR 780,000 will be used for accreditation support contracts to perform technical activities linked to the security accreditation process and, in particular, to the on-going preparation of the upcoming Galileo system accreditation milestones e.g. Authorisations to Launch. This includes:

Review of technical security documentation;

Analysis of the compliance with system security requirements;

Performance of system security assessments;

Access to independent experts for in-depth technical reviews;

Support to the setting of new tasks requested by the SAB and associated with the new Regulation;

Monitoring of the security perception and performance of the EU GNSS in the public domain and user communities

These support contracts are essential in order to provide the expected level of support to the Security Accreditation Board, as stipulated by the current GSA Regulation 912/2010 as amended by Regulation 512/2014. In addition, a limited set of preparatory actions in support of security accreditation for the other elements of the EU Space Programme are also budgeted.

4.3 Ad hoc grants and delegation agreements

In 2021, in addition to its own operational core budget, the Agency expects to continue to manage a significant volume of contracts and grants delegated by the European Commission. In particular the Agency will continue to manage the Galileo and EGNOS Exploitation Delegation Agreements worth respectively EUR 2.81B and EUR 1.552B at the beginning of 2020, together with the management of Horizon 2020 grants and contracts. The delegated budget under Horizon 2020 was EUR 67,130,000 in 2014 for 1st call, EUR 26,850,000 in 2015 for 2nd call, EUR 37,270,000 in 2017 for 3rd call and 20,500,000 EUR for 4th call in 2019.

In addition, in 2021 the Agency expects to be operating the Financial Framework Partnership Agreement (FFPA) and the various Contribution Agreements associated with it as set out in section 4 of this document

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	GSA HQ	Janovskeho 438/2, 17000 Prague 7	3 925	10 251	14 176	215 000	Indefinite	Host agreement	YES	
2	St. Germain en Laye, France GSMC	8, Avenue du President Kennedy, F-78102 Saint-Germain-en-Laye Cedex	696,55	171,8	868,35	40 000	until 31/12/2030	Host agreement	Partial support by MS	
3	Swanwick, UK	NATS Sopwith Way Swanwick Hampshire SO31 7AY	159,26	169,18	328,44	324 000	valid until 31/12/2030 – to be revised due to Brexit.	Host Agreement	Partial support by MS	
4	GSA/CNES Toulouse EGNOS	CNES, 2 place Maurice Quentin 75 039 Paris	228,72	0,01	228,73	62 000	Indefinite	SLA	N/A	
5	GSA Brussels, BE OED Office/GSA remote office	BREY 178 and BREY 152, BRU, BE	35	0,01	35,01	30 000	Indefinite	SLA		

#	Building Name and type	Location	SURFACE AREA(in m²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
6	La Maranosa Spain	GSMC-ES Instituto Tecnológico “La Marañosa” (ITM) San Martín de la Vega	2 350	387	2 737		In-kind contribution by Spain. Valid 20 years from signature (automatic renewal for another 20 years)	Host Agreement	Yes	
7	Galileo Reference Centre (GRC), The Netherlands	Zwarteweg 53, NL-2201 AA Noordwijk, The Netherlands	520	930	1 450		20 years (minimum)	Host Agreement	Yes	
TOTAL			7 914,53	11 909	19 823,53	671 000				

5.1.2 Current building(s) Other comments

Prague, CZ

GSA has to pay also all related admin costs, utilities, IT and infrastructure.

Utilities for 2021 are estimated at EUR 420,000, Facility and Logistics services are estimated at EUR 350.000.

St. Germain en Laye, FR

Galileo Security Monitoring Centre, no actual rent to be paid but GSA to cover associated costs such as occupiers charges (fix amount of EUR 40,000 per year), utilities, facility management, security guards, furniture and IT. GSMC FR short term extension (+300 msq refurbishment, 250 K€ paid by the program, delivery Q2/2020).

Swanwick, UK

Galileo Security Monitoring Centre – NATS, Hosting services and site manager paid by the GSA.

GSMC UK site was relocated to a site in Spain, therefore rental contract is currently being revised. As the result of the rental contract negotiations cannot be foreseen at this point, the related building costs (rent) are budgeted for the full year.

GSA/CNES Toulouse, FR

Rental fee = EUR 117 p.sq.m.

Utilities and services fee = EUR 151 p.sq.m.

GSMC backup site, Spain

An initial capability (E2 building) has been made available by Spanish authorities in Q4/2018, pending provision of the final configuration (E6 building), scheduled in Q4/2020.

5.1.3 Building projects in the planning phase

Prague, CZ -HQ building extension, use of datacentres of CZ government and occupation charge

New premises, current HQ extension or utilisation of CZ datacentres is under negotiation with the Czech government; no further details known at the moment.

Capital cost for development of new facilities in Prague are estimated to EUR 20,000,000, amortised over a period of 15 years – EUR 1,333,333 per year. The estimate is based on the reconstruction investments done by the owner in the present building.

Occupational charges, utilities and rent are budgeted as a proportion of the current building costs, as the costs are expected to increase gradually to the level of the costs of current building.

St. Germain en Laye, FR - re-development and occupation charge

A GSMC FR short term extension (+300 msq refurbishment, EUR 250,000 paid by the program, delivery planned Q2/2020).

Capital cost for development of new building in Saint-Germain is estimated to EUR 30,000,000, amortised over a period of 15 years – EUR 2,000,000 per year.

Occupational charges and utilities are budgeted as a proportion of the current building costs.

GSMC backup site, Spain

An initial capability (E2 building) has been made available by Spanish authorities in Q4/2018, pending provision of the final configuration (E6 building), scheduled in Q4/2020.

5.1.4 Building projects submitted to the European Parliament and the Council

N/A

5.2 European Schools

Following the opening of the Galileo Reference Centre (GRC) in The Netherlands, the Agency entered into a Mandate Level agreement with the European Commission for use of the accredited European School in proximity to Noordwijk, The Netherlands - Rijnlands Lyceum.

5.3 Evaluation

The main findings of the latest evaluation available are as follows:

The most recent evaluation of the GSA has been undertaken by the Commission and is contained within the ‘Interim Evaluation of Galileo and EGNOS programmes and evaluation of the European GNSS Agency’, SWD(2017) 346, published on 23 Oct 2017. The main findings are included in section 10 and are copied below:

“The GSA has successfully achieved important objectives for the progress of the Galileo and EGNOS programmes and for the development of European GNSS downstream markets through an effective implementation of both core and delegated tasks. Key achievements of the Agency include the implementation in particular of testing activities that were required for the declaration of Galileo Initial Services; the contribution to the transition to Galileo exploitation phase with the award of the Galileo Service Operator (GSOp) contract; the management of the EGNOS operation contract and other responsibilities having led to a continuous EGNOS service provision; the smooth implementation of FP7, Horizon 2020 and Fundamental Elements R&D projects and downstream market development through monitoring, communication and promotion activities. The Agency's results have been in line with expectations and have been delivered within budget limits. The results of the Agency have been appreciated by various stakeholders. The EU Member States representatives shared a rather positive opinion on GSA results, pointing out the successful contribution to Galileo and EGNOS programmes' implementation, a good implementation of EU rules in the activities, a transparent reporting on the Agency's activities and results, and a willingness to achieve the objectives despite difficulties. The representatives of the downstream industry also shared a positive feedback on the GSA: 79% of respondents to the questionnaire estimated that the Agency had a positive or very positive impact on market development in the evaluation period.

Processes implemented by the GSA are defined by the legal framework governing the Agency with which the GSA is compliant. This compliance allows a good level of monitoring and evaluation of the Agency activities and contributes to the effective implementation of the programmes. However, this is at the cost of a substantial administrative burden, which may have an impact on the efficiency of both the Agency and its stakeholders. The Agency has also been proactive to improve the effectiveness and efficiency of its delivery process. For example, the GSA has been certified ISO-9001 for

its quality management system. Nevertheless, the Agency faces some issues, in particular related to its capacity to hire appropriate profiles in terms of seniority and expertise. This is due to a low attractiveness (salaries, reputation, location) and leads to a need to outsource a part of GSA activities, which increases costs and slows down internal capabilities building. This issue has become more prominent with the growing responsibilities and budget of the Agency. Between 2014 and 2016 with the increasing responsibilities entrusted to the GSA, the total budget managed by the Agency has grown by 85.9%, and the GSA staff has increased by 22.1%.”

<http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52017SC0346&from=EN>

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
Prague: VAT exemption	Headquarters agreement granting VAT exemption up to 100,000 CZK p.a. (approx. 3,600 EUR) but not diplomatic status (with the exception of the Executive Director)	Local infrastructure is used for medical care and multilingual tuition for children of staff.
St. Germain en Laye	No special privileges	Local infrastructure is used for medical care and multilingual tuition for children of staff.
Toulouse	No special privileges	Local infrastructure is used for medical care.
Spain	No special privileges	Local infrastructure is used for medical care and multilingual tuition for children of staff.
Netherlands	- VAT can be claimed on purchases above EUR 225 - VAT exemption on fuel,	Local infrastructure is used for medical care; European school is available for children of staff.

2.2 Decentralised agencies of Heading 2 – Cohesion and Values

2.2.1 European Foundation for the improvement of living and working conditions – EUROFOUND

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Regulation (EEC) no 1365/75 of the Council of 26 May 1975 on the creation of a European Foundation for the improvement of living and working conditions	26/05/1975	Contribute to the planning and establishment of better living and working conditions through action designed to increase and disseminate knowledge likely to assist this development. It should deal with the following issues: Man at work; organisation of work and particularly job design; problems peculiar to certain categories of workers; long-term aspects of improvement to the environment; distribution of human activities in space and time
Extension of activities	1977	Launch of the European Industrial Relations Observatory (EIRO) on a proposal from the European Commission adopted by the Administrative Board
Extension of activities	2001	Launch of the European Monitoring Centre on Change (EMCC) on a proposal from the European Commission endorsed by the Presidency Conclusions of the Nice European Council and adopted by the Administrative Board
Modification to the Founding Regulation	2003	Amendments to various administrative procedures and adjustment to new Financial Regulation; Modification to governance provisions; adjustment to new Staff Regulations
Regulation (EU) 2019/127 of the European Parliament and the Council	16/01/2019	Eurofound shall enhance and disseminate knowledge, provide evidence and services for the purpose of policy making, including research-based conclusions, and shall facilitate knowledge sharing among and between Union and national actors. Eurofound's objective shall be to support the shaping and implementing policies concerning the improvement of living and working conditions, devising employment policies, and promoting the dialogue between management and labour.

1.2 Seat

Dublin, Ireland

1.3 Budget Line

07 10 01 : European Foundation for the Improvement of Living and Working Conditions

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	51	45	88,24%	51	51
Assistants (AST)	40	41	102,50%	40	40
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	91	86	94,51%	91	91
Contract Agents (CA)	13	11	84,62%	13	13
Seconded National Experts (SNE)	1	1	100,00%	1	1
TOTAL STAFF	105	98	93,33%	105	105

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	21 195 000	21 600 000
Other Revenue	200 000	200 000
TOTAL REVENUES	21 395 000	21 800 000

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	13 890 000	13 890 000	14 080 000	14 080 000
Title 2 - Infrastructure and operating expenditure	1 635 000	1 635 000	1 640 000	1 640 000
Title 3 - Operational expenditure	5 870 000	5 870 000	6 080 000	6 080 000
TOTAL EXPENDITURE	21 395 000	21 395 000	21 800 000	21 800 000

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1				
AD 14		1				1		2		2
AD 13	2	3		1	2	3		3		3
AD 12	1	8	3	5	1	8	2	8	2	8
AD 11	1	5		2	1	5	1	5	1	5
AD 10		5		2		6		6		6
AD 9	1	7	1	4	1	6		6		6

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 8		7	1	8		8	1	8	1	8
AD 7		6		8		5		6		6
AD 6		2		6		2		2		2
AD 5		1		3		1		1		1
AD TOTAL	5	46	5	40	5	46	4	47	4	47
AST 11		1				1		2		2
AST 10		2		2		1		1		1
AST 9		6		5		7		7		7
AST 8	1	7		2	1	7	2	7	2	7
AST 7	2	7	1	11	2	5	2	5	2	5
AST 6	2	1	3	1	2	2	2	2	2	2
AST 5	1	5		5	1	5		5		5
AST 4		2		4		2		2		2
AST 3		2		4		2		1		1
AST 2		1	1	1		2		2		2
AST 1			1							
AST TOTAL	6	34	6	35	6	34	6	34	6	34
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL	11	80	11	75	11	80	10	81	10	81
GRAND TOTAL	91		86		91		91		91	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	6	5	6	6
Function Group III	3	2	3	3
Function Group II	2	2	2	3
Function Group I	2	2	2	1

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	13	11	13	13

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	1	1	1	1

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	20 779 000	21 195 000	21 620 000	21 600 000	1,91%
- <i>Of which assigned revenues deriving from previous years' surpluses</i>					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	495 000				
- <i>Of which EEA/EFTA (excl. Switzerland)</i>					
- <i>Of which candidate countries</i>	495 000				
4 OTHER CONTRIBUTIONS	525 701				
5 ADMINISTRATIVE OPERATIONS		5 000	18 000	18 000	260,00%
- <i>Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT	121 835	195 000	182 000	182 000	-6,67%
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	21 921 536	21 395 000	21 820 000	21 800 000	1,89%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	13 487 160	13 890 000	14 080 000	14 080 000	1,37%
Salaries & allowances	12 087 118	12 458 000	12 730 000	12 730 000	2,18%
- Of which establishment plan posts	11 663 841	11 988 000	12 253 000	12 253 000	2,21%
- Of which external personnel	423 277	470 000	477 000	477 000	1,49%
Expenditure relating to Staff recruitment	162 824	228 000	214 000	214 000	-6,14%
Employer's pension contributions					
Mission expenses	285 903	310 000	290 000	290 000	-6,45%
Socio-medical infrastructure					
Training	114 894	160 000	160 000	160 000	0,00%
External Services	600 842	468 000	420 000	420 000	-10,26%
Receptions, events and representation					
Social welfare	235 579	266 000	266 000	266 000	0,00%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 622 357	1 635 000	1 640 000	1 640 000	0,31%
Rental of buildings and associated costs	716 310	718 000	723 000	723 000	0,70%
Information, communication technology and data processing	740 572	722 000	732 000	732 000	1,39%
Movable property and associated costs	91 660	100 000	100 000	100 000	0,00%
Current administrative expenditure	12 160	30 000	20 000	20 000	-33,33%
Postage / Telecommunications	61 655	65 000	65 000	65 000	0,00%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	5 879 153	5 870 000	6 100 000	6 080 000	3,58%
TOTAL	20 988 670	21 395 000	21 820 000	21 800 000	1,89%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	13 208 345	13 890 000	14 080 000	14 080 000	1,37%
Salaries & allowances	12 087 118	12 458 000	12 730 000	12 730 000	2,18%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
<i>- Of which establishment plan posts</i>	11 663 841	11 988 000	12 253 000	12 253 000	2,21%
<i>- Of which external personnel</i>	423 277	470 000	477 000	477 000	1,49%
Expenditure relating to Staff recruitment	118 772	228 000	214 000	214 000	-6,14%
Employer's pension contributions					
Mission expenses	274 149	310 000	290 000	290 000	-6,45%
Socio-medical infrastructure	173 991	266 000	266 000	266 000	0,00%
Training	86 488	160 000	160 000	160 000	0,00%
External Services	467 827	468 000	420 000	420 000	-10,26%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 209 954	1 635 000	1 640 000	1 640 000	0,31%
Rental of buildings and associated costs	431 582	718 000	723 000	723 000	0,70%
Information, communication technology and data processing	644 414	722 000	732 000	732 000	1,39%
Movable property and associated costs	67 508	100 000	100 000	100 000	0,00%
Current administrative expenditure	7 010	30 000	20 000	20 000	-33,33%
Postage / Telecommunications	59 440	65 000	65 000	65 000	0,00%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	2 567 642	5 870 000	6 100 000	6 080 000	3,58%
TOTAL	16 985 941	21 395 000	21 820 000	21 800 000	1,89%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 0.

4 Justification of needs

Commission assessment

Human Resources

The Commission supports Eurofound request to maintain a stable number of establishment plan posts in 2021 compared to the Budget 2020 (91 posts).

Financial Resources

The Commission's request for DB 2021 amounts to EUR 21 600 000. This is compliant with the Communication on the MFF of 27 May 2020. It will provide Cedefop with the necessary means to ensure the continuity of its activities while seeking for efficiency gains.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

Requested number of staff for 2021 is 91.

4.1.2 Vacancy rate as of end 2019

87 posts out of 91 were filled at the end of 2019. This corresponds to 96% at 31 December 2019.

4.1.3 Standard abatement ('abatement forfaitaire') applied

No abatement is applied since it is planned to have all posts filled.

4.1.4 Salary assumption for calculating salary line (% applied)

It is assumed that the current method will lead to an increase of about 2,5%.

4.1.5 Correction coefficient used

The coefficient for Ireland is 119,2%.

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - Agency request

4.2.1 Title 1

Title 1 shows a small increase of 1%. This increase is mainly due to the Country Co-efficient increase from 117,7 to 119,2%.

4.2.2 Title 2

Title 2 appropriations are expected to increase by circa EUR 100 000. This is due to full time reception cover being outsourced through the Facilities Management provider to free up internal human resources. Another reason for the increase is increases in increasing long-term ICT costs covering fixed SLA's and licence charges. A lot of efforts are put into limiting the increase of administrative expenditure in order to maintain the available budget for core operational activities and staff resources however negative bank interest rates have also impacted on administrative expenditure.

4.2.3 Title 3

Title 3 will increase by EUR 150 000. This is largely due to increased costs associated with web application development the increased publications of results of studies.

4.3 Ad hoc grants and delegation agreements

None.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Main building and conference centre	Dublin	2 000	500	2 500		n/a	n/a	n/a	452 187
2	Loughlinstown House and grounds (historical, listed building)	Dublin	350	150	500		None; EUR 250 000 was paid in 2000 for a 99-year lease (from 2001 on)	99-year lease	n/a	
3	Brussels Liaison Office (BLO)	Brussels, 18, Avenue d'Auderghem	100		100	22 397	Lease agreement with annual termination clause	Lease agreement with annual termination clause	n/a	
TOTAL			2 450	650	3 100	22 397				452 187

5.1.2 Current building(s) Other comments

None.

5.1.3 Building projects in the planning phase

No new buildings or building extensions are planned. No change of surface area.

5.1.4 Building projects submitted to the European Parliament and the Council

No new buildings or building extensions planned. No change of surface area.

5.2 European Schools

There is a European School, Type II, providing education up to level 5, based in Dunshaughlin, Co. Meath. However, it does not offer the European Baccalaureate. The Centre for European Schooling (CES) is an Accredited European School. The CES opened on 1 September 2002 and is entirely devoted to the education of children who would be considered Category I students in a European School. Students are enrolled at St. Seachnall's National School (primary) and Dunshaughlin Community College (secondary) and attend the CES for Language I, Language II and Language III classes (and also European Hour & Ethics in primary school). The curricula are taught in all languages. Students follow mainstream curricula for all other subjects and, at secondary level, take the Irish State examinations at the end of Third and Sixth Year.

The distance from Eurofound to the primary school is just under 50 km but its location is not practical for any Eurofound staff and it is not used by anybody. It is only convenient to the Food and Veterinary Office in Grange and is used primarily by the staff of that Office.

Eurofound has discussed the schooling with the Irish Authorities, particularly in the context of the Irish Government's commitment in the Seat Agreement to be open to providing for the education of the children of Eurofound staff on a similar basis to what is provided for EU staff located elsewhere. Following these consultations, Eurofound staff were surveyed on their preferences. There was a strong preference for maintaining the level of choice that is currently available to them and continuing with payment of the double education allowance in respect of children attending second level education. On the basis of this feedback Eurofound will not pursue the matter of an Accredited European School but may revisit the matter in a number of years' time.

Eurofound and the Permanent Representation have had an arrangement for many years with a private school, St Andrew’s School, which operates at both primary and secondary level. The school already provides additional tuition in childrens’ mother tongues to the children of Eurofound staff, funded wholly by the Irish Government and also prepares children for the International baccalaureate. This school is used by many of the Eurofound staff. Until recently, preference was given to children of Eurofound staff by this school. However, legislation in the pipeline may prevent schools from granting preference to one category of child over another and the children of Eurofound staff must be considered on the same basis as all other children. Effectively, this may mean that children should be placed on the waiting list several years before they are due to start school. This places the children of recently recruited staff at a complete disadvantage. On the basis of the above, there is a level of uncertainty in relation to provision of education for the children of Eurofound staff that ensures that they receive tuition in their mother tongue. Staff have expressed a wish for Eurofound to engage with Irish Authorities in relation to having a recognised priority of access to schools and to assuring continued State funding of mother tongue tuition.

5.3 Evaluation

Eurofound’s 2021-2024 evaluation policy and **evaluation programme** consists of a modular approach to replace the conventional ex-ante / interim / ex-post evaluation approach at programme level, focusing in particular on the activity level of the new programme cycle. The evaluation programme defines the high-level plans over the four-year period.

Eurofound has long-standing expertise and experience in the area of Performance monitoring and Evaluation. This is also further enhanced through close involvement in the EU Agencies’ sub-network Performance Development Network, and is taking account of recent developments and requirements for monitoring and evaluation for EU agencies.

Analysis and evaluation enable deeper understanding why and how Eurofound’s information contributes to the policy development. Such analyses feed into reporting for accountability purposes, such as through the Consolidated Annual Activity Report (CAAR) as well as the development of the annual programmes. In addition, Eurofound recognises evaluation as a valuable systematic tool which provides evidence for better decision making, and a tool for organisational learning and continuous improvement.

Following the European Commission's Staff Working Document (May 2019) on the cross-agencies evaluation of Agencies in DG EMPL, an action plan was developed and submitted to the Management Board in November 2019, and is now being implemented. Progress on implementation of the evaluation action plan is reported annually to the Management Board during its November meeting.

5.4 Privileges and immunities

The Irish government and Eurofound concluded a Seat Agreement and a related Memorandum of Understanding on 10 November 2015. It entered into effect on 19 July 2016. These documents replaced previous arrangements that were based on written correspondence between Eurofound and the services of the Irish government. The new Seat Agreement and Memorandum of Understanding are based on the Vienna Convention (Protocol on privileges and immunities), as well as guidelines and templates prepared by the Commission and the Agencies’ Legal Network.

Agency privileges	Privileges granted to staff	
	Protocol on privileges and immunities/diplomatic status	Education/day care

Agency privileges	Privileges granted to staff	
<p>The Agency has diplomatic status.</p> <p>In common with other EU institutions, Eurofound is exempt from VAT.</p> <p>Eurofound meets the full cost of office furniture, security and infrastructure.</p> <p>There is no contribution by ministries and regional governments.</p>	<p>No staff member has diplomatic status, but senior staff are entitled to a Laisser-Passer document to facilitate travel; however, this privilege is currently not availed of. The Protocol on privileges and immunities is applicable to all staff recruited under the Staff Regulations. This entitles them and their families to enter Ireland without being subject to the usual immigration procedures, for staff to travel to and from work without hindrance, for staff to transfer residence to Ireland without payment of import duty on their effects and motor cars. Staff are exempt from national income tax on their earnings on the basis that they are liable to a tax for the benefit of the Communities on salaries, wages and emoluments paid to them by the Communities.</p> <p>There are no continuous VAT exemptions for staff, with the exception of the director.</p> <p>Staff recruited from outside Ireland may purchase up to two cars without payment of tax or import charges. They may also purchase household goods free of VAT during the first 24 months after moving to Ireland.</p>	<p>There is no access to subsidised day-care facilities for staff.</p> <p>Educational allowances are paid to staff in accordance with the provisions of the Staff Regulations.</p> <p>School fees are not paid directly by Eurofound. Staff sending their children to private schools may qualify for the non-flat-rate education allowance (the child must be at least six years of age) in accordance with the provisions of the Staff Regulations.</p>

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Council Regulation (EC) No 2062/94	18/07/1994	Workers and employers need to be made aware of the risks that they face, and how to manage them. But health and safety bodies in the individual EU Member States cannot do this alone. That is why the European Agency for Safety and Health at Work was set up, in 1994.
Council Regulation (EC) No 1643/95	29/06/1995	Our mission is to make Europe's workplaces safer, healthier and more productive. We do this by bringing together and sharing knowledge and information, to promote a culture of risk prevention. Located in Bilbao, Spain, we have a dedicated staff of occupational safety and health (OSH), communication and administrative specialists. At the national level, we are represented through a network of focal points, which are usually the lead OSH bodies in the individual Member States. The Agency is a tripartite organisation, this means that we work with governments, employers and workers representatives. We are a single reference point for OSH information. We collect, analyse and disseminate technical, scientific and economic information on OSH risks. We share good practice, and communicate information in a variety of ways to reach workers and workplaces. Our awareness raising activities include our two-year Healthy Workplaces campaigns. We also provide information on our website, via our electronic newsletter OSH mail, and in a range of printed publications. We help to explain European legislation on OSH. And we look out for risks which may only be emerging, due to the fast pace of change in the workplace. Our European Risk Observatory aims to identify new and emerging risks. Initiatives such as the Agency's European Survey of Enterprises on New and Emerging Risks (ESENER) help to give an overview of safety and health at work in Europe, describe the trends and underlying factors, and anticipate changes in work and their likely consequences for safety and health. Additionally, The Observatory aims to stimulate debate and reflection among the Agency's stakeholders and to provide a platform for debate between policy-makers at various levels.
Council Regulation (EC) No 1654/2003	18/06/2003	Updating of the Agency's regulation in accordance with new EU financial and public document access provisions
Council Regulation (EC) No 1112/2005	24/06/2005	Modification of the Agency's government and management structures
European Parliament and Council Regulation (EU) 2019/126 repealing Council Regulation (EC) No 2062/94	16/01/2019	EU-OSHA's objective shall be to provide the Union institutions and bodies, the Member States, the social partners and other actors involved in the field of safety and health at work with relevant technical, scientific and economic information and qualified expertise in that field in order to improve the working environment as regards the protection of the safety and health of workers. To that end, EU-OSHA shall enhance and disseminate knowledge, provide evidence and services for the purpose of policy making, including research-based conclusions, and shall facilitate knowledge sharing among and between Union and national actors.

1.2 Seat

Santiago de Compostela 12, 5th floor - 48003 Bilbao, Spain

1.3 Budget Line

07 10 02 : European Agency for Safety and Health at Work

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	24	24	100,00%	24	24
Assistants (AST)	16	16	100,00%	16	16
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	40	40	100,00%	40	40
Contract Agents (CA)	25	23	92,00%	25	25
Seconded National Experts (SNE)					
TOTAL STAFF	65	63	96,92%	65	65

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	15 579 000	15 600 000
Other Revenue	479 100	475 600
TOTAL REVENUES	16 058 100	16 075 600

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES	p.m.	p.m.

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	6 856 000	6 856 000	7 094 000	7 094 000
Title 2 - Infrastructure and operating expenditure	1 450 000	1 450 000	1 475 000	1 475 000
Title 3 - Operational expenditure	7 752 100	7 752 100	7 506 600	7 506 600
Title 4 - Specific projects ad hoc grants, delegation agreement (R0)	p.m.	p.m.	p.m.	p.m.
TOTAL EXPENDITURE	16 058 100	16 058 100	16 075 600	16 075 600

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15						1		1		1
AD 14		1		1		1		1		2
AD 13		2		2		1		1		
AD 12		2		1		2		3		3
AD 11		1		2		2		2		2
AD 10		3		1		4		3		3
AD 9		5		7		7		9		9
AD 8		6		6		4		2		2
AD 7		4		2		2		2		2
AD 6				2						
AD 5										
AD TOTAL		24		24		24		24		24
AST 11										
AST 10										
AST 9		1		1		1		1		1
AST 8										
AST 7		2		1		2		3		3
AST 6		4		2		6		6		6
AST 5		6		8		4		3		3
AST 4		2		3		3		3		3
AST 3		1		1						
AST 2										
AST 1										
AST TOTAL		16		16		16		16		16
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		40		40		40		40		40
GRAND		40		40		40		40		40

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
TOTAL										

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	2	2	3	3
Function Group III	14	12	14	14
Function Group II	9	9	8	8
Function Group I				
TOTAL	25	23	25	25

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL				

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	15 058 394	15 579 000	15 579 000	15 600 000	0,13%
- Of which assigned revenues deriving from previous years' surpluses	150 116	71 928	253 232	253 232	252,06%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	360 781	379 000	375 500	375 500	-0,92%
- Of which EEA/EFTA (excl. Switzerland)	360 781	379 000	375 500	375 500	-0,92%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS	100 100	100 100	100 100	100 100	0,00%
5 ADMINISTRATIVE OPERATIONS	619	p.m.	p.m.	p.m.	
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES		p.m.	p.m.	p.m.	

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	15 519 894	16 058 100	16 054 600	16 075 600	0,11%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)	399 584	p.m.	p.m.	p.m.	
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL	399 584	p.m.	p.m.	p.m.	

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	6 352 601	6 856 000	7 094 000	7 094 000	3,47%
Salaries & allowances	5 853 804	6 345 100	6 534 000	6 534 000	2,98%
- Of which establishment plan posts	4 435 430	4 737 900	4 881 000	4 881 000	3,02%
- Of which external personnel	1 418 374	1 607 200	1 653 000	1 653 000	2,85%
Expenditure relating to Staff recruitment	37 232	113 500	121 000	121 000	6,61%
Employer's pension contributions					
Mission expenses					
Socio-medical infrastructure	29 417	60 000	57 000	57 000	-5,00%
Training	145 000	120 000	120 000	120 000	0,00%
External Services	287 148	217 400	262 000	262 000	20,52%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 336 523	1 450 000	1 475 000	1 475 000	1,72%
Rental of buildings and associated costs	608 203	633 000	640 900	640 900	1,25%
Information, communication technology and data processing	573 573	609 000	640 100	640 100	5,11%
Movable property and associated costs	13 423	36 500	35 500	35 500	-2,74%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Current administrative expenditure	60 699	80 500	70 000	70 000	-13,04%
Postage / Telecommunications	80 625	91 000	88 500	88 500	-2,75%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	7 710 274	7 752 100	7 485 600	7 506 600	-3,17%
Priority areas & operational activities	7 656 296	7 629 000	7 379 000	7 400 000	-3,00%
Support to operational activities	53 978	123 100	106 600	106 600	-13,40%
Communication, Campaigning and Promotion					
Networking and Coordination					
Prevention and Research					
Title 4 - Specific projects ad hoc grants, delegation agreement (R0)	156 528	p.m.	p.m.	p.m.	
IPA II 2016 programme	156 528	p.m.	p.m.	p.m.	
Older workers					
ENPI					
New IPA II programme					
IPA II 2018 programme					
TOTAL	15 555 926	16 058 100	16 054 600	16 075 600	0,11%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	6 200 536	6 856 000	7 094 000	7 094 000	3,47%
Salaries & allowances	5 853 804	6 345 100	6 534 000	6 534 000	2,98%
- Of which establishment plan posts	4 435 430	4 737 900	4 881 000	4 881 000	3,02%
- Of which external personnel	1 418 374	1 607 200	1 653 000	1 653 000	2,85%
Expenditure relating to Staff recruitment	37 232	113 500	121 000	121 000	6,61%
Employer's pension contributions					
Mission expenses					
Socio-medical infrastructure	14 918	60 000	57 000	57 000	-5,00%
Training	92 112	120 000	120 000	120 000	0,00%
External Services	202 470	217 400	262 000	262 000	20,52%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 2 - Infrastructure and operating expenditure	1 017 457	1 450 000	1 475 000	1 475 000	1,72%
Rental of buildings and associated costs	515 815	633 000	640 900	640 900	1,25%
Information, communication technology and data processing	439 277	609 000	640 100	640 100	5,11%
Movable property and associated costs	9 041	36 500	35 500	35 500	-2,74%
Current administrative expenditure	11 505	80 500	70 000	70 000	-13,04%
Postage / Telecommunications	41 819	91 000	88 500	88 500	-2,75%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	4 795 112	7 752 100	7 485 600	7 506 600	-3,17%
Priority areas & operational activities	4 764 752	7 629 000	7 379 000	7 400 000	-3,00%
Support to operational activities	30 360	123 100	106 600	106 600	-13,40%
Communication, Campaigning and Promotion					
Networking and Coordination					
Prevention and Research					
Title 4 - Specific projects ad hoc grants, delegation agreement (R0)	149 209	p.m.	p.m.	p.m.	
IPA II 2016 programme	149 209	p.m.	p.m.	p.m.	
Older workers					
ENPI					
New IPA II programme					
IPA II 2018 programme		p.m.	p.m.		
TOTAL	12 162 314	16 058 100	16 054 600	16 075 600	0,11%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 253 232.

4 Justification of needs

Commission assessment

Human Resources

The Commission supports eu-OSHA request to maintain a stable number of establishment plan posts in 2021 compared to the Budget 2020 (40 posts).

Financial Resources

The Commission's request for DB 2021 amounts to EUR 15 600 000. This is compliant with the Communication on the MFF of 27 May 2020. It will provide eu-OSHA with the necessary means to ensure the continuity of its activities while seeking for efficiency gains.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

For EU-OSHA, the proposal of MFF for 2021-2027 (fiche no. 32) foresees a 'stable in nominal terms' budget 2021 at the level of 2020 appropriations. This means that in nominal terms, the Agency will be cruising with a fixed nominal and total budget of 16.1 MEUR in the course of the next 7-year period. Having implemented the cumulative 10% cut (5% cut + 5% pooling) in establishment plan posts over the period 2013-2017, the Agency proposes to stabilize its staff population in 2021 and therefore maintain the number of establishment posts at 40 Temporary Agents and a total of 25 FTE for the Contract Agents. 65 FTE is to be seen as minimum human capital for the Agency to be able to continue and deliver its mandate and mission, meet its modernisation, infrastructure needs and seeking efficiency savings through shared services and internal re-organisation of its administration.

4.1.2 Vacancy rate as of end 2019

The general vacancy rate at the end of 2019 stood at 3% since all the 40 Establishment Posts were occupied at 31/12/2019 and 2 Contract agents positions (out of 25) non occupied. One of the 2 non-occupied CA will take up duty the 01/03/2020.

4.1.3 Standard abatement ('abatement forfaitaire') applied

No abatement is applied since it is planned to have all posts filled and no further cuts in staff population.

4.1.4 Salary assumption for calculating salary line (% applied)

The assumption is based on:

- yearly adaptation of basic salary of 2,0%;
- Spanish weighting factor evaluated at 93,5% for the period July 2020 – June 2021 and 95,0% for the period July 2021 – December 2021.

4.1.5 Correction coefficient used

Estimated weighting factor 2021: 95% (minus 5% compared with Brussels).

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - Agency request

4.2.1 Title 1

The Title 1 is proposed at EUR 7 094 000 in order to cover an Establishment Plan of 40 Temporary Agents and the employment of 25 contract agents full time equivalent and respective promotion (increase in steps) and reclassification exercise.

The assumption is based on:

- yearly adaptation of basic salary of 2,0%;
- Spanish weighting factor evaluated at 93,5% for the period July 2020 – June 2021 and 95,0% for the period July 2021 – December 2021;

- other costs & related services (e.g. learning & development policy, shared services DGHR/PMO, outsourcing of accounting function to DG BUDG), support (interim staff), specific recruitment/installation related cost for the next EU-OSHA's Executive Director and traineeships.

4.2.2 Title 2

The total appropriations for the Title 2 of the expenditure is proposed at EUR 1 475 000. Compared to 2020, it represents an increase of EUR 25 000 basically for anticipating ICT policy implementation and index price increase for building, facilities running costs.

4.2.3 Title 3

NEW initiatives for 2021(for a full overview of the 2021 work programme, please consult the draft Programming Document):

Strategic objective 1: The agency will commission a futures study on the circular economy and OSH.

Strategic objective 2: The Agency will further analyse the findings from ESENER-2019. Findings from the OSH Overview on work-related musculoskeletal disorders will be communicated through the Healthy Workplaces Campaign 2020-22. Research on two OSH Overviews will continue, one on OSH and digitalisation and the other on supporting OSH compliance. The EU OSH Info System developed in collaboration with DG EMPL will be further developed and refined with the inclusion of new indicators and the agency will produce its first regular analytical report.

Preparatory work for a major new survey on workers' exposure to carcinogens will continue in 2021 with fieldwork planned for 2022 in a selection of Member States. And the agency will start work on a further OSH overview focused on psycho-social risks and mental health at work.

Strategic objective 3: As well as continuing to foster OiRA tool development, in 2021 the agency will carry out community and networking actions, and finalise national promotion strategy pilots. An initiative to assess the effectiveness of OiRA approach to risk assessment will also be initiated.

Strategic objective 4: 2021 will be first full year of campaigning in its two-year Healthy Workplaces Lighten the Load campaign focused on the prevention of work-related MSDs. EU-OSHA will provide publications and campaign products to support the campaign, undertake campaigning actions, support focal points for the development of campaign actions in the Member States via the FAST scheme and undertake overall coordination and management of the campaign. It will also continue preparatory work for the next campaign on Digitalisation and OSH to be launched in 2023.

Furthermore, in 2021, the agency will deliver effective communication actions for both policy-facing and workplace-facing activities including further development of its websites, management of its press office (and media partners) and delivery of publications and information to inform and raise awareness about OSH among selected audiences (intermediaries and beneficiaries).

Strategic objective 5: The Agency will continue to facilitate the exchange of expertise in OSH through the OSH wiki and the seminars on e-tools. E-guides will be kept up to date. The Agency will provide knowledge-based support to the Commission, other institutions and key stakeholders when requested to strengthen the evidence base. The review of biomonitoring practice across the EU containing elements for non-binding guidance will be further developed in collaboration with other organisations currently working on this issue, as well as with the Commission and the ACSH.

The expert exchange programme initiated in 2020 will further seek to stimulate knowledge transfer between OSH organisations in the member states focusing on a specific topic area. Collaboration with members of the Global Coalition on OSH will continue. Joint actions will include the online presentation of data on the burden of occupational disease and injury and the development of a costing model linked to these estimations.

The total appropriations requested for the title 3 of the agency's expenditure is EUR 7 485 000.

4.3 Ad hoc grants and delegation agreements

EU-OSHA signed end of 2019 a new contribution agreement IPA/2019/412-828 - "Preparatory measures for the future participation of IPA II beneficiaries in the network of the European Agency for Safety and Health at Work". The objective of the action is to ensure that the IPA II beneficiaries have the capacity to participate effectively in the network and activities of EU-OSHA by supporting the approximation to and adoption of the EU acquis. It is in line with the set objectives of Component 2 of the Action 4 of the Multi Country Action Programme 2018. It corresponds as well with the dedication of the Commission to support the Candidate Countries in their efforts to align their OSH legislation with EU

law, as stated in the EU Strategic Framework on Health and Safety at Work. The proposed action is for an operational period 17/12/19 – 16/12/2022, has a total budget EUR 399 584 and foresees the employment of a contract agent FGIV for the management of the project.

The contribution agreement IPA/2019/412-828 is to be seen as the continuation of previous similar initiatives ensuring sustainability. It is the fifth intervention in a row of IPA funded actions (contracts: 2009/205-943; 2011/273-995; 2015/367-495 and 2017/390-035). A lot of work was completed during the previous years and the current proposal has been prepared with the intention to continue the good practices, to introduce new methods and activities and to develop further the accomplishments.

Former programmes 2015/367-495 and 2017/390-035 are now ended and pending final reporting and/or refund to the responsible DG.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Miribilla Building	c/ Santiago de Compostela 12 E-48003 Bilbao - SPAIN	1 018	1 367	2 385	300 000	8 years and afterwards automatic renewal on a yearly basis	Renting contract	100 100	
2	Multiburo - NCI SA	Square de Meeus 38/40 B-1000 Brussels - BELGIUM	30		30	49 000	Renewal on a yearly basis	Renting contract		
TOTAL			1 048	1 367	2 415	349 000				

5.1.2 Current building(s) Other comments

N/A

5.1.3 Building projects in the planning phase

N/A

5.1.4 Building projects submitted to the European Parliament and the Council

The Agency moved to new premises in 2014 and has no new building plan for the future.

5.2 European Schools

Schooling is a key factor in fostering multilingualism and enabling EU-OSHA to attract and retain qualified staff members. There is no European school at the Agency's seat, Bilbao. Consequently, the Agency reimburses the education allowance in line with the provisions of the Staff Regulations. No extra allowance is allocated to its staff in this regard.

In addition to local schools in Spanish and Basque language, international schools are located within the city and its outskirts; these help the Agency to attract a more diverse workforce although the offer is still relatively limited. The Agency is committed to continue fostering its multilingual environment and providing a multicultural education for the children of its staff. The Agency is currently studying and looking to implement possible measures and actions.

5.3 Evaluation

In April 2019 the Commission published its Staff Working document on the evaluation of EU-OSHA, Eurofound, ETF and Cedefop.¹ The evaluation had been commissioned by the Commission.

The conclusions in both the evaluation and the SWD about the performance of EU-OSHA are very encouraging on all evaluation questions (effectiveness, efficiency, coherence, relevance and added value). However, the SWD also includes a number of recommendations for further improvement. Most of these recommendations are common to the four agencies covering effectiveness, efficiency, governance, reinforced cooperation between the agencies, and policy support for Member States and the EU. Four recommendations are specifically targeted at EU-OSHA dealing with the balance of different areas of core activities, reaching SMEs and collaboration with the ILO and national OSH research institutes.

EU-OSHA is working on the follow-up to the SWD and in January 2020, the Management Board of EU-OSHA had an in-depth discussion of the follow-up and agreed an action plan to address the recommendations.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
The Agency receives an annual subsidy of EUR 100 100 from local and national authority	Annual contribution of local authorities from kingdom of Spain (EUR 60 100) and Basque Regional Government (EUR 40 000)	
Seat agreement	A seat agreement has been signed with the Kingdom of Spain on 31 March 2014 foresees a maximum EUR 100 000 (but actually EUR 60 100) per year as a contribution to rent related expenditure. The Agency's staff is accredited with the Spanish Ministry of Foreign Affairs with non-diplomatic status with the exception of the Executive Director.	
VAT Exemption	Non Spanish staff members are entitled to VAT exemptions for purchases of goods and purchase of one new car during the first year of service.	

¹ Commission Staff Working Document, "Evaluation of the EU Commission Agencies working in the employment and social affairs policy field: Eurofound, Cedefop, ETF and EU-OSHA", 9 April 2019 (SWD (2019)159 final)

1 Overview**1.1 Creation/modification (legal base)**

Decision	Date	Mission / Tasks / Functions
Regulation 337/75	10 February 1975	Regulation (EEC) No 337/75 of the Council of 10 February 1975 establishing a European Centre for the Development of Vocational Training
Regulation 1946/93	30 June 1993	Council Regulation (EEC) No 1946/93 of 30 June 1993 amending Regulation (EEC) No 337/75 establishing a European Centre for the Development of Vocational Training
Regulation 1131/94	16 May 1994	Council Regulation (EC) No 1131/94 of 16 May 1994 amending Regulation (EEC) No 337/75 establishing a European Centre for the Development of Vocational Training
Regulation 251/95	6 February 1995	Council Regulation (EC) No 251/95 of 6 February 1995 amending Regulation (EEC) No 337/75 establishing a European Centre for the Development of Vocational Training
Regulation 354/95	20 February 1995	Council Regulation (EC) No 354/95 of 20 February 1995 amending Regulation (EEC) No 337/75 establishing a European Centre for the Development of Vocational Training
Regulation 1655/2003	18 June 2003	Council Regulation (EC) No 1655/2003 of 18 June 2003 amending Regulation (EEC) No 337/75 establishing a European Centre for the Development of Vocational Training and repealing Regulation (EEC) No 1416/76
Regulation 2051/2004	25 October 2004	Council Regulation (EC) No 2051/2004 of 25 October 2004 amending Regulation (EEC) No 337/75 establishing a European Centre for the Development of Vocational Training
Regulation 2019/128	16 January 2019	Regulation (EU) 2019/128 of the European Parliament and of the Council of 16 January 2019, establishing a European Centre for the Development of Vocational Training (Cedefop) and repealing Council Regulation (EC) no 337/75

1.2 Seat

Thessaloniki - Greece

1.3 Budget Line

07 10 03 : European Centre for the Development of Vocational Training (Cedefop)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	48	46	95,83%	49	49
Assistants (AST)	43	40	93,02%	42	42
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	91	86	94,51%	91	91
Contract Agents (CA)	25	25	100,00%	25	25
Seconded National Experts (SNE)	4	3	75,00%	4	4
TOTAL STAFF	120	114	95,00%	120	120

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	17 838 000	18 000 000
Other Revenue	439 890	451 030
TOTAL REVENUES	18 277 890	18 451 030

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	11 293 336	11 293 336	11 513 130	11 513 130
Title 2 - Infrastructure and operating expenditure	1 702 900	1 702 900	1 674 900	1 674 900
Title 3 - Operational expenditure	5 281 654	5 281 654	5 263 000	5 263 000
TOTAL EXPENDITURE	18 277 890	18 277 890	18 451 030	18 451 030

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1		1		1
AD 14		1		1		1		1		1
AD 13		2		2		2		3		3
AD 12	4	7	4	7	3	9	3	10	3	10
AD 11		8		7		8		8		8
AD 10		9		8		9		9		9
AD 9		5		6		6		7		7
AD 8		5		5		5		4		4
AD 7		4		4		4		3		3
AD 6		2		1		1				

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 5										
AD TOTAL	4	44	4	42	3	46	3	46	3	46
AST 11		1		1		1		1		1
AST 10	1	1	1	1	1	1	1	1	1	1
AST 9	1	2	1	2	2	3	2	4	2	4
AST 8	1	3	1	3	1	3	2	4	2	4
AST 7	3	6	3	6	3	10	1	11	1	11
AST 6	3	7	2	7		8		8		8
AST 5		6		6		6		6		6
AST 4		8		6		3		1		1
AST 3										
AST 2										
AST 1										
AST TOTAL	9	34	8	32	7	35	6	36	6	36
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL	13	78	12	74	10	81	9	82	9	82
GRAND TOTAL	91		86		91		91		91	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	5	4	5	5
Function Group III	6	5	6	6
Function Group II	11	12	11	11
Function Group I	3	4	3	3
TOTAL	25	25	25	25

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	4	3	4	4

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	18 858 635	17 838 000	18 300 000	18 000 000	0,91%
- <i>Of which assigned revenues deriving from previous years' surpluses</i>	1 323 605	22 510	195 379	195 379	767,97%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	414 920	429 890	441 030	441 030	2,59%
- <i>Of which EEA/EFTA (excl. Switzerland)</i>	414 920	429 890	441 030	441 030	2,59%
- <i>Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS	35 041	10 000	10 000	10 000	0,00%
- <i>Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	19 308 596	18 277 890	18 751 030	18 451 030	0,95%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	10 719 498	11 293 336	11 513 130	11 513 130	1,95%
Salaries & allowances	10 004 663	10 512 296	10 732 152	10 732 152	2,09%
- Of which establishment plan posts	8 449 455	8 871 070	8 953 517	8 953 517	0,93%
- Of which external personnel	1 555 208	1 641 226	1 778 635	1 778 635	8,37%
Expenditure relating to Staff recruitment	48 335	215 178	215 178	215 178	0,00%
Employer's pension contributions					
Mission expenses	130 000	100 000	100 000	100 000	0,00%
Socio-medical infrastructure	176 269	198 762	198 700	198 700	-0,03%
Training	114 792	120 000	120 000	120 000	0,00%
External Services	232 421	131 100	131 100	131 100	0,00%
Receptions, events and representation	13 018	16 000	16 000	16 000	0,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 601 952	1 702 900	1 724 900	1 674 900	-1,64%
Rental of buildings and associated costs	599 891	628 400	666 400	649 900	3,42%
Information, communication technology and data processing	749 027	736 000	702 000	700 000	-4,89%
Movable property and associated costs	7 162	15 000	15 000	14 000	-6,67%
Current administrative expenditure	96 947	162 000	162 000	150 000	-7,41%
Postage / Telecommunications	130 925	154 500	172 500	154 000	-0,32%
Meeting expenses	18 000	7 000	7 000	7 000	0,00%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	5 536 256	5 281 654	5 513 000	5 263 000	-0,35%
Transversal activities	250 795	308 148	310 000	300 000	-2,64%
Research and Policy Analysis	1 590 683	1 268 000	1 263 000	1 250 000	-1,42%
Enhanced Cooperation in VET and LLL	3 023 030	2 960 300	3 320 000	3 093 000	4,48%
Information, Communications and Dissemination	671 748	745 206	620 000	620 000	-16,80%
TOTAL	17 857 706	18 277 890	18 751 030	18 451 030	0,95%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	10 719 498	11 293 336	11 513 130	11 513 130	1,95%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Salaries & allowances	10 004 663	10 512 296	10 732 152	10 732 152	2,09%
- Of which establishment plan posts	8 449 455	8 871 070	8 953 517	8 953 517	0,93%
- Of which external personnel	1 555 208	1 641 226	1 778 635	1 778 635	8,37%
Expenditure relating to Staff recruitment	48 335	215 178	215 178	215 178	0,00%
Employer's pension contributions					
Mission expenses	130 000	100 000	100 000	100 000	0,00%
Socio-medical infrastructure	176 269	198 762	198 700	198 700	-0,03%
Training	114 792	120 000	120 000	120 000	0,00%
External Services	232 421	131 100	131 100	131 100	0,00%
Receptions, events and representation	13 018	16 000	16 000	16 000	0,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 601 952	1 702 900	1 724 900	1 674 900	-1,64%
Rental of buildings and associated costs	599 891	628 400	666 400	649 900	3,42%
Information, communication technology and data processing	749 027	736 000	702 000	700 000	-4,89%
Movable property and associated costs	7 162	15 000	15 000	14 000	-6,67%
Current administrative expenditure	96 947	162 000	162 000	150 000	-7,41%
Postage / Telecommunications	130 925	154 500	172 500	154 000	-0,32%
Meeting expenses	18 000	7 000	7 000	7 000	0,00%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	5 536 256	5 281 654	5 513 000	5 263 000	-0,35%
Transversal activities	250 795	308 148	310 000	300 000	-2,64%
Research and Policy Analysis	1 590 683	1 268 000	1 263 000	1 250 000	-1,42%
Enhanced Cooperation in VET and LLL	3 023 030	2 960 300	3 320 000	3 093 000	4,48%
Information, Communications and Dissemination	671 748	745 206	620 000	620 000	-16,80%
TOTAL	17 857 706	18 277 890	18 751 030	18 451 030	0,95%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 195 379.

4 Justification of needs

Commission assessment

Human Resources

The Commission supports Cedefop request to maintain a stable number of establishment plan posts in 2021 compared to the Budget 2020 (91 posts).

Financial Resources

The Commission's request for DB 2021 amounts to EUR 18 000 000. This is compliant with the Communication on the MFF of 27 May 2020. It will provide Cedefop with the necessary means to ensure the continuity of its activities while seeking for efficiency gains.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

Cedefop's establishment plan foresees 91 posts for 2021. Between 2013 and 2018 Cedefop implemented a 10% staff cut, thus reaching the target of the MFF 2014-2020. In a knowledge-based organisation such as Cedefop, the decrease in human capital available to work on core business activities cancels out the potential operational budget gain, obtained from savings in staff costs.

Cedefop's request for the year 2021 is in line with the Commission's Working Document on Decentralised Agencies for the MFF 2021-2027. However, these ceilings restrict the ability of the Agency to fulfil its mandate and carry out the growing tasks set out in the draft PD 2021-2023.

The human resources planning for 2021 includes 4 SNE and 30 CA posts, which include 5 CA posts for temporary replacement of staff in short term absence.

4.1.2 Vacancy rate as of end 2019

86 out of 91 establishment plan posts were filled in as of 31/12/2019. This represents a vacancy rate of 5%.

4.1.3 Standard abatement ('abatement forfaitaire') applied

In 2020, 5 members of the staff will retire. Based on past experience, historical turn-over rate and recruitment plans in order to replace staff departing, an abatement rate of 2% was applied to the budget estimate on Title 1 costs.

4.1.4 Salary assumption for calculating salary line (% applied)

For the purposes of salary projections, Cedefop has used as a basis a combined increase ratio of 4% which accounts for the annual pay update for 2020, as well as foreseeable increases in step and the cost of a projected number of promotions. The Agency foresaw also the replacement of staff retiring with new staff recruited at entry levels. The resulting salary differential allowed the Agency to establish the estimated amount for establishment plan posts with an increase of 0.93% compared to budget 2020.

4.1.5 Correction coefficient used

The evolution of the weighting factor has become increasingly unpredictable in recent years and experience is no longer a reliable guide. For the purposes of salary projections, Cedefop used the weighting factor in place in December 2019 (i.e. 81.8%).

4.1.6 Exchange rate used (if applicable)

Not applicable

4.2 Financial Resources - Agency request

4.2.1 Title 1

For Title 1, the estimate for 2021 is based on the provisions for the establishment plan and its occupation. It takes into account new recruitment in middle management, turnover and retirements, and the staff resources needed for the implementation of Cedefop's activities, thus representing an increase of 1.95% in 2021 compared to 2020. Salary and allowance costs are calculated based on the December 2019 salaries and include estimates for staff career progression (automatic step increase, promotion and reclassification exercises). However, the increase does not include any likely change in the weighting factor for Greece having an impact on salaries and allowances. Natural increases in staff costs imply an increasing pressure on the overall budget given that any cap imposed by the MFF needs to be respected and most staff costs are inelastic. In consequence, Cedefop will have to absorb any increase in staff expenditure by refocusing and further reducing its activities and deliverables (negative priorities) in Titles 2 and 3.

4.2.2 Title 2

For the year 2021, budget in Title 2 is planned to increase by about 1.29% in comparison to 2021. This amount includes steady investments in new technologies, aiming at aligning the IT landscape of the Agency with other EU institutions, and efficiency improvements, which are a priority of the Agency in the years to come. This signals the commitment of the Agency to enjoying benefits from shared-services and efficiency gains allowing the maximisation of the allocation of resources to core business. Projects such as energy management, energy savings and green initiatives may only be taken forward on a case-by-case basis subject to budgetary availability.

4.2.3 Title 3

For Title 3, the apparent increase of budget by 4.38% in 2021, compared to 2020, is in fact the result of reduced budget for core business in 2020 due to the budget cut Cedefop suffered. The trend for the following years shows a decrease by 1.1% and by 2.7% for 2022 and 2023 respectively. This trend will accelerate in the following years if Cedefop is endowed a stable budget in nominal terms in the next MFF, leading to an estimated decreased of Title 3 by about 40% by 2027. Such a steep forecasted decline in the funds allocated to core business will call for drastic choices in the years to come in order to preserve the added value and quality of the work delivered by the Agency.

4.3 Ad hoc grants and delegation agreements

Not applicable.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Cedefop building	Thessaloniki	4 550	5 015,28	9 565,28				Building granted by host country	1 906 698
2	Cedefop Liaison office	Brussels	25,6	17,15	42,75	17 326	1 year	SLA with OIB		
TOTAL			4 575,6	5 032,43	9 608,03	17 326				1 906 698

5.1.2 Current building(s) Other comments

The total surface of Thessaloniki office is 9,565.28 m²

It is a four-storey building, set in its own grounds on the outskirts of the city of Thessaloniki, and bears a net Book Value of 1.9 million EUR as per 2019 provisional annual accounts.

The Agency rents an office space of 25,60 m² in the Commission, Rue de Spa 3 (SPA3 building). The lease is governed by an SLA signed with OIB.

5.1.3 Building projects in the planning phase

Not applicable

5.1.4 Building projects submitted to the European Parliament and the Council

Not applicable

5.2 European Schools

There is no European School in Thessaloniki. In its absence, Cedefop implements specific policies to support schooling of staff's children.

5.3 Evaluation

The last periodic external evaluation of Cedefop required by the financial rules was completed in 2018. Carried out by DG Employment, the evaluation assessed Cedefop individually as well as in a cross-cutting perspective vis-à-vis the other Agencies falling under the remit of DG Employment i.e. Eurofound, ETF and EU-OSHA. Cedefop is following up on resulting recommendations. The resulting Commission's Staff Working Document (SWD (2019)159) was published on 9 April 2019. The outcomes of the cross-agency evaluation were generally positive while also highlighting areas for improvement. It confirmed the good quality of the Agencies' work despite budgetary and HR constraints, their alignment to the EU agenda and the uniqueness of their outputs/ services. Potential overlaps at the level of the Agencies' mandate did not occur in practice. It was also clear that there would be no overlaps with the recently established European Labour Authority (ELA).

Cedefop's action plan as a follow-up to the Commission's SWD was transmitted to DG EMPL on 11 October 2019 who welcomed in particular the actions, including precise deadlines, addressing the Cedefop-specific recommendations, as well as the cooperation with the other Agencies concerned.

In accordance with Article 29.5 of Cedefop's Financial Rules (FR) and Art. 9 of its implementing rules (IR), Cedefop undertakes both ex-ante and ex-post evaluations in line with guidance provided by the Commission of all programmes and activities which entail significant spending.

Cedefop closely follows-up the evaluations and audits recommendations and keeps its Management Board and Executive Board regularly informed on the follow-up given and the status of the recommendations. Follow-up action plans give a comprehensive view of the recommendations, actions envisaged, responsibilities, deadlines and status of implementation.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities of the European Union	Education / day care
The Agency has the status of a diplomatic mission in Greece – only the two official cars and the private cars of the Director and Deputy Director can obtain a diplomatic car plate; yearly VAT exemption is only granted to the Agency (in line with the protocol) and not to staff members	As regards VAT exemption for staff, the Protocol on privileges and immunities is applicable to EU staff, except for those who were resident in Greece before employment in the Agency. VAT and customs duties exemption applies to such staff during one year from their taking up functions at Cedefop, as provided for in the headquarters Agreement	Nothing provided by the state of the host country.

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission / Tasks / Functions
Regulation (EU) 2019/1149 of the European Parliament and of the Council of 20 June 2019 establishing a European Labour Authority, amending Regulations (EC) No 883/2004, (EU) No 492/2011, and (EU) 2016/589 and repealing Decision (EU) 2016/344	11 July 2019	<p>The objective of the Authority is to contribute to ensuring fair labour mobility across the Union and assist Member States and the Commission in the coordination of social security systems within the Union.</p> <p>To this end, the Authority shall facilitate access to information on rights and obligations regarding labour mobility across the Union as well as to relevant services; facilitate and enhance cooperation between Member States in the enforcement of relevant Union law across the Union, including facilitating concerted and joint inspections; mediate and facilitate a solution in cases of cross-border disputes between Member States; and support cooperation between Member States in tackling undeclared work.</p>

1.2 Seat

On 13 June 2019, the Decision (EU) 2019/1199 on the location of the seat of the ELA - Bratislava, Slovakia - was taken by common accord between the Representatives of the Governments of the Member States. It is assumed in this draft budget request for 2021 that the ELA will be fully established in Bratislava and operate from this location during the full year.

1.3 Budget Line

07 10 09 : European Labour Authority (ELA)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	12		0,00%	14	27
Assistants (AST)	4		0,00%	6	11
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	16		0,00%	20	38
Contract Agents (CA)	7	4	57,14%	15	15
Seconded National Experts (SNE)	15		0,00%	30	45
TOTAL STAFF	38	4	10,53%	65	98

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast

EU contribution	15 683 250	24 219 500
Other Revenue	0	0
TOTAL REVENUES	15 683 250	24 219 500

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	5 085 000	5 085 000	8 628 000	8 628 000
Title 2 - Infrastructure and operating expenditure	2 918 250	2 918 250	1 435 000	1 435 000
Title 3 - Operational expenditure	7 680 000	7 680 000	14 156 500	14 156 500
TOTAL EXPENDITURE	15 683 250	15 683 250	24 219 500	24 219 500

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1				1		1		1
AD 13										
AD 12										
AD 11										
AD 10								6		6
AD 9		2				4		6		
AD 8										
AD 7		4				4		16		13
AD 6										
AD 5		5				5		10		7
AD TOTAL		12				14		39		27
AST 11										
AST 10										
AST 9										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 8										
AST 7										
AST 6										
AST 5										
AST 4		2				2		2		2
AST 3						2		8		8
AST 2		2				2		1		1
AST 1										
AST TOTAL		4				6		11		11
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		16				20		50		38
GRAND TOTAL	16				20		50		38	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	3	1	7	7
Function Group III	4	3	8	8
Function Group II				
Function Group I				
TOTAL	7	4	15	15

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	15		30	45

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	1 882 809	15 683 250	29 977 000	24 219 500	54,43%
<i>- Of which assigned revenues deriving from previous years' surpluses</i>					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	p.m.	p.m.	p.m.	p.m.	
<i>- Of which EEA/EFTA (excl. Switzerland)</i>	p.m.	p.m.	p.m.	p.m.	
<i>- Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
<i>- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	1 882 809	15 683 250	29 977 000	24 219 500	54,43%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	354 572	5 085 000	10 185 000	8 628 000	69,68%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Salaries & allowances	100 000	3 275 000	7 615 000	7 222 000	120,52%
- Of which establishment plan posts		1 700 000	4 555 000	4 162 000	144,82%
- Of which external personnel	100 000	1 575 000	3 060 000	3 060 000	94,29%
Expenditure relating to Staff recruitment	56 972	520 000	580 000	400 000	-23,08%
Employer's pension contributions					
Mission expenses	29 600	110 000	145 000	90 000	-18,18%
Socio-medical infrastructure	47 940	520 000	1 025 000	370 000	-28,85%
Training	8 938	135 000	215 000	100 000	-25,93%
External Services	111 122	490 000	525 000	416 000	-15,10%
Receptions, events and representation		10 000	40 000	10 000	0,00%
Social welfare					
Other Staff related expenditure		25 000	40 000	20 000	-20,00%
Title 2 - Infrastructure and operating expenditure	989 824	2 918 250	3 142 000	1 435 000	-50,83%
Rental of buildings and associated costs	245 000	60 000	100 000		-100%
Information, communication technology and data processing	441 216	930 000	1 275 000	400 000	-56,99%
Movable property and associated costs		925 000	400 000	250 000	-72,97%
Current administrative expenditure	1 200	30 000	50 000	25 000	-16,67%
Postage / Telecommunications	500	40 000	100 000	25 000	-37,50%
Meeting expenses	203 034	390 000	350 000	300 000	-23,08%
Running costs in connection with operational activities					
Information and publishing	98 874	500 000	830 000	400 000	-20,00%
Studies					
Other infrastructure and operating expenditure		43 250	37 000	35 000	-19,08%
Title 3 - Operational expenditure	538 413	7 680 000	16 650 000	14 156 500	84,33%
Task 1: Access to information and coordination of EURES		5 175 000	10 000 000	8 756 500	69,21%
Task 2: Cooperation and exchange of information between Member States			1 000 000	850 000	100%
Task 3: Concerted and joint inspections	125 360	745 000	1 500 000	1 000 000	34,23%
Task 4: Analyses and risk assessment		110 000	1 000 000	850 000	672,73%
Task 5: Capacity Building			1 000 000	850 000	100%
Task 6: Support to Member States in tackling undeclared work	246 960	1 650 000	1 650 000	1 500 000	-9,09%
Task 7: Mediation disputes between Member States			500 000	350 000	100%
Communication activities on operational tasks	166 093				
TOTAL	1 882 809	15 683 250	29 977 000	24 219 500	54,43%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations
-------------	------------------------

	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	145 760	5 085 000	10 185 000	8 628 000	69,68%
Salaries & allowances	44 373	3 275 000	7 615 000	7 222 000	120,52%
- Of which establishment plan posts		1 700 000	4 555 000	4 162 000	144,82%
- Of which external personnel	44 373	1 575 000	3 060 000	3 060 000	94,29%
Expenditure relating to Staff recruitment	43 712	520 000	580 000	400 000	-23,08%
Employer's pension contributions					
Mission expenses	6 764	110 000	145 000	90 000	-18,18%
Socio-medical infrastructure		520 000	1 025 000	370 000	-28,85%
Training		135 000	215 000	100 000	-25,93%
External Services	50 911	490 000	525 000	416 000	-15,10%
Receptions, events and representation		10 000	40 000	10 000	0,00%
Social welfare					
Other Staff related expenditure		25 000	40 000	20 000	-20,00%
Title 2 - Infrastructure and operating expenditure	139 134	2 918 250	3 142 000	1 435 000	-50,83%
Rental of buildings and associated costs		60 000	100 000		-100%
Information, communication technology and data processing	37 667	930 000	1 275 000	400 000	-56,99%
Movable property and associated costs		925 000	400 000	250 000	-72,97%
Current administrative expenditure		30 000	50 000	25 000	-16,67%
Postage / Telecommunications		40 000	100 000	25 000	-37,50%
Meeting expenses	74 714	390 000	350 000	300 000	-23,08%
Running costs in connection with operational activities					
Information and publishing	26 753	500 000	830 000	400 000	-20,00%
Studies					
Other infrastructure and operating expenditure		43 250	37 000	35 000	-19,08%
Title 3 - Operational expenditure		7 680 000	16 650 000	14 156 500	84,33%
Task 1: Access to information and coordination of EURES		5 175 000	10 000 000	8 756 500	69,21%
Task 2: Cooperation and exchange of information between Member States			1 000 000	850 000	100%
Task 3: Concerted and joint inspections		745 000	1 500 000	1 000 000	34,23%
Task 4: Analyses and risk assessment		110 000	1 000 000	850 000	672,73%
Task 5: Capacity Building			1 000 000	850 000	100%
Task 6: Support to Member States in tackling undeclared work		1 650 000	1 650 000	1 500 000	-9,09%
Task 7: Mediation disputes between Member States			500 000	350 000	100%
Communication activities on operational tasks					
TOTAL	284 894	15 683 250	29 977 000	24 219 500	54,43%

3.3 Budget Outturn

Not applicable.

4 Justification of needs

Commission assessment

Human Resources

The number of staff requested for ELA in 2021 replies to the need to have sufficient staff qualified to take over the tasks to be fulfilled in the framework of ELA's mandate. Commission's position is to stick to the Legal Financial Statement.

Financial Resources

The agency's request follows the related legislative financial statement in terms of credits foreseen for ELA in 2021 (EUR 29 977 000). However, the impact of the SK corrector coefficient as well as the 10 years free of charge rental arrangement with the SK authorities have to be taken into account and reflected into the DB 2021 request.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

The number of staff requested in 2021 replies to the need for ELA to have sufficient staff qualified to take over the tasks described in its founding Regulation. The total number of staff by the point of reaching cruising speed by 2024 will remain the same as the one indicated in the Legal Financial Statement accompanying the founding Regulation, as well as the overall budget planned under Title 1 for 2021.

The grading of the posts specified in the ELA Budget for 2020 was based on the assumption that the Authority would be located in Brussels. Following the decision to allocate the seat of ELA to Bratislava, the Establishment Plan and staff plan needs to be adjusted to take into account the correction coefficient applicable in the host Member State, with a view to recruit a qualified and diverse workforce able to fulfil ELA's mandate.

4.1.2 Vacancy rate as of end 2019

The Establishment Plan adopted for ELA assumed an establishment date of the Authority during the first quarter 2019; the Regulation establishing ELA entered into force at a later stage (i.e. on 31 July 2019). As a first step, ELA recruited several contract agents with administrative profiles. At the same time, it published the first wave of temporary agent vacancies to fill in the posts of the Establishment Plan. These first vacancies cover the needs for temporary agents until the 1st half of 2020.

Even though the occupancy rate by end of 2019 is low, ELA expects to fill more than 50% of its 2020 capacity for temporary and contract agents already by end of June 2020. As of end of January, the situation is as follows:

- Three new staff took office in January 2020;
- Another three new staff are planned to arrive by 16/02/2020 and a fourth one on 01/04/2020;
- Several recruitments are currently taking place on the basis of the constituted reserve lists, with a view for the selected candidates to join the Authority over the coming months (i.e. labour mobility officers, administrative assistants, head of sector - human resources etc.). Offers are currently being sent and are awaiting a formal confirmation for the arrival date, with the view of recruiting 9 new temporary agents by the summer 2020.

Now that the recruitment processes and the necessary team are in place, ELA is well equipped to process a high number of selection processes efficiently. Furthermore, a new vacancy for finance and procurement assistants has been recently published and other vacancies will be published soon. In parallel, the selection process to recruit the Executive Director is ongoing, with the successful candidate expected to be appointed by the Management Board by summer 2020.

4.1.3 Standard abatement ('abatement forfaitaire') applied

Not applicable.

4.1.4 Salary assumption for calculating salary line (% applied)

The calculation of the salary lines for 2021 was made on the basis of

- a) the requested staff as detailed in section 2 above, assuming that the staff will take up duty progressively throughout the year,
- b) the average FTE costs to be used for cost recovery of services provided by DG BUDG, and
- c) the correction coefficient of Slovakia (79%).

4.1.5 Correction coefficient used

79% for Slovakia.

4.1.6 Exchange rate used (if applicable)

Not applicable.

4.2 Financial Resources - Agency request

4.2.1 Title 1

The appropriations requested for the staff expenditure amount to EUR 10 185 000. It mainly covers the salaries and allowances of the staff expected to be employed by the Authority in 2021 (50 temporary agents, 27 contract agents, 45 seconded national experts and 10 interim staff by end of 2021), with a budget of approximately EUR 8 million. Recruitment will continue to be a high priority in 2021; it is expected that the staff structure will nearly double in size during this second full year of operation. It explains the level of the recruitment costs, which include among others the travel expenses to be reimbursed to interviewed candidates, the daily subsistence and installation allowances and the removal expenses. The requested appropriations also include a budget of EUR 1 million for the early childhood centres and schooling costs of the recruited staff. Other sources of staff expenditure relate to missions and trainings.

4.2.2 Title 2

The infrastructure and operating expenditure is estimated to EUR 3 142 000. It mainly relates to the IT equipment and services needed to ensure the effective administration of the Authority at the permanent seat location; the second part of the order of technical equipment and furniture for the meeting rooms; the organisation of the meetings of its governing bodies; and external communication activities and translation / publication charges. Based on the offer submitted by the Slovak government during the seat selection procedure, it is assumed that -from the moment of the Authority's move to Bratislava, expected to take place in 2020- the rental cost and associated charges of the building of the Authority will be covered by the financial contribution provided by the Slovak government in line with its offer.

4.2.3 Title 3

The operational expenditure is estimated to EUR 16 650 000. It is composed of the appropriations related to the activities currently implemented by the Commission that will be shifted to the Authority from January 2021 (activities related to EURES and the platform on undeclared work) (for an amount of EUR 10 187 000), and of fresh appropriations for starting the implementation of the new activities of the Authority as provided for by the Regulation (EU) 2019/1149 (for an amount of EUR 6 463 000).

The high percentage variations between the years 2020 and 2021 are explained by the growth of the Authority, notably of its staff structure, the take-over by the Authority of activities currently implemented by the Commission (activities related

to EURES and the platform on undeclared work: tasks 1 and 6) and the progressive start-up of the new activities of the Authority (tasks 2, 3, 4, 5 and 7).

4.3 Ad hoc grants and delegation agreements

Not applicable.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
TOTAL										

5.1.2 Current building(s) Other comments

On 13 June 2019, the Decision (EU) 2019/1199 on the location of the seat of the ELA - Bratislava, Slovakia - was taken by common accord between the Representatives of the Governments of the Member States. The Authority is temporarily hosted within Commission premises until the move to the seat location. In this budgetary statement for 2021, no rental costs for the building are included as it is assumed that the staff of the ELA will be moved to Bratislava in 2020. In line with the offer submitted by the Slovak government for the seat selection, the rental costs for the first years will be paid by Slovakia.

5.1.3 Building projects in the planning phase

The offer submitted by the government of the Slovak Republic included the proposal of a building and a financial contribution to partially cover the rental cost and some associated charges of the building. The building project will be presented to the Budgetary Authority in due time.

5.1.4 Building projects submitted to the European Parliament and the Council

Not applicable for the moment.

5.2 European Schools

In the absence of a European school in Bratislava, it is proposed to cover education fees in international schools by entering into bilateral agreements with those schools. This is in line with best practice in other Regulatory Agencies of the EU facing a similar situation. The Management Board will be invited to approve this proposal in early 2020.

5.3 Evaluation

Not applicable.

5.4 Privileges and immunities

The Protocol on the Privileges and Immunities of the European Union shall apply to the Authority and its staff.

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission / Tasks / Functions
Regulation (EC)1922/2006 of the European Parliament and of the Council on establishing a European Institute for Gender Equality	20/12/2006	<p>The Institute's mission is to become the European competence centre on gender equality issues.</p> <p>The Institute has been designed to contribute to and strengthen the promotion of gender equality, including gender mainstreaming in all EU policies and the resulting national policies, and the fight against discrimination based on sex, and to raise EU citizens' awareness of gender equality by providing technical assistance to the EU institutions and the authorities of the Member States, which cannot be sufficiently achieved by the Member States and can therefore, by reason of the scale of the action, be better achieved at EU level, the EU may adopt measures, in accordance with the principle of subsidiarity as set out in Article 5 of the Treaty. In accordance with the principle of proportionality, as set out in that Article, this Regulation does not go beyond what is necessary to achieve those objectives.</p> <p>The Institute shall collect, analyse and disseminate relevant objective, comparable and reliable information as regards gender equality, including results from research and best practice. The Institute shall set up and coordinate a European Network on Gender Equality, involving the centres, bodies, organisations and experts dealing with gender equality and gender mainstreaming.</p> <p>The Institute shall make information on gender mainstreaming available to public and private organisations; and provide information to the EU Institutions on gender equality and gender mainstreaming in the accession and candidate countries.</p>

1.2 Seat

Vilnius, Lithuania

1.3 Budget Line

07 10 05 : European Institute for Gender Equality (EIGE)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	21	20	95,24%	21	21
Assistants (AST)	6	6	100,00%	6	6
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	27	26	96,30%	27	27
Contract Agents (CA)	10	14	140,00%	10	10
Seconded National Experts (SNE)	5	4	80,00%	5	5
TOTAL STAFF	42	44	104,76%	42	42

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
----------	------	------

	Revenues estimated by the agency	Budget Forecast
EU contribution	8 096 000	8 096 000
Other Revenue	0	0
TOTAL REVENUES	8 096 000	8 096 000

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	3 644 663	3 644 663	3 644 663	3 644 663
Title 2 - Infrastructure and operating expenditure	1 121 337	1 121 337	1 121 337	1 121 337
Title 3 - Operational expenditure	3 330 000	3 330 000	3 330 000	3 330 000
TOTAL EXPENDITURE	8 096 000	8 096 000	8 096 000	8 096 000

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1				1		1		1
AD 13				1						
AD 12		1				2		2		2
AD 11		2		1		2		2		2
AD 10		4		2		4		4		4
AD 9		3		2		2		2		2
AD 8		4		1		4		4		4
AD 7		3		7		3		3		3
AD 6		3		2		3		3		3
AD 5				4						
AD TOTAL		21		20		21		21		21
AST 11										
AST 10										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 9						1		1		1
AST 8		2		1		1		1		1
AST 7		2				2		2		2
AST 6		2		3		2		2		2
AST 5				1						
AST 4				1						
AST 3										
AST 2										
AST 1										
AST TOTAL		6		6		6		6		6
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		27		26		27		27		27
GRAND TOTAL	27		26		27		27		27	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	3	5	3	3
Function Group III	5	6	5	5
Function Group II	2	3	2	2
Function Group I				
TOTAL	10	14	10	10

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	5	4	5	5

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	7 937 000	8 096 000	8 096 000	8 096 000	0,00%
- Of which assigned revenues deriving from previous years' surpluses	127 683	82 095		141 250	72,06%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
- Of which EEA/EFTA (excl. Switzerland)					
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS	131				
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	7 937 131	8 096 000	8 096 000	8 096 000	0,00%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	3 441 101	3 644 663	3 644 663	3 644 663	0,00%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Salaries & allowances	3 041 472	3 186 663	3 186 663	3 186 663	0,00%
- Of which establishment plan posts	2 167 664	2 377 663	2 377 663	2 377 663	0,00%
- Of which external personnel	873 808	809 000	809 000	809 000	0,00%
Expenditure relating to Staff recruitment	35 930	32 000	32 000	32 000	0,00%
Employer's pension contributions					
Mission expenses	40 000	41 500	41 500	41 500	0,00%
Socio-medical infrastructure	83 498	108 000	108 000	108 000	0,00%
Training	94 654	88 000	88 000	88 000	0,00%
External Services	138 865	180 000	180 000	180 000	0,00%
Receptions, events and representation	6 682	8 500	8 500	8 500	0,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 305 139	1 121 337	1 121 337	1 121 337	0,00%
Rental of buildings and associated costs	533 872	552 800	552 800	552 800	0,00%
Information, communication technology and data processing	346 269	305 197	305 197	305 197	0,00%
Movable property and associated costs	99 153	5 000	5 000	5 000	0,00%
Current administrative expenditure	121 736	90 700	90 700	90 700	0,00%
Postage / Telecommunications					
Meeting expenses	200 294	161 640	161 640	161 640	0,00%
Running costs in connection with operational activities		1 000	1 000	1 000	0,00%
Information and publishing	3 815	5 000	5 000	5 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	3 360 115	3 330 000	3 330 000	3 330 000	0,00%
Translations and interpretation costs	431 500	120 000	120 000	120 000	0,00%
Operational Missions	140 000	145 000	145 000	145 000	0,00%
Comparable and reliable data and indicators on GE	1 931 793	2 371 000	2 371 000	2 371 000	0,00%
Implementing GE and mainstreaming					
Resource and Documentation Centre					
Awareness raising, networking and communication	691 972	694 000	694 000	694 000	0,00%
Effective organisation and bodies of EIGE	164 850				
TOTAL	8 106 355	8 096 000	8 096 000	8 096 000	0,00%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations			
	Executed Budget	Budget 2020	Draft Budget 2021	VAR

	2019		Agency request	Budget forecast	2021/2020 (%)
Title 1 - Staff expenditure	3 441 101	3 644 663	3 644 663	3 644 663	0,00%
Salaries & allowances	3 041 472	3 186 663	3 186 663	3 186 663	0,00%
- <i>Of which establishment plan posts</i>	<i>2 167 664</i>	<i>2 377 663</i>	<i>2 377 663</i>	<i>2 377 663</i>	<i>0,00%</i>
- <i>Of which external personnel</i>	<i>873 808</i>	<i>809 000</i>	<i>809 000</i>	<i>809 000</i>	<i>0,00%</i>
Expenditure relating to Staff recruitment	35 930	32 000	32 000	32 000	0,00%
Employer's pension contributions					
Mission expenses	40 000	41 500	41 500	41 500	0,00%
Socio-medical infrastructure	83 498	108 000	108 000	108 000	0,00%
Training	94 654	88 000	88 000	88 000	0,00%
External Services	138 865	180 000	180 000	180 000	0,00%
Receptions, events and representation	6 682	8 500	8 500	8 500	0,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 305 139	1 121 337	1 121 337	1 121 337	0,00%
Rental of buildings and associated costs	533 872	552 800	552 800	552 800	0,00%
Information, communication technology and data processing	346 269	305 197	305 197	305 197	0,00%
Movable property and associated costs	99 153	5 000	5 000	5 000	0,00%
Current administrative expenditure	121 736	90 700	90 700	90 700	0,00%
Postage / Telecommunications					
Meeting expenses	200 294	161 640	161 640	161 640	0,00%
Running costs in connection with operational activities		1 000	1 000	1 000	0,00%
Information and publishing	3 815	5 000	5 000	5 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	3 360 115	3 330 000	3 330 000	3 330 000	0,00%
Translations and interpretation costs	431 500	120 000	120 000	120 000	0,00%
Operational Missions	140 000	145 000	145 000	145 000	0,00%
Comparable and reliable data and indicators on GE	1 931 793	2 371 000	2 371 000	2 371 000	0,00%
Implementing GE and mainstreaming					
Resource and Documentation Centre					
Awareness raising, networking and communication	691 972	694 000	694 000	694 000	0,00%
Effective organisation and bodies of EIGE	164 850				
TOTAL	8 106 355	8 096 000	8 096 000	8 096 000	0,00%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 141 250.06

4 Justification of needs

Commission assessment

Human Resources

The Commission supports the request made by EIGE regarding the EU contribution for DB 2021. It is compliant with the Communication of 27 May on the MFF. EIGE, as other agencies and institutions, is advised to continue looking for efficiency gains wherever possible (namely in favour of operational costs).

Financial Resources

Regarding the staff, the Commission supports EIGE request with the exception of the swap of one SNE with a CA.

4.1 Human Resources - Agency Request

By end of 2017 the proposed reduction of 10% in EIGE's establishment plan has been fully implemented (5 % staff reduction to be applied in all EU institutions, bodies, agencies and their administrations over the period 2013-2017 plus 5 % for redeployment in start-up EU agencies) as requested by the Budgetary Authority. Having reduced the number of Temporary Agent posts from 30 to 27 in the period 2015-2017, no further reductions are envisaged in 2021-2023.

The requested appropriations in Title I relate to staff expenditure as foreseen in the Establishment Plan for 2021, as well as external personnel, training and missions of an administrative nature. The appropriations and the Establishment plan also take into account career development possibilities for staff (in step and in grade) in accordance with the Staff Regulations and the Conditions of Employment of Other Servants

4.1.1 Number of staff requested

Draft Budget (DB) for 2021 starts the new 2021-2027 Multiannual financial framework (MFF), for which negotiations are not yet concluded. EIGE's Establishment Plan keeps the same level as in the year 2020 (total of 27) and no additional Temporary Agents are requested.

The draft SPD 2020-2022 and draft budget 2020 proposed a conversion of one SNE post to one Contract Agent (FG IV) and provided justification. In the process of inter-service consultation, the draft SPD 2020-2022 was approved by European Commission without comment on this request (opinion C(2019) 5549 of 29 of July 2019). After adoption of EIGE's Management Board of SPD 2020-2022, EIGE increased number of Contract Agents to 11 and decreased the number of SNEs posts to 4.

In addition to the facts, that the Member States find it difficult to second experts to EIGE, EIGE analysed other risks, such as long-term impact of contract staff on the budget and believes, that such a conversion can hardly affect adversely the Commission's budget in the long term:

- (i) Although EIGE has been employing CAs since 2009, of those currently employed by EIGE only one has an indefinite contract.
- (ii) More than half of the CAs who left EIGE (15/26) joined other EU institutions and agencies.
- (iii) Less than half of the CAs who left EIGE (11/26) are to date not engaged with any other EU institution or agency.

Moreover, even with number of positions increased, CAs amount only to 40% of EIGE's establishment plan (55% together with separately funded IPA project and short term replacements), which is still well below the threshold of 75% defined in Staff Regulations (CEOS Article 3a.2)

4.1.2 Vacancy rate as of end 2019

The Institute's Establishment Plan was at 96 % by the end of 2019 with one post vacant. The Establishment Plan is projected to be at 96-100 % level for 2021.

For the record, the following vacancy rates apply for previous year-ends:

2018 – 0 %

2017 – 4 %
2016 – 4 %
2015 – 0 %
2014 – 0 %
2013 – 0 %
2012 – 0 %
2011 – 4 %
2010 – 8 %

4.1.3 Standard abatement ('abatement forfaitaire') applied

N/A

4.1.4 Salary assumption for calculating salary line (% applied)

The following assumptions were made for 2021. All calculations were done in the ABB model developed for EIGE.

An Establishment Plan of 27 posts, 10 Contract Agent posts, 5 SNE positions and 8 trainee posts.

A country coefficient of 75.1 % and an inflation rate of 1 %.

Staff whose contracts terminated/not extended entitled to: double resettlement allowance (2 basic salaries), travel out and removal costs reimbursement.

New staff members (TAs and CAs) are expected to have the following average profile: expatriate, married, with 0.5 children, receiving education allowance.

A natural turnover of 10 % for TAs and 10 % for CAs projected (entitled to installation allowance (single basic salary taken), daily allowances for 7 months and removal costs reimbursement).

Appropriations for 2 CA posts under the IPA programme are subject to availability of IPA funds.

4.1.5 Correction coefficient used

75.1 %

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - Agency request

The total EU contribution is EUR 8 096 000 in 2020, of which EUR 3 644 663 in Title I covering all staff related costs, EUR 1 121 337 in Title II covering main items as building rental expenses, ICT expenses as well as Management Board and Experts' Forum meeting expenses, and EUR 3 330 000 in Title III covering operational expenditure.

Draft Budget (DB) for 2021 is the first of the new 2021-2027 Multiannual financial framework (MFF) and final information on the budget for the next multi annual programming period starting from 2021 is still not available. Following the document Agency Instructions for the Budget Circular for 2021, EIGE's draft budget for 2021 is kept at the same level as in the year 2020.

The general allocation between Titles (major appropriations allocated to Titles I and III, smallest to Title II) follows the trend of 2020.

4.2.1 Title 1

Appropriations under Title 1 are intended to cover staff expenditure as foreseen in the Establishment Plan for 2021, as well as external personnel, training and missions of administrative nature. At the level of 100 % occupancy of the

Establishment Plan, this Title also takes into account career development possibilities for staff (in step and in grade). Title 1 also covers socio-medical expenses as well as services provided by third parties related to staff.

4.2.2 Title 2

Appropriations under Title 2 are intended to cover rent and relevant premises services, IT, movable property, current administrative expenditure and some other operations' related services. The external meeting expenses are intended mainly to cover the cost of organisation of meetings for the Management Board (with relevant interpretation services) and the Experts' Forum.

4.2.3 Title 3

Appropriations under Title 3 are intended to cover preparation and implementation activities of the Single Programming Document 2021-2023, as well as translations and operational missions required for the performance of the activities of the Institute, under its mandate. The implementation of the SPD 2021-2023 is to be performed by carrying out studies and collecting of data, statistics, information and good practices on the topics within the three programme areas, the organisation of conferences, experts meetings and meetings with stakeholders, and communicating about EIGE's work.

4.3 Ad hoc grants and delegation agreements

A Grant Agreement for Pillar Assessed Organisations (PA Grant Agreement) (No 2017/389-613) for implementation of the action "EIGEs' cooperation with the EU candidate and potential candidate countries 2017-2019: improved monitoring of gender equality progress" was signed between DG NEAR and EIGE on 21/11/2017. Total eligible costs of the action were EUR 200 000. The agreed pre-financing rate was 100 %. Salary for a Contract Agent at FG III for 16 months was included in the budget under this agreement. The project was fully implemented by 31/12/2018 and duly reported by 30/06/2019.

A new Contribution Agreement (2018/402-854) for implementation of the action "Increased capacity of EU candidate countries and potential candidates to measure and monitor impact of gender equality policies (2018-2021)" was signed between DG NEAR and EIGE on 20/12/2018. The initial implementation period of the action was planned for 30 months starting 01/01/2019. Total eligible costs of the action were EUR 550 000.

On 20/12/2019, EIGE and DG NEAR signed the extension of this contract for 18 months and with an additional budget of EUR 428.950,30. Both parties agreed on the Addendum No 1 to Contribution Agreement Contract No 2018/402-854 (CRIS 2019/414-064) for the implementation of the action "Increased capacity of EU candidate countries and potential candidates to measure and monitor impact of gender equality policies (2018-2022)". The total implementation period of the action, after addendum, is 48 months, from 01/01/2019 to 31/12/2022. Total eligible costs of the action are EUR 928.950,30. The agreed pre-financing rate is 100 %. Salaries for a Contract Agent at FG III for 48 months and a Contract Agent at FG II for 42 months are budgeted under this agreement.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	The House of EU	Gedimino pr. 16, Vilnius, Lithuania	1 780,79	271,34	2 052,13	410 000	Lease contract for 5+5 years	Lease	Host country granted the premises for the first 2 years	
TOTAL			1 780,79	271,34	2 052,13	410 000				

5.1.2 Current building(s) Other comments

N/A

5.1.3 Building projects in the planning phase

N/A

5.1.4 Building projects submitted to the European Parliament and the Council

N/A

5.2 European Schools

N/A

5.3 Evaluation

Last external evaluation covering the period from early 2010 when EIGE gained its administrative and financial independence to late 2014 when the evaluation field work started has been submitted to the European Parliament and the Council by the European Commission in December 2015. The final report is also available on EIGE's website, following this link: <http://eige.europa.eu/about-eige/documents-registry/external-evaluation-european-institute-gender-equality>.

EIGE's External Evaluation 2020 (Reg. 1922/2006, Art. 20) has been budgeted under the Budget 2019 and during the meeting in November 2018 EIGE presented its initial assessment giving arguments to postpone the Evaluation: early stage of EIGE's establishment; the fact that the Institute has not finalised measures planned and implemented to meet the recommendations of the recent Evaluation and on the principle of proportionality. In June 2019, a formal decision was adopted by the Management Board to postpone the evaluation indicatively to the year 2022.

5.4 Privileges and immunities

Accreditation status as per agreement drawn up between EIGE and the Government of the Republic of Lithuania and signed in Vilnius on 24/10/2012.

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
Immunity and inviolability Exemptions from all direct taxes	Immunity from jurisdiction as regards acts carried out in official capacity. Exemption from regulations restricting immigration and formalities for registration of foreigners. Exemption from national taxes on salaries, wages and emoluments paid by EIGE. VAT exemption during first year of services (for non-Lithuanian residents). The Director and management staff accorded the privileges and immunities accorded to the staff of diplomatic missions in accordance with Vienna convention of diplomatic relations of 18 April 1961	Same rights and access to preschool and school education as for the nationals of the Republic of Lithuania.

1 Overview**1.1 Creation/modification (legal base)**

Decision	Date	Mission/ Tasks / Functions
Council Regulation (EC) No 168/2007	15/02/2007	<p>Collect, record, analyse and disseminate relevant, objective, reliable and comparable information and data, including results from research and monitoring communicated to it by Member States, Union institutions as well as bodies, offices and agencies of the Union, research centres, national bodies, non-governmental organisations, third countries and international organisations and in particular by the competent bodies of the Council of Europe;</p> <p>Develop methods and standards to improve the comparability, objectivity and reliability of data at European level, in cooperation with the Commission and the Member States;</p> <p>Carry out, cooperate with or encourage scientific research and surveys, preparatory studies and feasibility studies, including, where appropriate and compatible with its priorities and its annual work programme, at the request of the European Parliament, the Council or the Commission;</p> <p>Formulate and publish conclusions and opinions on specific thematic topics, for the Union institutions and the Member States when implementing Community law, either on its own initiative or at the request of the European Parliament, the Council or the Commission;</p> <p>Publish an annual report on fundamental rights issues covered by the areas of the Agency's activity, also highlighting examples of good practice;</p> <p>Publish thematic reports based on its analysis, research and surveys;</p> <p>Develop a communication strategy and promote dialogue with civil society, in order to raise public awareness of fundamental rights and actively inform about its work.</p>
COUNCIL DECISION (EU) 2017/2269 of 7 December 2017 establishing a Multiannual Framework for the European Union Agency for Fundamental Rights for 2018–2022	07/12/2017	<p>The Agency shall, in accordance with Article 3 of Regulation (EC) No 168/2007, carry out the tasks defined in Article 4(1) of Regulation (EC) No 168/2007 within following thematic areas as these are defined in the Council Decision (EU) 2017/2269 of 7 December 2017 establishing a Multiannual Framework for the European Union Agency for Fundamental Rights:</p> <ul style="list-style-type: none"> a. victims of crime and access to justice; b. equality and discrimination based on any ground such as sex, race, colour, ethnic or social origin, genetic features, language, religion or belief, political or any other opinion, membership of a national minority, property, birth, disability, age or sexual orientation, or on the grounds of nationality; c. information society and, in particular, respect for private life and protection of personal data; d. judicial cooperation, except in criminal matters; e. migration, borders, asylum and integration of refugees and migrants; f. racism, xenophobia and related intolerance; g. rights of the child; h. integration and social inclusion of Roma.

1.2 Seat

Vienna, Austria

1.3 Budget Line

07 10 04 : European Union Agency for Fundamental Rights (FRA)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	48	47	97,92%	48	48
Assistants (AST)	24	24	100,00%	24	24
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	72	71	98,61%	72	72
Contract Agents (CA)	32	30	93,75%	32	32
Seconded National Experts (SNE)	10	9	90,00%	9	9
TOTAL STAFF	114	110	96,49%	113	113

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	23 326 000	23 282 520
Other Revenue	365 000	373 000
TOTAL REVENUES	23 691 000	23 655 520

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	14 598 000	14 598 000	14 622 000	14 622 000
Title 2 - Infrastructure and operating expenditure	2 210 000	2 210 000	2 455 000	2 455 000
Title 3 - Operational expenditure	6 883 000	6 883 000	6 578 520	6 578 520
Title 4 - Other operational expenditure				
TOTAL EXPENDITURE	23 691 000	23 691 000	23 655 520	23 655 520

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1				1		1		1
AD 14		1		2		3		4		4
AD 13		2		2		3		3		3
AD 12		7		3		2		4		4
AD 11		5		1		5		7		7
AD 10		9		5		10		12		12
AD 9		12		8		11		9		9
AD 8		8		11		8		5		5
AD 7		2		11		2		3		3
AD 6		1		4		3		2		
AD 5										
AD TOTAL		48		47		48		50		48
AST 11										
AST 10		1				4		4		4
AST 9		3		2		2		3		3
AST 8		5		4		3		4		4
AST 7		7		1		7		5		5
AST 6		7		6		6		6		6
AST 5		1		7		2		2		2
AST 4				4						
AST 3										
AST 2										
AST 1										
AST TOTAL		24		24		24		24		24
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		72		71		72		74		72
GRAND TOTAL		72		71		72		74		72

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	20	15	20	20
Function Group III	10	11	10	10
Function Group II	2	4	2	2
Function Group I				
TOTAL	32	30	32	32

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	10	9	9	9

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	22 088 000	23 326 000	24 679 000	23 282 520	-0,19%
- Of which assigned revenues deriving from previous years' surpluses	168 288	171 003		171 003	0,00%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	539 576	365 000	373 000	373 000	2,19%
- Of which EEA/EFTA (excl. Switzerland)	181 576				
- Of which candidate countries	358 000	365 000	373 000	373 000	2,19%
4 OTHER CONTRIBUTIONS	244 000				
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	22 871 576	23 691 000	25 052 000	23 655 520	-0,15%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements
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	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	13 873 666	14 598 000	14 872 000	14 622 000	0,16%
Salaries & allowances	11 677 279	12 547 000	12 748 000	12 498 000	-0,39%
- Of which establishment plan posts	9 041 803	9 498 000	9 684 000	9 434 000	-0,67%
- Of which external personnel	2 635 476	3 049 000	3 064 000	3 064 000	0,49%
Expenditure relating to Staff recruitment	42 303	61 000	61 000	61 000	0,00%
Employer's pension contributions					
Mission expenses	104 394	95 000	95 000	95 000	0,00%
Socio-medical infrastructure	164 790	72 000	75 000	75 000	4,17%
Training	575 486	250 000	250 000	250 000	0,00%
External Services	108 590	180 000	194 000	194 000	7,78%
Receptions, events and representation	2 922	3 000	3 000	3 000	0,00%
Social welfare	1 197 902	1 300 000	1 356 000	1 356 000	4,31%
Other Staff related expenditure		90 000	90 000	90 000	0,00%
Title 2 - Infrastructure and operating expenditure	2 380 196	2 210 000	2 455 000	2 455 000	11,09%
Rental of buildings and associated costs	1 407 936	1 253 000	1 503 000	1 503 000	19,95%
Information, communication technology and data processing	732 407	649 000	733 000	733 000	12,94%
Movable property and associated costs	51 962	81 000	31 000	31 000	-61,73%
Current administrative expenditure	67 985	96 000	52 000	52 000	-45,83%
Postage / Telecommunications	100 534	100 000	105 000	105 000	5,00%
Meeting expenses	8 108	13 000	13 000	13 000	0,00%
Running costs in connection with operational activities	11 264				
Information and publishing					
Studies		18 000	18 000	18 000	0,00%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	6 436 137	6 883 000	7 725 000	6 578 520	-4,42%
Fair and equal societies		3 476 000	3 410 000	2 819 942	-18,87%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Just, digital and secure societies	1 544 140	656 000	721 000	601 518	-8,31%
Migration and asylum	954 164	465 000	1 150 000	955 443	105,47%
Supporting human rights protection systems		942 000	889 000	740 117	-21,43%
Communicating rights		1 284 000	1 555 000	1 088 500	-15,23%
Justice	550 622				
Horizontal operational activities	2 825 407	60 000			-100%
Bodies of the Agency and consultation mechanisms	561 804				
Reserve for Title 3				373 000	100%
Title 4 - Other operational expenditure	311 720				
Cooperation Agreements	311 720				
TOTAL	23 001 719	23 691 000	25 052 000	23 655 520	-0,15%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	13 386 293	14 598 000	14 872 000	14 622 000	0,16%
Salaries & allowances	11 677 279	12 547 000	12 748 000	12 498 000	-0,39%
- Of which establishment plan posts	9 041 803	9 498 000	9 684 000	9 434 000	-0,67%
- Of which external personnel	2 635 476	3 049 000	3 064 000	3 064 000	0,49%
Expenditure relating to Staff recruitment	31 447	61 000	61 000	61 000	0,00%
Employer's pension contributions					
Mission expenses	74 060	95 000	95 000	95 000	0,00%
Socio-medical infrastructure	82 487	72 000	75 000	75 000	4,17%
Training	215 455	250 000	250 000	250 000	0,00%
External Services	105 436	180 000	194 000	194 000	7,78%
Receptions, events and representation	2 403	3 000	3 000	3 000	0,00%
Social welfare	1 197 726	1 300 000	1 356 000	1 356 000	4,31%
Other Staff related expenditure		90 000	90 000	90 000	0,00%
Title 2 - Infrastructure and operating expenditure	1 926 949	2 210 000	2 455 000	2 455 000	11,09%
Rental of buildings and associated costs	1 386 312	1 253 000	1 503 000	1 503 000	19,95%
Information, communication technology and data processing	415 824	649 000	733 000	733 000	12,94%
Movable property and associated costs	7 623	81 000	31 000	31 000	-61,73%
Current administrative expenditure	47 575	96 000	52 000	52 000	-45,83%
Postage / Telecommunications	61 507	100 000	105 000	105 000	5,00%
Meeting expenses	8 108	13 000	13 000	13 000	0,00%
Running costs in connection with operational activities					

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Information and publishing					
Studies					
Other infrastructure and operating expenditure		18 000	18 000	18 000	0,00%
Title 3 - Operational expenditure	2 596 579	6 883 000	7 725 000	6 578 520	-4,42%
Fair and equal societies		3 476 000	3 410 000	2 819 942	-18,87%
Just, digital and secure societies	248 371	656 000	721 000	601 518	-8,31%
Migration and asylum	276 017	465 000	1 150 000	955 443	105,47%
Supporting human rights protection systems		942 000	889 000	740 117	-21,43%
Communicating rights		1 284 000	1 555 000	1 088 500	-15,23%
Justice	108 042				
Horizontal operational activities	1 551 487	60 000			-100%
Bodies of the Agency and consultation mechanisms	412 662				
Reserve for Title 3				373 000	100%
Title 4 - Other operational expenditure	126 190				
Cooperation Agreements	126 190				
TOTAL	18 036 011	23 691 000	25 052 000	23 655 520	-0,15%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (assigned revenue): 171,003 EUR

4 Justification of needs

Commission assessment

Human Resources

The Commission supports the *status quo* with 2020, that is, 72 temporary agents and 32 contract agents.

Financial Resources

The Commission's request for DB 2021 amounts to EUR 23.282.520. This is compliant with the Communication on the MFF of 27 May 2020. It will provide FRA with the necessary means to ensure the continuity of its activities while seeking for efficiency gains.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

Establishment plan posts

One AD 6 Project manager – with a strong skillset on data engineering, who should have the understanding and experience on how to build and maintain the data architecture of a data science project. The person should also have the knowledge of how to build models using a combination of statistics, mathematics, machine learning and domain based knowledge. This post will encompass new skillsets, which will increasingly be needed by the Agency in the next period

to cover areas of work that are more and more demanded, including extraction and analysis of how the data is used in law enforcement practices or policy making. The Project Manager should be able to run projects having as aim the assessment of fundamental rights implications of various AI related research and industry applications across the EU. The proposed grade for this post is in line with the tasks to be undertaken.

One AD 6 Project manager – this post would allow the Agency to align its human resources capacity in the area of migration and asylum to the increased demand for fundamental rights expertise required by the two JHA agencies, Frontex and EASO, which have benefited from a revised mandate. The post will serve to ensure that FRA will continuously provide at the highest qualitative level its work in the area of migration, integration and refugee protection. The increased number of staff in the area of migration and asylum will provide FRA the possibility to continue with its regular overview of migration-related fundamental rights challenges presented in the form of quarterly reports. Depending on the further developments, and on the further decisions in the area of migration, FRA would have the possibility to continue with its temporary deployment of FRA experts to EU Members States most affected by new arrivals. The proposed grade for this post is in line with the tasks to be undertaken.

Contract agents

One CA FG IV Project officer – this post would allow the agency to build-up the necessary capacity to mainstream its work in relation to AI within different fundamental rights field. The person should be the liaison within FRA projects to bring in the knowledge in the area of data engineering, the building and the maintenance of the data architecture, necessary to understand how the use of AI affects the fundamental rights of users and how this can have an impact at the policy level. With the 2020 being the year when the work on access to social rights in the digital age is launched, FRA needs to have the necessary skillsets related to digital innovations.

One CA FG IV Project officer – interoperability – the post should allow FRA to increase the capacity for dealing with the upcoming requests on interoperability. With the adoption of the regulations establishing the new framework on interoperability between EU information systems in the field of borders, visa, asylum and migration, the Agency will need to employ the necessary resources for assessing the fundamental rights implications in using it. The post should bring in new skillsets in the area of biometrics and data protection, and will provide essential support for the Agency's research on the use of data and algorithms within the European Search Portal, with the aim to identify potential fundamental rights benefits as well as negatives, as for example unlawful profiling.

4.1.2 Vacancy rate as of end 2019

98.6% (71 posts out of 72 were occupied)

4.1.3 Standard abatement ('abatement forfaitaire') applied

N/A

4.1.4 Salary assumption for calculating salary line (% applied)

3.6% increase was applied on the current salary grid.

2.4% July 2020-June 2021

1.2% July 2021- December 2021

4.1.5 Correction coefficient used

The current correction coefficient was used (106.0%).

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - Agency request

4.2.1 Title 1

Title I amounts to €14,872,000, which corresponds to a 1.9% increase compared to 2020. This increase refers mainly to the increase of the salaries and the additional posts that have been estimated. The remainder of Title I is estimated based on actual needs taking into consideration, where appropriate, the 2019 executed budget, the total number of staff and their allowances.

4.2.2 Title 2

The Agency expects to receive from the Austrian Authorities, on a yearly basis, the amount of €200,000 for the rent subsidy. Since this contribution is based on an exchange of letters and not on a legal basis (e.g. seat agreement), the Agency budgets the full rent cost for each year. The subsidy is only entered in the year's budget once it is cashed. However, it is used in the next financial year. For example the 2019 rent subsidy has been introduced in the 2019 budget in the form of an amending budget and has been carried over for consumption in 2020.

Similarly, as soon as the Agency receives from the Austrian Authorities the rent subsidy for 2020, a reduction of C1 appropriations under the rent's budget line in 2021 will take place. The equivalent of C1 appropriations will be transferred to Title III. Therefore, the 2021 budget, at this stage, foresees the full rent costs.

This is the main reason for the difference under Title II where an increase of 11% compared to 2020 is shown. However, Title II is expected to remain at 2020 level provided that the 2020 rent subsidy will be cashed.

4.2.3 Title 3

The Agency prepared its draft Annual Work Programme (AWP) for 2021 after having consulted its wide range of stakeholders (Council of Europe, National Human Rights Institutions, Scientific Committee, Equality Bodies, Ombudsperson, National Liaison Officers, Fundamental Rights Platform, International organisation and relevant EU Agencies). Based on this AWP the estimate of expenditure under Title III amounts to € 7,725,000 representing 30.8 % of the overall budget for the financial year 2021 which, within the relevant areas of work, will be used to implement the following activities:

A. Fair and Equal Societies

FRA will launch the main results of its Roma Survey 2020. In addition, the Agency will disseminate the relevant findings on equality and non-discrimination from Roma and Travellers' survey, the Fundamental Rights survey and the second EU LGBTI survey, considering targeted analyses with regard to gender, age and disability.

FRA will start the fieldwork on the EU Survey on Immigrants and Descendants of Immigrants. It will also continue publishing data on reporting of anti-Semitism, which serves to complement FRA's survey data collection on anti-Semitism.

In 2021, a new project will be implemented focused on aging in digital societies.

B. Just, Digital and Secure Societies

Main findings from the project on artificial intelligence, big data and fundamental rights will be available in 2021. A new project on 'Online content moderation – harassment, hate speech and (incitement to) violence against specific groups' will be implemented, analysing incidents of online harassment and hate speech on selected social media channels. The Agency will provide advice to EU institutions and Member States on criminal procedural rights, in particular on the right to be presumed innocent until proven guilty in criminal proceedings.

In 2021, FRA will disseminate the results on 'Business and human rights: access to remedy', and the findings of its Fundamental Rights Survey.

C. Migration and Asylum

FRA will continue to build on its current strengths in the area of Migration and will carry over its multiannual projects to provide fundamental rights expertise to EU institutions and Member States. Expert advice will be provided at EU Member State level also through missions and field deployments.

D. Supporting Human Rights Protection Systems

FRA will further refine its European Fundamental Rights Information System (EFRIS), providing a searchable interface for available evidence from existing international human rights monitoring mechanisms.

The Agency will continue its cooperation with policy-makers and human rights bodies at EU and Member State level.

In the context of its ongoing interaction with civil society organisations, FRA will prepare a report on the challenges facing civil society in the EU.

FRA will engage in targeted capacity-building activities aimed at promoting the application of the EU Charter of Fundamental Rights.

E. Communicating Rights

The Agency's Annual Report will provide an overview on the situation of fundamental rights in the EU covering all MAF areas. The Agency will also implement projects that cover more than one MAF area to raise awareness and promote rights.

In 2021, the Agency will organise its third Fundamental Rights Forum, aiming at improving the state of human rights and empower the human rights architecture in the EU.

4.3 Ad hoc grants and delegation agreements

No grants and delegation agreements have been estimated for 2021.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	FRA building	Schwarzenbergplatz 11 AT-1040 Vienna Austria	3 704	1 842	5 546	856 724	Lease agreement for an initial period of 10 years with the provision for an indefinite period.		Based on a letter of intent received from the Austrian authorities subsidise 200,000 EUR.	
TOTAL			3 704	1 842	5 546	856 724				

5.1.2 Current building(s) Other comments

It should be noted that the offices are accommodated in an old building which was renovated in 2008 keeping its original layout and does not provide any luxurious modern amenities. In addition, the price per m² for the net office space (i.e. 3704 m²) is on the lower end of the average prices in central Vienna areas.

5.1.3 Building projects in the planning phase

Considering the age of the building facilities, the Agency initiated discussions with the building owners regarding a possible modernisation of the facilities that will be primarily funded by the building owner. In exchange, the Agency foresees that it will agree to occupy the current premises for a number of years and after that there will be an applicable exit clause. This approach follows the same principle of the lease agreement signed in 2007 where following the requested reimbursement costs, the Agency agreed to occupy the premises for a period of 10 years. The discussions are ongoing and a decision is expected this year and hence it is currently premature at present to foresee any such building works.

5.1.4 Building projects submitted to the European Parliament and the Council

Regarding the abovementioned project and in accordance with the Financial Regulation, the Agency requested the opinion of the budget committees of the Council of the European Union and of the European Parliament. The responses of both committees were positive mentioning that it was considered that the project does not constitute a building project likely to have significant financial implications within the meaning of Article 266(5) of the Financial Regulation".

Therefore, they agreed with the Agency’s assessment that the Agency does not have to present this building project following the provisions of Article 266(3) of the Financial Regulation. Hence allowing the Agency to proceed with the signature of the lease agreement amendment expected in January 2020.

5.2 European Schools

N/A

5.3 Evaluation

Evaluation activities focus on measurement at the level of short-term, long term and aspirational impact of the projects. Depending on the stage of the project’s life cycle the evaluation activities are conducted, Ex-ante and Retrospective evaluations are performed.

- Based on the Financial Rules of the Agency, an ex-ante evaluation supporting the preparation of programmes and activities shall be based on evidence, if available, on the performance of related programmes or activities. It shall identify and analyse the issues to be addressed, the added value of Union involvement, objectives, expected effects of different options and monitoring and evaluation arrangements.

More specifically, following the previous FRA’s Implementing Rules to the Financial Rules, which provided specific guidance on the evaluations to be made, proposals for programmes, projects or activities occasioning budget expenditure or changes to the work programme for which the overall estimated expenditure exceeds 5% of the average operational expenditure of the preceding 3 years, shall be subject of an ex-ante evaluation.

- Retrospective evaluations assess the performance of the programme or activity, including aspects such as effectiveness, efficiency, coherence, relevance and EU added value. These evaluations shall be based on the information generated by the monitoring arrangements and indicators established for the action concerned. They shall be undertaken periodically and in sufficient time for the findings to be taken into account in ex-ante evaluations or impact assessments that support the preparation of related programmes and activities.

More specifically, following the previous FRA’s Implementing Rules to the Financial Rules, which provided specific guidance on the evaluations to be made, programmes, projects or activities, including pilot projects and preparatory actions, where the resources mobilised of the estimated expenditure exceeds 10% of the average annual operational expenditure of the preceding 3 years, shall be the subject of an interim and/or ex post evaluation in terms of the human and financial resources allocated and the results obtained.

In 2021, the results of the Mid-term review of FRA strategy 2018 – 2022 will be available. This evaluation aims to provide the Management Board with an independent assessment of the work of FRA over the first two-years of its Strategic Plan 2018 - 2022. The Mid-term review will target all the strategic pillars and objectives of the FRA Strategy focussing on some criteria, such as relevance, effectiveness, efficiency and sustainability.

An evaluation plan for year 2021 will be prepared in 2020 and will be included in the Programming Document 2021 – 2023 expected to be adopted by FRA Management Board in December 2020.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
The Agency is recognised as an international organisation.	The Director, the Heads of Unit, the Heads of Sector and two designated senior staff members with grades AD9 or above, have been granted diplomatic status. They can claim VAT reimbursement and register tax free vehicles every two years.	In the absence of a European School and a European Sector In Austria the Agency has adopted two social measures: one regarding financial support to nursery schools and day care centres, and another one to Multi-lingual tuition for children of the Agency staff In Vienna.
The Agency enjoys VAT exemption.	The Agency’s staff members (the remaining Temporary Agents and all Contract Agents) can register a tax free vehicle every four years. This excludes Austrian nationals.	-

Agency privileges	Privileges granted to staff	
No other privileges are offered to the Agency.	The Agency has been granted access to the UN Commissary, where staff members can purchase certain tax free items up to a limit based on their annual salary in accordance with the UN conditions.	-

2.2.6 European Union's Judicial Cooperation Unit – EUROJUST

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
2002/187/JHA (OJ: L 63/1 06/03/2002)	28/02/2002	Eurojust's tasks comprise the coordination of multilateral investigations and prosecutions and improving and facilitating judicial cooperation in criminal matters.
2003/659/JHA (OJL 245/44 29/09/2003)	18/06/2003	Amending Decision 2002/187/JHA on some specific provisions regarding the adoption of the budget. Tasks and objectives remain the same.
2009/426/JHA (OJL 138/14 04/06/2009)	16/12/2008	Amending Decision 2002/187/JHA on the strengthening of Eurojust. Important changes are made, including on tasks and objectives of Eurojust.
2018/1727 (OJL 295/138 21/11/2018)	14/11/2018	Regulation (EU) 2018/1727 of the European Parliament and of the Council of 14 November 2018 on the European Union Agency for Criminal Justice Cooperation (Eurojust), and replacing and repealing Council Decision 2002/187/JHA

1.2 Seat

The Hague, The Netherlands

1.3 Budget Line

07 10 07 : European Union Agency for Criminal Justice Cooperation (Eurojust)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	101	80	79,21%	100	100
Assistants (AST)	107	124	115,89%	107	107
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	208	204	98,08%	207	207
Contract Agents (CA)	16	17	106,25%	16	16
Seconded National Experts (SNE)	21	18	85,71%	21	21
TOTAL STAFF	245	239	97,55%	244	244

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	41 546 678	43 297 699

Other Revenue	0	0
TOTAL REVENUES	41 546 678	43 297 699

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
Additional EU funding stemming from grant agreements (FFR Art.7)	p.m.	
Additional EU funding stemming from contribution agreements (FFR Art.7)	p.m.	
Additional EU funding stemming from service level agreements (FFR Art. 43.2)	p.m.	
TOTAL REVENUES	p.m.	

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	22 792 331	22 792 331	23 665 115	23 665 115
Title 2 - Infrastructure and operating expenditure	7 582 841	7 582 841	7 530 853	7 530 853
Title 3 - Operational expenditure	11 324 828	11 171 506	12 101 731	12 101 731
TOTAL EXPENDITURE	41 700 000	41 546 678	43 297 699	43 297 699

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1		1		1		1		1
AD 13		1				1		1		1
AD 12						1		1		1
AD 11		5		2		5		5		5
AD 10		12		4		12		12		12
AD 9		22		15		22		22		22
AD 8		21		16		21		21		21
AD 7		32		16		29		30		29
AD 6		4		18		2		2		2
AD 5		3		8		6		15		6
AD		101		80		100		110		100

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
TOTAL										
AST 11										
AST 10										
AST 9		1		1		1		1		1
AST 8										
AST 7		1				1		1		1
AST 6		5		7		5		5		5
AST 5		52		24		52		52		52
AST 4		48		33		48		48		48
AST 3				42						
AST 2				16						
AST 1				1						
AST TOTAL		107		124		107		107		107
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		208		204		207		217		207
GRAND TOTAL		208		204		207		217		207

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	6	2	4	4
Function Group III	5	7	8	8
Function Group II	5	8	4	4
Function Group I				
TOTAL	16	17	16	16

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	21	18	21	21

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	38 773 237	41 546 678	45 050 856	43 297 699	4,21%
- Of which assigned revenues deriving from previous years' surpluses	462 678			952 693	100%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
- Of which EEA/EFTA (excl. Switzerland)					
- Of which candidate countries					
4 OTHER CONTRIBUTIONS		p.m.	p.m.	p.m.	
5 ADMINISTRATIVE OPERATIONS	1 000 602				
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)	1				
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	39 773 839	41 546 678	45 050 856	43 297 699	4,21%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)		p.m.	p.m.		
Additional EU funding stemming from contribution agreements (FFR Art.7)		p.m.	p.m.		
Additional EU funding stemming from service level agreements (FFR Art. 43.2)		p.m.	p.m.		
TOTAL		p.m.	p.m.		

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	21 825 773	22 792 331	25 218 442	23 665 115	3,83%
Salaries & allowances	20 930 149	21 832 949	24 192 524	22 639 197	3,69%
- Of which establishment plan posts	20 930 149	21 832 949	24 102 524	22 549 197	3,28%
- Of which external personnel			90 000	90 000	100%
Expenditure relating to Staff recruitment	104 194	76 624	83 245	83 245	8,64%
Employer's pension contributions					
Mission expenses	56 376	109 000	110 700	110 700	1,56%
Socio-medical infrastructure	161 109	145 555	150 785	150 785	3,59%
Training	337 879	355 000	355 000	355 000	0,00%
External Services	189 683	246 953	288 720	288 720	16,91%
Receptions, events and representation	85				
Social welfare	46 298	26 250	37 468	37 468	42,74%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	7 652 966	7 582 841	7 530 853	7 530 853	-0,69%
Rental of buildings and associated costs	5 835 109	6 128 330	6 062 279	6 062 279	-1,08%
Information, communication technology and data processing	1 465 498	1 230 438	1 233 033	1 233 033	0,21%
Movable property and associated costs	208 664	80 173	99 090	99 090	23,60%
Current administrative expenditure	57 832	56 000	61 018	61 018	8,96%
Postage / Telecommunications	85 863	87 900	75 433	75 433	-14,18%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	9 596 757	11 324 828	12 301 561	12 101 731	6,86%
Meetings, seminars, training and representation	2 747 550	2 989 356	3 144 955	3 144 955	5,21%
Operational and experts missions	1 504 156	1 921 415	2 348 752	2 148 922	11,84%
Public relations and publications	371 264	548 452	724 642	724 642	32,12%
Data and documentation expenditure	2 989 107	2 841 485	2 842 150	2 842 150	0,02%
Transaltion case work	118 700	536 627	744 192	744 192	38,68%
EJN projects, meetings and representation expenses	433 181	435 000	435 000	435 000	0,00%
JSB meetings and representation expenses	25 498				
JITs grants, meetings and other expenses	1 346 586	1 991 678	2 000 870	2 000 870	0,46%
Genocide meetings and other expenses	60 715	60 815	61 000	61 000	0,30%
TOTAL	39 075 496	41 700 000	45 050 856	43 297 699	3,83%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	21 780 847	22 792 331	25 218 442	23 665 115	3,83%
Salaries & allowances	20 930 149	21 832 949	24 192 524	22 639 197	3,69%
- Of which establishment plan posts	20 930 149	21 832 949	24 102 524	22 549 197	3,28%
- Of which external personnel			90 000	90 000	100%
Expenditure relating to Staff recruitment	84 559	76 624	83 245	83 245	8,64%
Employer's pension contributions					
Mission expenses	56 029	109 000	110 700	110 700	1,56%
Socio-medical infrastructure	132 736	145 555	150 785	150 785	3,59%
Training	285 075	355 000	355 000	355 000	0,00%
External Services	231 352	246 953	288 720	288 720	16,91%
Receptions, events and representation	85				
Social welfare	60 862	26 250	37 468	37 468	42,74%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	7 741 916	7 582 841	7 530 853	7 530 853	-0,69%
Rental of buildings and associated costs	6 000 113	6 128 330	6 062 279	6 062 279	-1,08%
Information, communication technology and data processing	1 530 123	1 230 438	1 233 033	1 233 033	0,21%
Movable property and associated costs	69 444	80 173	99 090	99 090	23,60%
Current administrative expenditure	68 448	56 000	61 018	61 018	8,96%
Postage / Telecommunications	73 788	87 900	75 433	75 433	-14,18%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	10 327 222	11 171 506	12 301 561	12 101 731	8,33%
Meetings, seminars, training and representation	2 798 971	2 989 356	3 144 955	3 144 955	5,21%
Operational and experts missions	1 496 751	1 921 415	2 348 752	2 148 922	11,84%
Public relations and publications	341 561	548 452	724 642	724 642	32,12%
Data and documentation expenditure	3 570 352	2 841 485	2 842 150	2 842 150	0,02%
Transaltion case work	140 159	536 627	744 192	744 192	38,68%
EJN projects, meetings and representation expenses	539 016	435 000	435 000	435 000	0,00%
JSB meetings and representation expenses	25 499				
JITs grants, meetings and other expenses	1 351 578	1 838 356	2 000 870	2 000 870	8,84%
Genocide meetings and other expenses	63 335	60 815	61 000	61 000	0,30%
TOTAL	39 849 985	41 546 678	45 050 856	43 297 699	4,21%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 952 693,10

4 Justification of needs

Commission assessment

Human Resources

In the absence of a modification of Eurojust mandate, the Commission supports a stable number of establishment plan posts in 2021 compared to the Budget 2020 (207 posts).

Financial Resources

The Commission's request for DB 2021 amounts to EUR 43 297 699. This is compliant with the Communication on the MFF of 27 May 2020. It will provide Eurojust with the necessary means to ensure the continuity of its activities while seeking for efficiency gains.

4.1 Human Resources - Agency Request

The consistent increase of Eurojust's casework and judicial cooperation tools, both in numbers and complexity, together with the reinforced cooperation and synergies between Eurojust and its partner EU agencies and bodies requires an increase in Eurojust's human resources.

Eurojust included 217 temporary staff posts in its 2021 draft Establishment Plan. This request includes 10 additional posts to support complex cases in key crime areas and reinforce knowledge retention, to support the management of Eurojust's operational data and to reinforce Eurojust's ICT systems and security.

Eurojust requests 24 contract staff FTE for 2021 to reinforce its operational work and the maintenance of ICT infrastructure and systems.

Eurojust requests 24 SNEs for 2021 to reinforce prosecutorial expertise in the National Desks.

Lastly, the number of non-statutory post-holders is expected to increase to 107 in 2021, through reinforcements in the Eurojust National Desks, a continuous close cooperation with Denmark and the UK and an increased number of third States with a Liaison Prosecutor posted at Eurojust.

4.1.1 Number of staff requested

The total of Eurojust statutory and non-statutory staff in 2021 will amount to:

1. TA: 217

2. CA: 24

3. SNE: 24

4. Non-statutory staff: 107

TOTAL: 372

Eurojust requests 21 additional posts/FTE to reinforce its operations. Specifically:

- 2 AD5 and 2 FGIV Data Management Officers are needed to support the newly established counter-terrorism register, to implement interoperability in relation to the exchange of operational information with Eurojust's partners and to deliver the necessary tools to report on operational activities efficiently and effectively.

- 5 AD5 Judicial Cooperation Advisors, 3 SNE and 3 FGIII National Desks Assistants are required to support an increasing number of complex cases in particular related to terrorism, cybercrime, migrant smuggling and Returning Foreign Fighters and core international crimes.

- 1 AD5 is needed to reinforce knowledge in judicial cooperation with the aim to provide policy makers with case-based input for the improvement of European judicial cooperation tools and their implementation.

- 1 FGIII JITs Grant Assistant is required to support the timely processing of applications, including evaluations, grant awards, beneficiary claims and financial reporting. Financing of cross-border investigations, including JITs, has become a permanent task for Eurojust and the budget allocation to this programme has doubled since 2016.

- Finally, Eurojust is requesting 4 posts related to information management and ICT security. 2 FGIII ICT Officers are needed to ensure business continuity in the maintenance of the current ICT infrastructure, 1 AD5 ICT Security Officer to assist with the with the expanding of the Eurojust Case Management System (CMS) and 1 AD7 Technical Architect to ensure that all ICT infrastructure and ICT solutions follow a sustainable and financially viable technical roadmap and strategy and clearly defined technical requirements.

Eurojust's draft 2021 Establishment Plan reflects the total posts/FTE required to implement the Annual Work Programme 2021 and does not factor in the additional resources foreseen by the Commission as Eurojust's 2021 contribution to the EPPO.

More detailed justifications for these new requests are provided in Annex VI of Eurojust's DB 2021 General Guidelines.

4.1.2 Vacancy rate as of end 2019

On 31 December 2019, 204 TA posts were filled, leading to a vacancy rate of 1,9% compared to 1% in 2018. Offer letters are counted as filled posts. This was due to in-year budget constraints for the temporary staff salaries that were eventually covered by means of an amending budget approved by the Commission in October.

4.1.3 Standard abatement ('abatement forfaitaire') applied

A 2% vacancy rate is applied to account for turnover and part time incumbency of posts.

4.1.4 Salary assumption for calculating salary line (% applied)

The percentage applied is 98%, meaning that a vacancy rate of 2% is used for estimating the salary costs for 2021

4.1.5 Correction coefficient used

An 11,5% correction coefficient is used, which is increased by 2% for 2021.

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - Agency request

Eurojust's Draft Budget (DB) request is established in line with the agency's Activity Based Budgeting (ABB) methodology and contributes to the agency's Multi-Annual Strategy (MAS) 2019-2021 by allocating the 71% of human and financial resources to Eurojust's core operational areas related to casework.

The DB 2021 aims to reinforce the human resources in support of Eurojust's ever-increasing operational workload, including new requests for 10 temporary and 8 contract staff as well as 3 additional SNEs.

Further to "marginal" increases of EUR 58 K, the total net increase of EUR 3,4 M (8%) is primarily due to:

- Operational work growth (↑ EUR 1 938 K), related to remuneration of new temporary/ contract staff (↑ EUR 1 524 K) and new SNEs (↑ EUR 200 K), as well as coordination meetings/centres (↑ EUR 214 K);

- Indexation adjustments (↑ EUR 860 K), related to statutory remuneration of existing temporary/contract staff (↑ EUR 734 K) and existing SNEs (↑ EUR 44 K), European School subsidy (↑ EUR 12 K) and building rent (↑ EUR 70 K);

- Eurojust Regulation requirements (↑ EUR 573 K) to translate through the EU Translation Centre (CdT) an extended set of operational (↑ EUR 208 K) and corporate (↑ EUR 176 K) documents and to provide a compensation to the Member State of Eurojust's President (EUR 189 K); and

- Investments for longer term service efficiency gains (↑ EUR 144 K), related to interim staff (↑ EUR 90 K), HR administrative assistance (SYSPER) (↑ EUR 36 K) and vehicle services due to a change from ownership to lease model (↑ EUR 18 K).

At EUR 45,1 M, the DB 2021 is in line with Eurojust's MFF 2021-2027 proposal and the specific workload assumptions 2021-2023. This is despite the fact that the 2019 operational workload metrics (cases, coordination meetings and centres) significantly exceeded the 2019 budget assumptions and already approach those used for the DB 2021 proposal, attesting also to the fact that the estimates used for the MFF proposal were reasonable and modest. Furthermore, in order to remain aligned with the Eurojust MFF proposal and offset the Eurojust Regulation costs not factored in it, the DB 2021 does not include the financial resources projected for a number of areas, including notably JIT grants. Totalling EUR 1,1 M, these shortfalls do not comprise efficiency gains but set constraints on the implementation of the Annual Work Programme 2021. Eurojust envisages to cover these shortfalls, to the extent possible, through Denmark's financial contribution in 2021 and subject to a reassessment of the organisational needs and priorities at that time.

Whilst the MFF 2021-2027 negotiations continue in 2020, Eurojust's DB 2021 estimate is € 12,1 M above Commission's current MFF proposal for 2021 (€ 33 M). This deviation continues the trends of the previous MFF period in which the Commission and the budgetary authority supported Eurojust's budget and post requests in excess of the original programming in (partial) recognition of the agency's structural deficits and operational work growth.

4.2.1 Title 1

EUR 22 792 331 in both Commitment appropriations and Payment appropriations

Title 1 "significant" increases (over 2020 budget)	EUR 2,4 M
<p>1. Existing temporary/contract staff costs:</p> <p>The costs for the 207 temporary staff and 16 FTE of contract staff authorised in the 2020 budget/EP will increase as per the statutory remuneration adjustments. In line with Eurojust's average salary methodology that still results in more modest estimates compared to the one applied by the Commission services, these have been calculated:</p> <ul style="list-style-type: none"> - Using as starting basis the current actual salaries and estimates for 2020; - Applying the approved assumptions for the vacancy rate (2%), the indexation (0,8%) and the correction coefficient adjustment (2%); and - Including expected step changes and any possible reclassifications in 2020-2021. 	<p>EUR</p> <p>734 K</p> <p>(↑ 3%)</p>
<p>2. New temporary/contract staff:</p> <p>The DB 2021 funds a reinforced EP to support the unprecedented growth in the agency's operational work. The respective costs for 10 additional temporary staff posts and 8 additional FTE of contract staff are estimated based on the salary methodology and assumptions applied for existing staff costs. The detailed justifications for these new staff requests are provided in Annex VI of Eurojust's DB 2021 General Guidelines.</p>	<p>EUR</p> <p>1 524 K</p> <p>(new)</p>
<p>3. Interim staff costs:</p> <p>In the annual budgets of 2018-2019, Eurojust could not provide interim staff services due to the lack of a framework contract. Eurojust has recently established joint contract with the European Medicines Agency, for covering the increasing requests for short-term FTE replacements. The requested amount correspond to the annual cost of 1 FTE</p>	<p>EUR</p> <p>90 K</p> <p>(new)</p>
<p>4. Costs for HR administrative assistance:</p> <p>This increase relates to Eurojust's service level agreement with the Commission for the use of additional modules of Commission's ICT system for HR management (SYSPER).</p>	<p>EUR</p> <p>36 K</p> <p>(↑ 30%)</p>
<p>5. European School subsidy:</p> <p>The European School subsidy reflects costs that are totally outside Eurojust's control. It is estimated based on current costs, an assumed 6,5% increase on the actual number of children including a provision for future employees, the indexation adjustment for the intervening school years, and a forecast for increased registrations in the secondary school that costs approximately three times more than the primary.</p>	<p>EUR</p> <p>12 K</p> <p>(↑ 1%)</p>

4.2.2 Title 2

EUR 7 582 841 in both Commitment appropriations and Payment appropriations

Title 2 “significant” increases	EUR 88 K
6. Building rent: This increase reflects the annual indexation foreseen in the Eurojust’s building lease agreement with the host state and is linked to the estimated Consumer Price Index in the Netherlands to be confirmed in Q3 2020.	EUR 70 K (↑ 3%)
7. Vehicle service costs: This increase is due to the change to leasing vehicles, which is expected to bring long-term efficiencies by removing the need for high cost vehicle purchases and maintenance.	EUR 18 K (↑ 45%)

4.2.3 Title 3

EUR 11 324 828 in both Commitment appropriations and Payment appropriations

Title 3 “significant” increases (over 2020 budget)	EUR 1 M
8. Coordination meeting/centre costs: This increase is based on the assumption of 43 more coordination meetings (10% increase to 472) and 2 more coordination centres in 2021 as compared to 2020, and an inflationary increase of the actual average costs of Q1-Q3 2019. This is a modest estimate, not including any contingency for possible increases of contract prices despite the fact that the main framework contracts used for these costs expire in 2021.	EUR 214 K (↑ 8%)
9. Existing SNE costs: As for temporary and contract staff, this increase reflects the annual structural remuneration adjustments for the 21 SNEs already budgeted for 2020.	EUR 44 K (↑ 3%)
10. New SNE costs: These reflects the request for 3 additional SNEs to reinforce National Desks’ prosecutorial experience. These practitioners from national authorities can add value by bringing their expertise in specialised areas to Eurojust, as explained in Annex Error! Reference source not found. of Eurojust’s DB 2021 General Guidelines.	EUR 200 K (new)
11. Operational translation costs: Due to budget constraints, in 2020 Eurojust was able to cover only part of its EJR obligation to translate a more extended set of operational documents using the more expensive CdT services, while maintaining current service levels concerning the type and number of documents translated in direct support of the operational work. This increase is necessary to cover in full the costs of this legal requirement and is estimated based on the 2021 CdT prices.	EUR 208 K (↑ 39%)
12. Costs for corporate communications and publications: As above, due to budget constraints, in 2020 Eurojust was able to cover only part of its EJR obligation to translate a more extended set of corporate documents using the more expensive CdT services. First, the obligation to use CdT will entail higher costs for translating the Annual Report and other communication material, such as newsletters, infographics and other tools aimed to enhance Eurojust’s visibility. Second, the EJR sets new requirements to translate the SPD and any working arrangements concluded with third parties. This increase is necessary to cover in full the related costs and is estimated based on the 2021 CdT prices.	EUR 176 K (↑ 32%)

13. Member State compensation for President of the College: Stemming from the EJR, Eurojust has the legal obligation to compensate its President's Member State in order to second another person to its national desk. This estimate is based on the average of the 3 highest national salaries among all Member States and the calculation methodology stipulated in Article 3 of Council Implementing Decision (EU) 2019/2251 of 19 December 2019.	EUR 189 K (new)
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4.3 Ad hoc grants and delegation agreements

N/A

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Eurojust Building (office and parking)	Johan de Wittlaan 9 2517 JR The Hague The Netherlands	20 231	8 277	28 508	2 814 986	20 years as of date of delivery (24 March 2017)	Lease contract	Estimated rent per year for the Host State is EUR 5 527 028, so EUR 2 712 042 savings for Eurojust	
TOTAL			20 231	8 277	28 508	2 814 986				

5.1.2 Current building(s) Other comments

General infrastructure:

- 562 possible workplaces on office floors
- 158 departmental meeting seats on office floors
- 380 operational/conference meeting seats
- 23 interpretation booths in conference area
- 55 seats in training and interview rooms and business centre
- All operational meeting rooms equipped with videoconference capabilities
- 219 restaurant seats
- 275 underground parking spaces
- 170 indoor bicycle spots

5.1.3 Building projects in the planning phase

N/A

5.1.4 Building projects submitted to the European Parliament and the Council

N/A

5.2 European Schools

Agreement in place with the European School(s) of:	The Hague			
Contribution agreements with Commission on type I European schools	Yes		No	√
Contribution agreements with Commission on type II European schools	Yes	√	No	
Number of service contracts in place with international schools:	N/A			
Description of any other solutions or actions in place:	International education facilities in the Hague include the International school of the Hague as well as the American, British, French and German schools.			

5.3 Evaluation

The College of Eurojust commissioned an independent external evaluation of the implementation of the 2008 Council Decision on Eurojust and the activities carried out by the agency. The evaluation was conducted by an external consulting firm from September 2014 to June 2015 and resulted in several recommendations for Eurojust's consideration and implementation. These were all implemented by the end of 2018.

Following the entry into force of the Eurojust Regulation as of 12 December 2019 and as foreseen in Article 69, by 13 December 2024 the Commission is expected to commission an evaluation of the implementation and impact of this Regulation, and the effectiveness and efficiency of Eurojust and its working practices.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities/diplomatic status	Education/day care
<p>The privileges and immunities of the agency are based on the Seat Agreement between Eurojust and the Netherlands, the Agreement on Privileges and Immunities between Eurojust and the Netherlands and Protocol No.7 annexed to the EU Treaty.</p> <p>Within the scope of its official activities, Eurojust is exempt, inter alia, from: import taxes and duties, motor vehicle tax, tax on passenger motor vehicles and motorcycles, value-added tax paid on goods and services supplied on a recurring basis or involving considerable expenditure, excise duties included in the price of alcoholic beverages and hydrocarbons such as fuel oils and motor fuels, real property transfer tax, insurance tax, energy tax and, tax on water mains.</p> <p>The Host State authorities shall ensure that the Headquarters is supplied with electricity, water, sewerage, gas, post, telephone, telegraph, local transportation, drainage, collection of refuse, fire protection and snow removal from public streets.</p> <p>The Dutch Government shall permit Eurojust to communicate freely without the need for special permission and to dispatch and receive official correspondence by courier or in sealed bags which shall have the same privileges and immunities as diplomatic couriers and bags.</p>	<p>The privileges and immunities of Eurojust post-holders are based on the Seat Agreement between Eurojust and the Netherlands, the Agreement on Privileges and Immunities between Eurojust and the Netherlands and Protocol No.7 annexed to the EU Treaty. Two different regimes apply:</p> <p>National Members, Deputies and Assistants as well as the Administrative Director and Heads of Units/Services and their family members are granted 'AO' status by the Host State and benefit from certain VAT exemptions and, exemption from excise duties for alcoholic beverages, tobacco and fuel.</p> <p>'AO' status also provides for exemption from tax on cars and motorcycles (BPM) and road tax (MRB) for two cars registered on the post-holder's name at the same time.</p> <p>Eurojust post-holders are exempted from VAT for the purchase of cars. Eurojust staff members are exempted from Dutch income tax and from all compulsory contributions to the social security organisations of the Netherlands.</p> <p>Additional exemptions include duties in relation to water authority charges, municipal tax on second homes, dog licences and tax for installations on public land or water.</p>	<p>Eurojust staff receive education allowances for school fees. Staff has to pay for the education of its children.</p> <p>As a courtesy of the Host State, Eurojust post-holders may request the Dutch subsidy for the reimbursement of a percentage of day-care and after-school care costs of accredited centres.</p> <p>Eurojust reimburses in full the tuition fees of staff whose children are studying at the European School in The Hague.</p>

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission / Tasks / Functions
Council Regulation (EU) 2017/1939 implementing enhanced cooperation on the establishment of the European Public Prosecutor's Office ('the EPPO')	12 October 2017	The EPPO shall be responsible for investigating, prosecuting and bringing to judgment the perpetrators of, and accomplices to, criminal offences affecting the financial interests of the Union which are provided for in Directive (EU) 2017/1371 and determined by this Regulation. In that respect the EPPO shall undertake investigations, and carry out acts of prosecution and exercise the functions of prosecutor in the competent courts of the Member States, until the case has been finally disposed of.

1.2 Seat

Luxembourg, Grand Duchy of Luxembourg

1.3 Budget Line

07 10 08 : European Public Prosecutor's Office (EPPO)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	31	8	25,81%	46	60
Assistants (AST)	6	1	16,67%	9	23
Assistants/Secretaries (AST/SC)				3	4
ESTABLISHMENT PLAN POSTS	37	9	24,32%	58	87
Contract Agents (CA)		1		5	35
Seconded National Experts (SNE)					
TOTAL STAFF	37	10	27,03%	63	122

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	8 372 000	37 700 000
Other Revenue	0	0
TOTAL REVENUES	8 372 000	37 700 000

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
Additional EU funding stemming from grant agreements (FFR Art.7)		p.m.
Additional EU funding stemming from contribution agreements (FFR Art.7)		p.m.
Additional EU funding stemming from service level agreements (FFR Art. 43.2)		p.m.
TOTAL REVENUES		p.m.

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	4 331 000	4 331 000	15 997 795	15 997 795
Title 2 - Infrastructure and operating expenditure	2 141 000	2 141 000	4 927 908	4 927 908
Title 3 - Operational expenditure	1 900 000	1 900 000	16 774 297	16 774 297
TOTAL EXPENDITURE	8 372 000	8 372 000	37 700 000	37 700 000

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1		1		1
AD 14			1			1		2		1
AD 13		22	1			22		22		22
AD 12								5		
AD 11		1		1		1		9		1
AD 10		2				3		10		5
AD 9		2	1			3		4		5
AD 8						2		5		2
AD 7		3			2	7		10		8
AD 6				2		3		5		10
AD 5				1		1		5		5
AD TOTAL		31	3	5	2	44		78		60
AST 11										
AST 10										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 9										1
AST 8										1
AST 7										
AST 6										
AST 5		3		1		4		8		4
AST 4					2			14		5
AST 3		3				3		13		12
AST 2										
AST 1										
AST TOTAL		6		1	2	7		35		23
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2						3				4
AST/SC 1										
AST/SC TOTAL						3				4
TOTAL		37	3	6	4	54		113		87
GRAND TOTAL	37		9		58		113		87	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV				20
Function Group III				12
Function Group II		1	5	3
Function Group I				
TOTAL		1	5	35

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL				

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION		8 372 000	55 514 204	37 700 000	350,31%
<i>- Of which assigned revenues deriving from previous years' surpluses</i>					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
<i>- Of which EEA/EFTA (excl. Switzerland)</i>					
<i>- Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
<i>- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL		8 372 000	55 514 204	37 700 000	350,31%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)			p.m.	p.m.	
Additional EU funding stemming from contribution agreements (FFR Art.7)			p.m.	p.m.	
Additional EU funding stemming from service level agreements (FFR Art. 43.2)			p.m.	p.m.	
TOTAL			p.m.	p.m.	

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure		4 331 000	30 362 000	15 997 795	269,38%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Salaries & allowances		4 331 000	25 430 000	15 850 000	265,97%
- Of which establishment plan posts		4 213 500	16 950 000	13 050 000	209,72%
- Of which external personnel		117 500	8 480 000	2 800 000	2282,98%
Expenditure relating to Staff recruitment			3 710 000		
Employer's pension contributions					
Mission expenses			300 000	147 795	100%
Socio-medical infrastructure			92 000		
Training			690 000		
External Services			80 000		
Receptions, events and representation			10 000		
Social welfare					
Other Staff related expenditure			50 000		
Title 2 - Infrastructure and operating expenditure		2 141 000	4 927 908	4 927 908	130,17%
Rental of buildings and associated costs		947 000	3 518 908	3 518 908	271,58%
Information, communication technology and data processing		220 000	305 000	305 000	38,64%
Movable property and associated costs		350 000	325 000	325 000	-7,14%
Current administrative expenditure			115 000	115 000	100%
Postage / Telecommunications					
Meeting expenses			340 000	340 000	100%
Running costs in connection with operational activities		300 000			-100%
Information and publishing					
Studies					
Other infrastructure and operating expenditure		324 000	324 000	324 000	0,00%
Title 3 - Operational expenditure	3 132 598	1 900 000	20 224 296	16 774 297	782,86%
TOTAL	3 132 598	8 372 000	55 514 204	37 700 000	350,31%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure		4 331 000	30 362 000	15 997 795	269,38%
Salaries & allowances		4 331 000	25 430 000	15 850 000	265,97%
- Of which establishment plan posts		4 213 500	16 950 000	13 050 000	209,72%
- Of which external personnel		117 500	8 480 000	2 800 000	2282,98%
Expenditure relating to Staff recruitment			3 710 000		
Employer's pension contributions					
Mission expenses			300 000	147 795	100%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Socio-medical infrastructure			92 000		
Training			690 000		
External Services			80 000		
Receptions, events and representation			10 000		
Social welfare					
Other Staff related expenditure			50 000		
Title 2 - Infrastructure and operating expenditure		2 141 000	4 927 908	4 927 908	130,17%
Rental of buildings and associated costs		947 000	3 518 908	3 518 908	271,58%
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Movable property and associated costs		350 000	325 000	325 000	-7,14%
Current administrative expenditure			115 000	115 000	100%
Postage / Telecommunications					
Meeting expenses			340 000	340 000	100%
Running costs in connection with operational activities		300 000			-100%
Information and publishing					
Studies					
Other infrastructure and operating expenditure		324 000	324 000	324 000	0,00%
Title 3 - Operational expenditure	812 578	1 900 000	20 224 296	16 774 297	782,86%
TOTAL	812 578	8 372 000	55 514 204	37 700 000	350,31%

3.3 Budget Outturn

Not Applicable (Only to be completed after EPPO is financially autonomous and has done its own annual accounts)

4 Justification of needs

Commission assessment

Human Resources

With regard to the **establishment plan**, the Commission is of the view that it accurately reflects the needs of the EPPO, as a prosecutor's office, and the staff it needs in order to start with its operations.

Financial Resources

The budget reflects the estimated increased needs of the EPPO in terms of workload and hence the **number of European Delegated Prosecutors**, who are mandated under the Regulation to handle this increased workload, and the corresponding expenses related thereto.

Given the nature of the work of the EPPO, which is to fight fraud, corruption and other types of crimes against the Union budget, the **costs for security** had to be taken appropriately into account and reflected in the budget.

This should be the basis for EPPO to implement its budget and its mandate.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

The EPPO staff request for 2021 is based on the EPPO notes to Commissioners Hahn and Reynders of 16/1/2020 (Ares(2020)278438) and of 12/2/2020. These notes analyse thoroughly and revise the estimates on the number of cases that EPPO will have to handle yearly from the start of its operations in November 2020. The revised figure is 6700 cases per year, compared to 987 cases initially estimated by the Commission in the LFS 2017. As a result the number of EPPO staff needs to significantly increase compared to the initial LFS estimations. A synthesis of the need for an increase by each EPPO department is given below:

Operational department:

- Significant impact in the “Registry and verification” Unit: there is a need to be able to handle information potentially leading to opening criminal investigations in the 19 different EU languages used by the 22 participating Member States. Nevertheless, some linguistic combinations would be more needed than others, depending on the number of cases foreseen by the Member States (e.g. Romania and Italy).
- Moderate impact in the “Case analysis and document management” Unit: the analytical work can start earlier given the overall caseload that the EPPO will be confronted with from Day 1.
- Moderate impact in the “Administrative assistance to the European Prosecutors”: the assistance to the European Prosecutors in their day-to-day work is undoubtedly linked to the number of cases: contacts with EDPs, missions on the spot, interactions with national judicial bodies, coordination with other bodies and institutions (OLAF, Eurojust ...), etc.
- Moderate impact in the “Data protection office” and “Legal service” as an increase of cases may lead to a higher probability to have requests or complaints related to data protection and cases brought in front of the Court of Justice, which would be handled by the Legal Service.

Administration Department:

- Moderate impact in the “Human resources and budget” Unit: if the number of cases increases, there might be a need to increase the number of EDPs. The contractual arrangements for the EDPs, as well as their related administrative aspects, are not subject to any kind of service level agreement and have to be managed “in house”. For example, the payroll of those EDPs might gain in complexity, taking into account their conditions of employment, which foresee a career progression, even under a “special advisor” status.
- Moderate impact in the “CMS project”: an increase of the number of cases will undoubtedly lead to a higher level of technical assistance and support in using the CMS.
- Moderate to significant impact on security matters: depending on the nature of the case handled by the EPPO or the European Prosecutors’ history, there might be a need to ensure more close protection services. A 24 hours/7 days protection is very demanding in terms of resources as it is generally admitted that 8 to 10 persons are needed to ensure the close protection of 1 person.

4.1.2 Vacancy rate as of end 2019

The occupancy rate on 31.12.2019 was at 27.03%. The reason is that main recruitments only started in Q4 2019 with the ECP taking office on 1.11.2019. Already at the start of 2020 recruitments have intensified, with 41 out of 47 establishment posts for 2020 expected to be filled by June 2020 and the other 6 posts by September 2020.

4.1.3 Standard abatement ('abatement forfaitaire') applied

During the start-up phase of the EPPO all posts should be occupied instantly.

4.1.4 Salary assumption for calculating salary line (% applied)

For 2021, the assumptions to calculate salaries both for establishment plan staff (Temporary Agents) and contract staff was Annex 1 of DG BUDGET's RUF note of 28/11/2019 (Ares(2019)7332984) with 2020 average costs for staff in the Legislative Financial statements (150.000 euros per year for Temporary Agents and 80.000 euros per year for contract staff).

4.1.5 Correction coefficient used

Not applicable

4.1.6 Exchange rate used (if applicable)

Not applicable

4.2 Financial Resources - Agency request

4.2.1 Title 1

For Title 1 the budget request includes salaries and allowances for 219 staff (113 TA & 106 CA) based on the calculations explained in section 4.1.4 above. It also includes one off costs for expenditure concerning the recruitment of some of these staff, as well as costs for missions of EPPO staff, training for both EPPO administrative staff as well as for European Prosecutors and European Delegated Prosecutors.

4.2.2 Title 2

Title 2 includes the utility costs and security ('gardiennage') for Tower B (that is offered free of charge by the Luxembourgish authorities) in the Luxembourg Kirchberg plateau, the building that will host EPPO as of the end of 2020. It also includes the costs for close protection services for the senior EPPO staff (not initially foreseen in the 2017 LFS). Other costs under this title include furniture, meeting rooms and audio-visual costs and ICT related costs.

4.2.3 Title 3

Title 3 includes EPPO's operational expenditure. This comprises of costs relating to the set up and functioning of the EPPO Case Management System (CMS), the EPPO data centre and costs for exceptionally costly investigation measures as per Article 91.6 of the EPPO regulation. In addition, it includes salaries of 140 European Delegated Prosecutors (EDPs) at the decentralised level required to process the 6700 cases per year for EPPO. Finally it includes substantial costs for translation services for EPPO (not originally budgeted in the 2017 LFS), which were calculated based on thorough discussions on EPPO's real translation needs in line with the EPPO Regulation and cost estimations by the Translation Centre for the Bodies of the EU.

4.3 Ad hoc grants and delegation agreements

Not applicable

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
TOTAL										

5.1.2 Current building(s) Other comments

The EPPO is currently located in its temporary premises, the Hemicycle building in Rue du Fort Thungen 1, Luxembourg and is expected to move to its permanent premises in Tower B in the Luxembourg Kirchberg plateau in Q4 2020/Q1 2021.

5.1.3 Building projects in the planning phase

Tower B, is still occupied by EP services. Nevertheless, preparations and works for the future move of EPPO to Tower B are ongoing, with the necessary renovations and security measures currently being carried out.

5.1.4 Building projects submitted to the European Parliament and the Council

Not applicable.

5.2 European Schools

After contacting the Collège des Chefs d 'Administration *Luxembourg* (CALux) the estimated contribution of EPPO to the European Schools for the draft budget 2021 has been estimated at 7000 euros. An additional 35.000 euros has been budgeted to cover for the transport costs of children of EPPO staff to the European Schools.

5.3 Evaluation

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Council Regulation (EC) No. 1360/90	07/05/1990	<p>Provide assistance in the definition of training needs and priorities</p> <p>Act as a clearing house to provide information on current initiatives and future needs in the training field, and provide a framework through which offers of assistance can be channelled</p> <p>On the basis of (a) and (b) above:</p> <p>Examine the scope for joint ventures of training assistance</p> <p>Fund the design and the preparation of such projects;</p> <p>Implement, at the request of the Commission or of the eligible countries in cooperation with the governing board, vocational training programmes;</p> <p>For activities and projects which are funded by the Foundation: arrange for the appropriate public and/or private bodies with a proven training record and the necessary expertise to design, prepare, implement and/or manage projects on a flexible, decentralized basis;</p> <p>In collaboration with the Commission, assist in the monitoring and evaluation of the overall effectiveness of training assistance to the eligible countries;</p> <p>Disseminate information and encourage exchanges of experience, with a focus on the countries of Central and Eastern Europe designated as eligible for economic aid by the Council in Regulation (EEC) No 3906/89 or in any subsequent relevant legal act.</p>
Council Regulation (EC) No.2063/90	27/07/1994	<p>Addition to ETF's geographic scope to include the independent States of the former Soviet Union and Mongolia which are the beneficiaries of the programme to assist economic reform and recovery under Regulation (Euratom, EEC) No 2053/93 or in any subsequent relevant legal act.</p>
Council Regulation (EC) No.1572/98	17/07/1998	<p>Addition to ETF's geographic scope to include the Mediterranean non-member countries and territories which are the beneficiaries of the financial and technical measures to accompany the reform of their economic and social structures pursuant to Regulation (EC) No 1488/96 or any subsequent relevant legal act.</p>
Council Regulation (EC) No. 2666 /2000	05/12/2000	<p>Addition to ETF's geographic scope to include Albania, Bosnia-Herzegovina; Croatia; the Federal Republic of Yugoslavia, the Former Yugoslav Republic of Macedonia</p>
Council Regulation (EC) No. 1648/2003	18/06/2003	<p>Amending Regulation (EEC) No 1360/90 establishing a European Training Foundation, in order to adapt it to the new Financial regulations of ETF</p>
Council Regulation (EC) No 1339/2008	16/12/2008	<p>Recast of Council Regulation (EC) No 1339/2008 establishing a European Training Foundation.</p> <p>Recasting of ETF Regulation in line with external assistance instruments, greater flexibility in geographic scope, and human capital development.</p> <p>The ETF's functions under the recast regulation are to:</p> <ul style="list-style-type: none"> - provide information, policy analyses and advice on human capital development issues in partner countries; - promote knowledge and analysis of skills needs in national and local labour markets; - support relevant stakeholders in partner countries in building capacity in human capital development;

		<ul style="list-style-type: none"> - facilitate the exchange of information and experience among donors engaged in human capital development reform in partner countries; - support the delivery of EU assistance to partner countries in the field of human capital development; - disseminate information and encourage networking and the exchange of experience and good practice between the EU and partner countries and amongst partner countries in human capital development issues; - contribute, at the Commission's request, to the analysis of the overall effectiveness of training assistance to the partner countries
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1.2 Seat

Torino, Italy

1.3 Budget Line

07 10 06 : European Training Foundation (ETF)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	56	56	100,00%	56	57
Assistants (AST)	30	30	100,00%	30	29
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	86	86	100,00%	86	86
Contract Agents (CA)	41	41	100,00%	42	42
Seconded National Experts (SNE)	1		0,00%		
TOTAL STAFF	128	127	99,22%	128	128

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	20 957 000	21 300 000
Other Revenue	0	0
TOTAL REVENUES	20 957 000	21 300 000

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	14 173 200	14 173 200	14 457 000	14 457 000
Title 2 - Infrastructure and operating expenditure	1 878 800	1 878 800	1 832 500	1 832 500
Title 3 - Operational expenditure	4 905 000	4 905 000	5 010 500	5 010 500
TOTAL EXPENDITURE	20 957 000	20 957 000	21 300 000	21 300 000

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1		1		1		1		1
AD 13		5		3		5		5		5
AD 12		15		4		10		10		10
AD 11		9		11		10		10		10
AD 10		6		11		9		9		9
AD 9		12		11		13		13		13
AD 8		7		6		6		6		6
AD 7		1		8		1		3		3
AD 6				1		1				
AD 5										
AD TOTAL		56		56		56		57		57
AST 11		3		1		1		1		1
AST 10		6				3		3		3
AST 9		8		8		10		13		13
AST 8		7		9		10		6		6
AST 7		4		1		4		4		4
AST 6		2		4		1		1		1
AST 5				3		1		1		1
AST 4				4						
AST 3										
AST 2										
AST 1										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST TOTAL		30		30		30		29		29
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		86		86		86		86		86
GRAND TOTAL	86		86		86		86		86	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	12	13	13	14
Function Group III	24	19	24	23
Function Group II	5	9	5	5
Function Group I				
TOTAL	41	41	42	42

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	1			

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				VAR 2021/2020 (%)
	Executed Budget 2019	Budget 2020	Draft Budget 2021		
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
2 EU CONTRIBUTION	20 546 000	20 957 000	21 286 000	21 300 000	1,64%
- Of which assigned revenues deriving from previous years' surpluses	57 010	20 101	246 713	246 713	1127,37%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
- Of which EEA/EFTA (excl. Switzerland)					
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	20 546 000	20 957 000	21 286 000	21 300 000	1,64%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	13 747 771	14 173 200	14 457 000	14 457 000	2,00%
Salaries & allowances	13 128 302	13 500 200	13 797 000	13 797 000	2,20%
- Of which establishment plan posts	10 866 105	11 100 200	11 350 000	11 350 000	2,25%
- Of which external personnel	2 262 197	2 400 000	2 447 000	2 447 000	1,96%
Expenditure relating to Staff recruitment	5 375	19 000	19 000	19 000	0,00%
Employer's pension contributions					
Mission expenses	68 000	65 000	65 000	65 000	0,00%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Socio-medical infrastructure	24 340	25 000	25 000	25 000	0,00%
Training	200 637	245 000	230 000	230 000	-6,12%
External Services	279 952	280 000	290 000	290 000	3,57%
Receptions, events and representation	3 124	4 000	4 000	4 000	0,00%
Social welfare	38 041	35 000	27 000	27 000	-22,86%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 887 316	1 878 800	1 832 500	1 832 500	-2,46%
Rental of buildings and associated costs	712 055	737 024	712 700	712 700	-3,30%
Information, communication technology and data processing	962 628	937 576	915 600	915 600	-2,34%
Movable property and associated costs	61 791	20 000	20 000	20 000	0,00%
Current administrative expenditure	51 920	69 000	69 000	69 000	0,00%
Postage / Telecommunications	8 295	15 200	15 200	15 200	0,00%
Meeting expenses	90 627	100 000	100 000	100 000	0,00%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	4 901 758	4 905 000	4 996 500	5 010 500	2,15%
Communication	442 010	375 000	375 000	375 000	0,00%
Corporate Performance and Stakeholders	226 321	247 000	247 000	247 000	0,00%
Operational projects	3 530 427	3 648 000	3 739 500	3 753 500	2,89%
Operational Missions	703 000	635 000	635 000	635 000	0,00%
TOTAL	20 536 845	20 957 000	21 286 000	21 300 000	1,64%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	13 747 771	14 173 200	14 457 000	14 457 000	2,00%
Salaries & allowances	13 128 302	13 500 200	13 797 000	13 797 000	2,20%
- Of which establishment plan posts	10 866 105	11 100 200	11 350 000	11 350 000	2,25%
- Of which external personnel	2 262 197	2 400 000	2 447 000	2 447 000	1,96%
Expenditure relating to Staff recruitment	5 375	19 000	19 000	19 000	0,00%
Employer's pension contributions					
Mission expenses	68 000	65 000	65 000	65 000	0,00%
Socio-medical infrastructure	24 340	25 000	25 000	25 000	0,00%
Training	200 637	245 000	230 000	230 000	-6,12%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
External Services	279 952	280 000	290 000	290 000	3,57%
Receptions, events and representation	3 124	4 000	4 000	4 000	0,00%
Social welfare	38 041	35 000	27 000	27 000	-22,86%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 887 316	1 878 800	1 832 500	1 832 500	-2,46%
Rental of buildings and associated costs	712 055	737 024	712 700	712 700	-3,30%
Information, communication technology and data processing	962 628	937 576	915 600	915 600	-2,34%
Movable property and associated costs	61 791	20 000	20 000	20 000	0,00%
Current administrative expenditure	51 920	69 000	69 000	69 000	0,00%
Postage / Telecommunications	8 295	15 200	15 200	15 200	0,00%
Meeting expenses	90 627	100 000	100 000	100 000	0,00%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	4 680 927	4 905 000	4 996 500	5 010 500	2,15%
Communication	491 605	375 000	375 000	375 000	0,00%
Corporate Performance and Stakeholders	176 262	247 000	247 000	247 000	0,00%
Operational projects	3 356 870	3 648 000	3 739 500	3 753 500	2,89%
Operational Missions	656 190	635 000	635 000	635 000	0,00%
TOTAL	20 316 014	20 957 000	21 286 000	21 300 000	1,64%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 246 713,17

4 Justification of needs

Commission assessment

Human Resources

The Commission supports ETF request to maintain a stable number of establishment plan posts in 2021 compared to the Budget 2020 (86 posts).

Financial Resources

The Commission's request for DB 2021 amounts to EUR 21 300 000. This is compliant with the Communication on the MFF of 27 May 2020. It will provide ETF with the necessary means to ensure the continuity of its activities while seeking for efficiency gains.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

The ETF staff request is in line with the SPD 2020-2022 (Annual Work Programme 2020) adopted by the ETF Governing Board on 22 November 2019 and the Budget Circular 2021. This means 86 temporary agent establishment plan posts, plus at least one and possibly two additional temporary agents to offset part-time work as per art. 38.2 of the ETF Financial Regulation; 42 contract agents and 1 local agent.

4.1.2 Vacancy rate as of end 2019

The vacancy rate was 0% end 2019 (86 post occupied out of 86 posts authorized).

4.1.3 Standard abatement ('abatement forfaitaire') applied

Not applicable.

4.1.4 Salary assumption for calculating salary line (% applied)

The Agency's salary budget request is in line with the one envisaged in the SPD 2020-2022. The main assumptions are:

- An annual salary increase linked to the estimated salary adaptation of 2 % and a small decrease in the weighting factor;
- An upward impact on salary costs linked to the automatic increase in step and the annual reclassification exercise;
- Savings deriving from staff turnover and working conditions;
- Savings deriving from the retirement of senior staff replaced by more junior staff.

4.1.5 Correction coefficient used

The correction coefficient is expected to slightly decrease from the current 95,20%.

4.1.6 Exchange rate used (if applicable)

Not applicable

4.2 Financial Resources - Agency request

4.2.1 Title 1

Overall, for 2021 the agency request is EUR 21 286 000.

The Agency request is in line with the Commission draft proposal for the MFF 2021-2027 (Annex VI – Fiche 32 of 23 July 2018) and the ETF SPD 2020-2022 (Annual Work Programme 2020) adopted by the ETF Governing Board on 22 November 2019.

The Agency request for 2021 foresees an increase in Title 1 (EUR 14 457 000 as compared to EUR 14 173 200 in 2020 and EUR 13 747 770 executed in 2019). The proportion of the total budget allocated to Title 1 remains stable from 67,6% in 2020 to 67,9% in 2021. The net increase of 2% in the total value of Title 1 is based upon the above-mentioned salary assumptions and the expectation that no further staff cut will be requested. In addition, the cost of training services and of social welfare measures are expected to decrease moderately.

4.2.2 Title 2

The total request for Title 2 foresees a decrease compared to 2020 of 2,5 % and makes up 8,6 % of the total contribution (9% in 2020). This corresponds to small savings under facilities and ICT budgets, and remains below 2018 and 2019

levels. It covers essential services such as ordinary maintenance, cleaning, surveillance and security, reception, the supply and management of utilities as well as basic running costs for a well-functioning office environment. The proposed ICT budget decreases by 2,3 % compared to 2020 in spite of an expected rise in the global cost of fees for Commission systems and services (e.g. ABAC, ABAC Assets, SYSPER and ePrior, a planned move to ARES). The digitalization of the workplace and working methods and the migration of the data centre to the cloud will continue.

The proposed Facilities budget also foresees a decrease of 3,3 %, capitalizing on the improvements done in previous years. Other administrative expenditure (mailing, movable property and associated costs, governance) is expected to remain stable.

4.2.3 Title 3

The total request for Title 3 foresees an increase compared to 2020 of 1,9 %. The proposed budget for operational activities in partner countries foresees an increase of 2,5 % while maintaining a stable budget for activities related to Communication, Evaluation, Strategic Partnerships, as well as operational missions compared to 2020.

The new strategy for the period 2021 – 2027 sets out the changes required of the ETF to broaden its area of expertise in response to the shifting trends away from formal schooling towards wider learning pathways, and from isolated solutions towards comprehensive ones, and integrated actions across the education and training system.

In 2021 the ETF will consolidate its service delivery to be:

- A global asset for the EU providing expertise on human capital development through a diversified provision of clearly agreed services;
- A reference for partner countries for sector analysis and policy advice;
- A global knowledge hub in the field of human capital development in transition and developing countries;
- An important resource for programming and preparing and monitoring EU investment in human capital development;
- A partner to the EU to enhance the strategic impact of EU funds.

This will be achieved through three strategic objectives that reflect the EU priorities with reference to the human capital development (HCD) sector: i) to identify skills demand and ensure skills relevance; ii) to innovate skills development models and processes and iii) to increase lifelong learning systems quality and performance.

These operational interventions of the ETF are agreed with the ETF Governing Board and EU services cooperating with the ETF.

4.3 Ad hoc grants and delegation agreements

There are no grants or delegation agreements foreseen for 2021.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Villa Gualino	Torino, Italy	2 175	3 825	6 000	1	Rental is covered by a Convention for 30y till 2027 and 3 year service contracts, current exp. 2021		No	
TOTAL			2 175	3 825	6 000	1				

5.1.2 Current building(s) Other comments

Not applicable.

5.1.3 Building projects in the planning phase

Not applicable.

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 European Schools

There is no European school in Torino.

Due to the absence of a European School in Turin, and the fact that there are several international schools but which are extremely expensive, the ETF covers up to 50% of the cost above the ceiling foreseen in the Staff Regulations. This is done with the scope to support the ETF's capacity to attract and retain staff as a social support measure.

5.3 Evaluation

The main findings of the latest evaluation available are as follows:

The wider evaluation of the 4 Agencies under DG EMPL – ‘Evaluation of the EU Agencies under the remit of DG Employment : EUROFOUND, CEDEFOP, ETF and EU-OSHA’ <https://europa.eu/!fx48HN>, was concluded with the Commission Staff Working Document adopted on 09/04/2019. An action plan has been drafted for all recommendations and progress will be reported to the Governing Board and in the Annual Activity Report 2019.

The overall conclusions reflect that in the evaluation period the 4 agencies have:

- operated overall effectively;
- delivered the planned outputs;
- achieved the specific objectives laid down in their work programmes; and
- contributed to the general objectives, particularly by providing in most cases timely contributions that fed into EU policymaking.

More specifically about the ETF:

- the ETF contribution “to partner country developments has been especially strong in respect of governance, systems and policy-making” in the partner countries;
- the ETF is relevant for stakeholders in partner countries and
- the key issues hampering the impact of the ETF were the varied capacity of partner countries to absorb ETF interventions, as well as sustainability of subsequent policy reforms.

Evaluation of the ETF activities in Work Based learning in VET, March 2019 <https://europa.eu/cw36Fw>. The evaluation assessed the effectiveness and impact of the ETF actions in developing work-based learning in both South Eastern Europe and Turkey (SEET) and Eastern Partnership (EaP) countries during the period 2015 – 2018.

The main findings were that the ETF is well connected with international stakeholders and is highly involved in events and initiatives at EU level and its contributions in the IAG-TVET are highly valued. ETF publications such as the Handbook for policymakers and social partners on WBL; Handbook on Financing of WBL, WBL Readiness Tool are appreciated and used by development partners as they are practical and policy oriented.

Additionally, the ETF has been successful in connecting partner countries to international developments and provided the partner countries with examples and experiences from other (European) countries. All five candidate countries have been supported and have become members of the EAfA and made formal commitments to concrete actions for apprenticeships and WBL and in the Eastern Partnership (EaP), national stakeholders have been successfully engaged in Peer Learning Activities (PLA), study tours and e-learning courses.

The added value of the ETF in promoting work-based learning in the partner countries is that the Agency is able, more than other organisations, to combine in-depth understanding of the national context, the national needs and the EU priorities and developments to provide timely direct advice and feedback in a more flexible and tailored (non-project-based) way.

The key recommendations arising from the report are that the ETF should consider to:

- Use a differentiated approach to cluster countries for peer learning and exchange of experience, allowing for more cross-links between different countries based on the stage of development and the system weaknesses needing attention;
- Strengthen the line of reasoning on how the set of ETF activities as a whole support country reforms;
- Continued cooperation with other international organisations and be more active in the framework of European Commission supported projects to contribute more to value addition and synergies;
- Better align actions between the different ETF projects and approaches that contribute to developing employer engagement in the partner countries.

5.4 Privileges and immunities

<i>Agency privileges</i>	<i>Privileges granted to staff</i>	
	<i>Protocol of privileges and immunities / diplomatic status</i>	<i>Education / day care</i>

<ul style="list-style-type: none"> * Local premises have been provided by local authorities on the basis of a convention that provides for the following main essential points: ETF to participate in the costs of refurbishing the premises to be used, ETF to pay a symbolic rent, ETF to participate in the costs of maintenance of the building * General support is provided by Italy against unauthorized access or other forms of disturbances to the premises. *ETF is authorized to install and operate communications systems. * ETF official communication is not subject to any restrictions or to confidentiality breaches. *The Protocol of privileges and immunities is applicable to ETF. * ETF, its assets and funds may not be subject to administrative or legal measures of constraints. *Premises (including temporary premises) and buildings are inviolable, except in case of emergencies/ fire. * ETF, its assets and funds are exempt from taxes or direct duties, except for taxes on public services. * ETF is exempt from the payment of VAT for purchases of goods or service. The value of the exemption is established in the law applicable to international organizations in Italy. * ETF imports and exports are exempted from customs duties, taxes, prohibitions or restrictions. * Goods transported as hand baggage are treated as diplomatic luggage. * ETF vehicles are exempted from any taxes, duties or fees or from any import prohibitions/ restrictions. * ETF exempted from payment social security and health insurance contributions on salaries paid to staff, except for local agents. 	<ul style="list-style-type: none"> *Staff immune from legal proceedings for acts performed in the exercise of their official duties. * Staff exempted from taxes on salaries and emoluments paid by ETF. * Staff, spouses and dependent members of family not subject to immigration restrictions or registration formalities for foreigners. * For currency exchange staff has the same privileges as officials of equal rank in the diplomatic missions. * Staff, spouses and dependent members of family receive assistance for repatriation in the event of international crises. * Staff who is neither permanently resident in Italy at the time of their appointment, nor Italian, may, duty-free and without prohibitions and restrictions, import from the country of their last residence or the country of which they are nationals, when they first take up their post, for a period of one year from their appointment for a maximum of two shipments, their own furniture and personal effects, including a vehicle bought at the conditions of that country, which will be registered in special series. * Staff may export, in the year following the date of cessation of their duties, without prohibitions and restrictions, their own furniture and personal effects, including vehicles. * The ETF Director, spouse and dependent members of family, is granted privileges and immunities, facilities and concessions granted by the Italy to members of equivalent rank in the diplomatic corps in Italy. * Staff, who is neither permanently resident in Italy at the time of their appointment nor Italian, may, when they first take up their post, for a period of one year from their appointment purchase a motor vehicle free from taxes and charges. * Italy issues a special identity card to staff, spouses and dependent members of family to prove that the holder is ETF staff and enjoys privileges and immunities. 	<p>None</p>
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2.3 Decentralised agencies of Heading 3 – Natural Resources and Environment

2.3.1 European Fisheries Control Agency – EFCA

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Regulation (EU) 2019/473 of the European Parliament and of the Council.	19 March 2019	<ul style="list-style-type: none"> • to coordinate control and inspection by Member States relating to the control and inspection obligations of the EU; • to coordinate the deployment of the national means of control and inspection pooled by the Member States concerned in accordance with this Regulation; • to assist Member States in reporting information on fishing activities and control and inspection activities to the Commission and third parties; • in the field of its competences, to assist Member States to fulfil their tasks and obligations under the rules of the Common Fisheries Policy; • to assist Member States and the Commission in harmonising the application of the Common Fisheries Policy throughout the EU; • to contribute to the work of Member States and the Commission on research into and development of control and inspection techniques; • to contribute to the coordination of inspector training and the exchange of experience between Member States; • to coordinate the operations to combat illegal, unreported and unregulated fishing in conformity with EU rules; • to assist in the uniform implementation of the control system of the common fisheries policy, including in particular: <ol style="list-style-type: none"> 1) Organisation of operational coordination of control activities by Member States for the implementation of specific control and inspection programmes, control programmes related to illegal, unreported and unregulated (IUU) fishing and international control and inspection programmes 2) Inspections as necessary to fulfil the Agency's tasks • to cooperate with European Border and Coast Guard Agency, and the European Maritime Safety Agency, each within its mandate, to support the national authorities carrying out coast guard functions, by providing services, information, equipment and training as well as by coordinating multipurpose operations. <p>In addition, among other competences:</p> <ol style="list-style-type: none"> 1) Operational coordination by the Agency shall cover control of all activities covered by the Common Fisheries Policy; 2) Officials of the Agency may be assigned in international waters as Union inspectors; 3) The Agency may acquire, rent or charter the equipment that is necessary for the implementation of the joint deployment plans; 4) The Agency shall, where appropriate: <ol style="list-style-type: none"> (a) issue manuals on harmonised standards of inspections; (b) develop guidance material reflecting the best practices in the field of control of the Common Fisheries Policy, including on the training of control officials, and update this on a regular basis; (c) provide the Commission with the necessary technical and administrative support to carry out its tasks; 5) With due regard to the different legal systems in the individual

		<p>Member States, the Agency shall facilitate cooperation between Member States and between them and the Commission in the development of harmonised standards for control in accordance with EU legislation and taking into account best practices in Member States and agreed international standards;</p> <p>6) Upon a notification by the Commission or of its own initiative the Agency shall set up an Emergency Unit, where a situation involving direct, indirect or potential serious risk to the Common Fisheries Policy is identified, and the risk cannot be prevented, eliminated, or reduced by existing means or cannot adequately be managed;</p> <p>7) The Agency shall contribute to the implementation of the EU Integrated Maritime Policy, and in particular conclude administrative agreements with other bodies in matters covered by Regulation (EU) 2019/473 of the European Parliament and of the Council after approval by the Administrative Board.</p> <p>8) The Agency shall, in cooperation with the European Border and Coast Guard Agency and the European Maritime Safety Agency, support national authorities carrying out coast guard functions at national and Union level and, where appropriate, at international level by:</p> <p>(a) sharing, fusing and analysing information available in ship reporting systems and other information systems hosted by or accessible to those agencies, in accordance with their respective legal bases and without prejudice to the ownership of data by Member States;</p> <p>(b) providing surveillance and communication services based on state-of-the-art technology, including space-based and ground infrastructure and sensors mounted on any kind of platform;</p> <p>(c) building capacity by drawing up guidelines and recommendations and by establishing best practices as well as by providing training and exchange of staff;</p> <p>(d) enhancing the exchange of information and cooperation on coast guard functions including by analysing operational challenges and emerging risks in the maritime domain;</p> <p>(e) sharing capacity by planning and implementing multipurpose operations and by sharing assets and other capabilities, to the extent that these activities are coordinated by those agencies and are agreed to by the competent authorities of the Member States concerned.</p>
Commission Decision 2009/988/EU	18 December 2009	<p>By this Decision, the Commission designated the EFCA as the body to carry out certain tasks under the IUU Regulation. These tasks are as follows:</p> <ul style="list-style-type: none"> • transmit notifications, with copy to the Commission, on denials of landing or transshipment authorisations by third country vessels to flag State(s) and, if appropriate copies of these notifications, to Regional Fisheries Management Organisations in accordance with Article 11(3) of Regulation (EC) No 1005/2008; • upon request from the Commission, provide for the conduct of on-the-spot audits, alone or in cooperation with the Commission, to verify the effective implementation of agreed cooperation arrangements with third countries in accordance with Article 20(4), second subparagraph (c) of Regulation (EC) No 1005/2008; • communicate to Member States and flag States, with copy to the Commission, additional information submitted by the Member States to the Commission which is relevant for the establishment of the European Union IUU vessel list in accordance with Article 25(2) of Regulation (EC) No 1005/2008; • transmit sightings reports to all Member States, with copy to the Commission, and, if appropriate, to the Executive Secretary of the relevant Regional Fisheries Management Organisation in accordance with Article 48(4) of Regulation (EC) No 1005/2008; • transmit to the Executive Secretary of the relevant Regional Fisheries Management Organisation, with copy to the Commission, information from a Member State in response to a sighting report on one of its vessels from a contracting party to that Regional Fisheries Management Organisation in accordance with Article 48(5) of Regulation (EC) No 1005/2008.

Regulation (EU) No 1380/2013 of the European Parliament and of the Council	11 December 2013	This regulation adopted the new Common Fisheries Policy. As regards the Agency: <ul style="list-style-type: none"> the Union shall, including through the Agency, cooperate with third countries and international organisations dealing with fisheries, including Regional Fisheries Management Organisations, to strengthen compliance with measures, especially those to combat IUU fishing, in order to ensure that measures adopted by such international organisations are strictly adhered to. Control and enforcement of the CFP shall in particular be based on and shall include cooperation and coordination between Member States, the Commission and the Agency; The Agency may assist the expert group on compliance meetings as an observer.
Regulation (EU) 2019/833 of the European Parliament and of the Council laying down conservation and enforcement measures applicable in the Regulatory Area of the Northwest Atlantic Fisheries Organisation, amending Regulation 2016/1627 and repealing Council Regulations (EC) No 2115/2005 and (EC) No 1386/2007	20 May 2019	This Regulation empowers the Agency to coordinate the surveillance and inspection activities for the EU in the NAFO Regulatory Area and to draw up, in cooperation with the Member States a plan for the EU participation in the international Scheme of control (art. 28).
Commission Implementing Regulation (EU) 433/2012	23 May 2012	This Regulation, in line with the Regulation (EU) 1236/2010 of the European Parliament and the Council, and in relation with the fishing activities in the NEAFC Regulatory Area, designs the Agency to: <ul style="list-style-type: none"> Coordinate the surveillance and inspection activities of the EU in the area; Prepare a plan in cooperation with Member States for the EU participation in the International Scheme of control; Receive and prepare reports on inspection and infringement in the NEAFC area.

1.2 Seat

Vigo, Spain

1.3 Budget Line

08 10 01 : European Fisheries Control Agency

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	31	32	103,23%	31	32
Assistants (AST)	30	29	96,67%	30	29
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	61	61	100,00%	61	61
Contract Agents (CA)	5	10	200,00%	5	5
Seconded National Experts (SNE)	4	6	150,00%	4	4
TOTAL STAFF	70	77	110,00%	70	70

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	16 900 000	17 000 000
Other Revenue	0	0
TOTAL REVENUES	16 900 000	17 000 000

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES	680 000	621 000

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	8 856 000	8 856 000	8 908 000	8 908 000
Title 2 - Infrastructure and operating expenditure	1 570 000	1 570 000	1 617 000	1 617 000
Title 3 - Operational expenditure	7 154 000	7 154 000	7 096 000	7 096 000
TOTAL EXPENDITURE	17 580 000	17 580 000	17 621 000	17 621 000

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1		1		1
AD 14		2		2		2		2		2
AD 13		1		1		1		1		1
AD 12		2		2		2		2		2
AD 11								2		2
AD 10		6		6		7		7		7
AD 9		6		6		5		5		5
AD 8		13		13		13		11		11

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 7				1				1		1
AD 6										
AD 5										
AD TOTAL		31		32		31		32		32
AST 11										
AST 10		7		6		7		6		6
AST 9		3		3		3		3		3
AST 8		3		3		3		3		3
AST 7		8		8		8		8		8
AST 6		2		2		2		2		2
AST 5		6		6		7		7		7
AST 4		1		1						
AST 3										
AST 2										
AST 1										
AST TOTAL		30		29		30		29		29
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		61		61		61		61		61
GRAND TOTAL	61		61		61		61		61	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	1	1	1	1
Function Group III	3	8	3	3
Function Group II	1	1	1	1
Function Group I				
TOTAL	5	10	5	5

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	4	6	4	4

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	16 747 000	16 900 000	17 000 000	17 000 000	0,59%
- Of which assigned revenues deriving from previous years' surpluses	240 700	162 945	258 957	258 957	58,92%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
- Of which EEA/EFTA (excl. Switzerland)					
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES	10 139				
TOTAL	16 757 139	16 900 000	17 000 000	17 000 000	0,59%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)	522 732	680 000	621 000	621 000	-8,68%
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL	522 732	680 000	621 000	621 000	-8,68%

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	8 147 701	8 856 000	8 908 000	8 908 000	0,59%
Salaries & allowances	7 901 629	8 505 000	8 588 000	8 588 000	0,98%
- Of which establishment plan posts	6 827 538	7 360 000	7 460 000	7 460 000	1,36%
- Of which external personnel	1 074 091	1 145 000	1 128 000	1 128 000	-1,48%
Expenditure relating to Staff recruitment	95 234	140 000	110 000	110 000	-21,43%
Employer's pension contributions					
Mission expenses	49 813	70 000	70 000	70 000	0,00%
Socio-medical infrastructure	28 093	30 000	28 000	28 000	-6,67%
Training	72 843	110 000	110 000	110 000	0,00%
External Services					
Receptions, events and representation	89	1 000	2 000	2 000	100,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 536 015	1 570 000	1 617 000	1 617 000	2,99%
Rental of buildings and associated costs	370 336	407 000	407 000	407 000	0,00%
Information, communication technology and data processing	610 965	571 000	555 000	555 000	-2,80%
Movable property and associated costs	78 111	77 000	53 000	53 000	-31,17%
Current administrative expenditure	41 399	40 000	40 000	40 000	0,00%
Postage / Telecommunications	47 605	55 000	55 000	55 000	0,00%
Meeting expenses	73 500	72 000	72 000	72 000	0,00%
Running costs in connection with operational activities	253 751	293 000	380 000	380 000	29,69%
Information and publishing	60 348	55 000	55 000	55 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	7 497 864	7 154 000	7 096 000	7 096 000	-0,81%
TOTAL	17 181 580	17 580 000	17 621 000	17 621 000	0,23%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	8 082 477	8 856 000	8 908 000	8 908 000	0,59%
Salaries & allowances	7 866 945	8 505 000	8 588 000	8 588 000	0,98%
- Of which establishment plan posts	6 819 930	7 360 000	7 460 000	7 460 000	1,36%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
<i>- Of which external personnel</i>	1 047 015	1 145 000	1 128 000	1 128 000	-1,48%
Expenditure relating to Staff recruitment	95 234	140 000	110 000	110 000	-21,43%
Employer's pension contributions					
Mission expenses	48 513	70 000	70 000	70 000	0,00%
Socio-medical infrastructure	24 819	30 000	28 000	28 000	-6,67%
Training	46 877	110 000	110 000	110 000	0,00%
External Services					
Receptions, events and representation	89	1 000	2 000	2 000	100,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 619 563	1 570 000	1 617 000	1 617 000	2,99%
Rental of buildings and associated costs	398 489	407 000	407 000	407 000	0,00%
Information, communication technology and data processing	628 620	571 000	555 000	555 000	-2,80%
Movable property and associated costs	121 098	77 000	53 000	53 000	-31,17%
Current administrative expenditure	42 903	40 000	40 000	40 000	0,00%
Postage / Telecommunications	48 221	55 000	55 000	55 000	0,00%
Meeting expenses	68 386	72 000	72 000	72 000	0,00%
Running costs in connection with operational activities	266 886	293 000	380 000	380 000	29,69%
Information and publishing	44 960	55 000	55 000	55 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	7 088 615	7 154 000	7 096 000	7 096 000	-0,81%
TOTAL	16 790 655	17 580 000	17 621 000	17 621 000	0,23%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 258,957.

4 Justification of needs

Commission assessment

Human Resources

The Commission supports EFCA request to maintain a stable number of establishment plan posts in 2021 compared to the Budget 2020 (61 posts).

Financial Resources

The Commission's request for DB 2021 amounts to EUR 17 000 000. This is compliant with the Communication on the MFF of 27 May 2020. It will provide EFCA with the necessary means to ensure the continuity of its activities while seeking for efficiency gains.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

EFCA requests to keep the current Establishment plan for 2021.

EFCA will enact a progressive phasing-out plan over the next four years in order to abide by the ceilings of CA and SNE approved by the budgetary authority.

4.1.2 Vacancy rate as of end 2019

On 31/12/2019 the vacancy rate for Temporary Agents was 0%.

On 31/12/2019 the number of Contract Agents was 10. In addition, there were 2 CAs funded by the PESCAO project.

On 31/12/2019 the number of SNE was 6. In addition, there were 2 SNE funded by the PESCAO project.

4.1.3 Standard abatement ('abatement forfaitaire') applied

N/A

4.1.4 Salary assumption for calculating salary line (% applied)

The estimations on salary expenditures are based on the current staffing situation and entitlement status extrapolated for the future period, and the recruitment plan aiming for full occupancy.

4.1.5 Correction coefficient used

From July 2019 the correction coefficient in Spain is 91.6.

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - Agency request

4.2.1 Title 1

The staff expenditure (Title I) has been estimated taking into consideration a full occupation of the 61 posts under the draft establishment plan for 2021 and the corresponding step increases and estimated reclassifications. Overall, there is a 0.6% increase in Title I. This increase is mainly due to the key parameters indicated by the Commission in the Budget Circular 2020 for updates of staff remuneration applicable starting in July 2019 (2.5% in 2020).

4.2.2 Title 2

In the case of Title II, an increase of 3% can be noted in 2021 due to the external services for the 5-year evaluation of EFCA which is due to be contracted in 2021. EFCA continues to streamline in this expenditure in general, and the investment in ICT and building for 2020-2021 is expected to be stable.

4.2.3 Title 3

The operational budget is proposed to be kept at the level of 2020. The budget structure of Title III has not changed in respect of 2020. EFCA has 4 activities for 2021 and therefore the relevant expenditure will be reflected accordingly in the budget.

4.3 Ad hoc grants and delegation agreements

The European Commission adopted the Project “Improved Regional Fisheries Governance in Western Africa” (PESCAO) by Decision C (2017) 2951 on 28 April 2017. This project allows to promote the fight against the IUU fishing in the area of West Africa through cooperation with thirteen countries in the area and two Regional Fisheries bodies, namely the Sub-Regional Fisheries Commission (SRFC) and the Fisheries Committee for the West Central Gulf of Guinea (FCWC). This grant was signed in 2018 and started implementation on the 01/01/2018. The grant contract of EUR 2.58 million is implemented in annual instalments from 2018 to 2022. For 2021, EFCA has estimated an instalment of 621 000 EUR.

In 2021 there will be 3 contract agents and 2 SNE funded by the PESCAO project.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Edificio Odriozola	Av. García Barbón, 4 – 36201 Vigo (Pontevedra) Spain	3 350	350	3 700	52 680		Rent paid directly by Spanish Authorities	Spain	
TOTAL			3 350	350	3 700	52 680				

5.1.2 Current building(s) Other comments

EFCA is using 7 floors (1st to 7th) of the building, the main entrance on the ground floor and 23 parking spaces. The main surface of the ground floor is occupied by a private bank.

The rent and building related costs from the owner of the building:

- EUR 52 680/year for a yearly renewable 7th floor rent agreement + security arrangement on the basement for the duration of the occupation of the building by EFCA;
- EUR 10 500/year for a yearly renewable building general maintenance agreement.

The Host Member State confirmed in 2017 the agreement to use an additional floor (500 m2) of the building currently occupied by the agency, without any additional rent costs for EFCA.

5.1.3 Building projects in the planning phase

N/A

5.1.4 Building projects submitted to the European Parliament and the Council

N/A

5.2 European Schools

N/A

5.3 Evaluation

In line with Article 48 of the Founding Regulation of the Agency, every five years the Administrative Board shall commission an independent external evaluation of the implementation of EFCA’s Founding Regulation. The first five-

year external independent evaluation of the Agency for the period 2007-2011, showed an overall positive assessment of the governance and performance of EFCA. The second five-year external independent evaluation of the Agency for the period 2012-2016 was presented in June 2017, and, as stated in the report: “this evaluation reviewed the implementation of the Regulation during 2012-2016 against the evaluation criteria of follow-up on the last evaluation, relevance, coherence, utility, added value, efficiency, effectiveness, impact, sustainability and gender balance. Data collected with the help of extensive desk research, interviews with some 60 stakeholders, five case studies (focusing on specific EFCA activities) and five surveys of key stakeholders confirm EFCA’s positive performance across all evaluation criteria. This is mostly explained with EFCA successfully operationalising a role of ‘honest broker’ between the MS, EC and industry, allowing EFCA to achieve objectives in terms of MS cooperation and compliance, thus contributing to the level-playing field and the sustainable exploitation of living aquatic resources. EFCA’s strong performance was supported by adequate governance arrangements and working practices, with commendable efficiency efforts, e.g. use of e-administration”.

The Administrative Board issued recommendations to the European Commission regarding changes to the Founding Regulation, the Agency and its working practices. Both the evaluation findings and recommendations were made public: https://www.efca.europa.eu/en/library?f%5B0%5D=field_library_type%3A69.

The recommendations issued by the Administrative Board are being taken into consideration in the multiannual and annual work programmes of the Agency. In that respect, a roadmap has been prepared by ECFA to effectively monitor and follow up the Administrative Board recommendations. The Administrative Board is reported on the state of play of the recommendations at each bi-annual Administrative Board meeting.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
VAT exempted (invoices >300€)	VAT exempted for vehicle purchases, special ID cards	N/A

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Council Regulation (EEC) No. 1210/90	07/05/1990	Establishment of the European Environment Agency and the European environment information and observation network - established the objective of the EEA, 10 tasks to be carried out to achieve the objective, and priority areas of work
Council Regulation 933/1999	29/04/1999	Following a first evaluation of the Agency as required in the Founding Regulation: the objective of the EEA was revised to include reference to sustainable development, some of the tasks were revised slightly, three new tasks were added, one priority area of work was added, enabling the management board to be extended to representatives on non-EU countries, the election of a bureau delegated to take executive decisions on behalf of the management board was enabled, an article listing possible further tasks for the Agency was deleted, and requirements for two further evaluations of the Agency were specified.
Regulation (EC) No 1641/2003 of the European Parliament and of the Council (L 245 1 29.9.2003)	22/07/2003	Revised Article 6 to indicate that Regulation (EC) No 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding access to European Parliament, Council and Commission documents shall apply to documents held by the Agency.

1.2 Seat

Copenhagen, Denmark

1.3 Budget Line

09 10 02 : European Environment Agency

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	61	60	98,36%	67	67
Assistants (AST)	63	60	95,24%	63	63
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	124	120	96,77%	130	130
Contract Agents (CA)	72	61	84,72%	72	74
Seconded National Experts (SNE)	20	19	95,00%	20	20
TOTAL STAFF	216	200	92,59%	222	224

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	41 972 000	42 211 000
Other Revenue	5 629 131	5 643 695
TOTAL REVENUES	47 601 131	47 854 695

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
Additional EU funding stemming from grant agreements (FFR Art.7)	1 275 000	
Additional EU funding stemming from service level agreements (FFR Art. 43.2)	11 954 000	3 010 000
TOTAL REVENUES	13 229 000	3 010 000

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	27 925 531	27 925 531	27 925 531	27 925 531
Title 2 - Infrastructure and operating expenditure	4 652 500	4 652 500	4 652 500	4 652 500
Title 3 - Operational expenditure	15 023 100	15 023 100	15 276 664	15 276 664
TOTAL EXPENDITURE	47 601 131	47 601 131	47 854 695	47 854 695

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1		1		1
AD 14		3				2		2		2
AD 13	1	6		2	1	6	1	6	1	6
AD 12		16	1	8		16		16		16
AD 11		10		8		10		10		10
AD 10		10		11		11		11		11
AD 9		9		10		9		9		9
AD 8		4		8		4		5		4
AD 7		1		6		3		6		3

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 6				5		1		12		1
AD 5						3				3
AD TOTAL	1	60	1	59	1	66	1	78	1	66
AST 11		3				2	1	2	1	2
AST 10		5		2	1	5	2	5	2	5
AST 9	3	12	1	6	2	12		12		12
AST 8		12	1	5		11		11		11
AST 7		12		8		11		11		11
AST 6		11		9		11		11		11
AST 5		5		9		7		7		7
AST 4				11		1				1
AST 3				7						
AST 2				1						
AST 1										
AST TOTAL	3	60	2	58	3	60	3	59	3	60
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3								3		
AST/SC 2										
AST/SC 1										
AST/SC TOTAL								3		
TOTAL	4	120	3	117	4	126	4	140	4	126
GRAND TOTAL	124		120		130		144		130	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	51	44	53	56
Function Group III	11	10	11	11
Function Group II	10	7	8	7
Function Group I				
TOTAL	72	61	72	74

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	20	19	20	20

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	39 733 971	41 972 000	46 458 440	42 211 000	0,57%
- Of which assigned revenues deriving from previous years' surpluses	473 607	253 218	218 261	218 261	-13,81%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	4 077 102	4 130 131	4 237 357	4 135 843	0,14%
- Of which EEA/EFTA (excl. Switzerland)	950 102	1 003 131	1 110 357	1 008 843	0,57%
- Of which candidate countries	3 127 000	3 127 000	3 127 000	3 127 000	0,00%
4 OTHER CONTRIBUTIONS	1 402 155	1 499 000	1 720 683	1 507 852	0,59%
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	45 213 228	47 601 131	52 416 480	47 854 695	0,53%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)		1 275 000			-100%
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)	6 846 000	11 954 000	3 010 000	3 010 000	-74,82%
TOTAL	6 846 000	13 229 000	3 010 000	3 010 000	-77,25%

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	25 844 759	27 925 531	30 900 130	27 925 531	0,00%
Salaries & allowances	24 355 437	26 206 531	28 801 750	26 206 531	0,00%
- Of which establishment plan posts	17 559 525	18 701 531	20 761 650	18 701 531	0,00%
- Of which external personnel	6 795 912	7 505 000	8 040 100	7 505 000	0,00%
Expenditure relating to Staff recruitment	228 280	330 000	572 600	330 000	0,00%
Employer's pension contributions					
Mission expenses	535 500	600 000	667 000	600 000	0,00%
Socio-medical infrastructure	361 380	335 000	359 700	335 000	0,00%
Training	350 162	440 000	484 800	440 000	0,00%
External Services					
Receptions, events and representation					
Social welfare	14 000	14 000	14 280	14 000	0,00%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	4 559 214	4 652 500	4 970 350	4 652 500	0,00%
Rental of buildings and associated costs	3 396 985	3 501 500	3 740 530	3 501 500	0,00%
Information, communication technology and data processing					
Movable property and associated costs	332 047	250 000	266 000	250 000	0,00%
Current administrative expenditure	589 577	642 000	699 840	642 000	0,00%
Postage / Telecommunications	3 050	12 000	12 240	12 000	0,00%
Meeting expenses	231 094	237 000	241 740	237 000	0,00%
Running costs in connection with operational activities					
Information and publishing	6 461	10 000	10 000	10 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	14 809 255	15 023 100	16 545 800	15 276 664	1,69%
Resources	13 761 887	13 866 100	15 165 659	13 866 100	0,00%
Strategic Actions	1 047 368	1 157 000	1 380 141	1 410 564	21,92%
TOTAL	45 213 228	47 601 131	52 416 280	47 854 695	0,53%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	25 844 759	27 925 531	30 900 230	27 925 531	0,00%
Salaries & allowances	24 355 437	26 206 531	28 801 850	26 206 531	0,00%
- Of which establishment plan posts	17 559 525	18 701 531	20 761 750	18 701 531	0,00%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
<i>- Of which external personnel</i>	6 795 912	7 505 000	8 040 100	7 505 000	0,00%
Expenditure relating to Staff recruitment	228 280	330 000	572 600	330 000	0,00%
Employer's pension contributions					
Mission expenses	535 500	600 000	667 000	600 000	0,00%
Socio-medical infrastructure	361 380	335 000	359 700	335 000	0,00%
Training	350 162	440 000	484 800	440 000	0,00%
External Services					
Receptions, events and representation					
Social welfare	14 000	14 000	14 280	14 000	0,00%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	4 559 214	4 652 500	4 970 550	4 652 500	0,00%
Rental of buildings and associated costs	3 396 985	3 501 500	3 740 530	3 501 500	0,00%
Information, communication technology and data processing					
Movable property and associated costs	332 047	250 000	266 000	250 000	0,00%
Current administrative expenditure	589 577	642 000	699 840	642 000	0,00%
Postage / Telecommunications	3 050	12 000	12 240	12 000	0,00%
Meeting expenses	231 094	237 000	241 740	237 000	0,00%
Running costs in connection with operational activities					
Information and publishing	6 461	10 000	10 200	10 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	14 809 255	15 023 100	16 545 800	15 276 664	1,69%
Resources	13 761 887	13 866 100	15 165 659	13 866 100	0,00%
Strategic Actions	1 047 368	1 157 000	1 380 141	1 410 564	21,92%
TOTAL	45 213 228	47 601 131	52 416 580	47 854 695	0,53%

3.3 Budget Outturn

A positive budgetary result is to be reimbursed to the Commission. The positive result for 2019 is EUR 218 261.

4 Justification of needs

Commission assessment

The overall EU contribution for 2021 is set at the level of EUR 42 211 000 (including EUR 218 261 of the 2019 outturn), in accordance with the Commission's revised Multiannual Financial Framework proposal of 27th May 2020. In terms of staffing, the Commission supports the request of the agency for 130 Temporary Agents, 74 Contract Agents and 20 Seconded National Experts.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

Temporary Agents

2021 is the first year in a new strategic period for the EEA, which will include responses to the support needed for the 8th Environmental Action Programme.

In the following are the new tasks that can be envisaged in support of the 8th Environmental Action Programme described. This is an addition of 11 Temporary Agent posts to the establishment table:

1. Update of the monitoring framework of the Circular Economy (support to the CE scoreboard) and support to sectorial CE initiatives
2. Reporting on CE actions implementation, sustainable investments and monitoring the impact of EU finances CE investments
3. Support to the development of the EU Biodiversity strategy and development of a Biodiversity and Ecosystems monitoring framework, with emphasis to areas to be covered by new initiatives (soil, land and forests) (2 posts)
5. Biodiversity and Ecosystems health (with emphasis to freshwater and marine environments) as a contribution to Zero-Pollution (reduction of marine litter) and building a non-toxic environment
6. Integrated analysis of pollution impacts on environment and health and reporting on new (e.g. drinking water, water reuse, SEVESO, mercury) and cross-cutting areas of the Zero-pollution ambition of the Green Deal, in close cooperation with ECHA and EFSA
7. Reinforced capacity for integrated analysis and assessments of the various Green Deal policy areas (e.g. linking biodiversity with the zero pollution and Farm2Fork initiatives). This concerns also integrated assessments on the Floods Directive, Urban Waste Water but also Nitrates Directive and integration of freshwater and marine ecosystem-based approach in the economic transition (Annual Sustainable Growth Strategy) and climate
8. Strengthening the international dimension of environmental and climate monitoring, supporting environment and climate diplomacy and negotiations
9. Monitoring and evaluating national climate change adaptation policies and measures and its links with other environmental objectives
10. Support to Member States in monitoring and evaluating climate change mitigation policies and their links with air quality and the zero-pollution ambition
11. Monitoring of Human health and impacts of and adaptation to climate change by means of a virtual observatory of climate and health in the context of the Green Deal and its zero-pollution ambition for a toxic free environment

There are areas of the draft EEA strategy that are not included in the above, which are demands expressed by other stakeholders than the European Commission. This includes areas such as policy analysis focused on implementation and integration; Macroeconomic expertise in line with European green deal priorities, systems analysis in line with European Green Deal priorities and foresight capacities in support to the European Commissions led processes.

The Commission has in past years made several remarks of the absence of AST SC in the establishment table. Hence are three FG II converted to AST SC.

An AST post is converted to an AD post reflecting efficiency gains in dealing with administrative transactions and an increased demand for analytical capacities with the increased complexity in contractual arrangements.

It is envisaged that additional resources will be needed after 2021 in further support of the European Green Deal and other new legislation.

Contract Agents and Seconded National Experts

The number of Contract Agents financed by core funds is expected to increase in 2021 with three Contract Agent posts in support of the 8th Environmental Action Programme.

1. Improving the monitoring of the 8th EAP and climate policies in the digital era – making full use of COPERNICUS data, integration of citizen science and other sources information for a dynamic environmental monitoring and implementation – improving the timeliness of delivery, visualisation and access to information (2 CAs)

3. Support to the development of the EU Biodiversity strategy and development of a Biodiversity and Ecosystems monitoring framework, with emphasis to areas to be covered by new initiatives

4.1.2 Vacancy rate as of end 2019

The vacancy rate for Temporary Agents/Officials at the end 2019 is 3.2% and the EEA expects the vacancy rate to remain low in the coming years.

The number of core contract agent positions was set to be 72. At year end the vacancy rate was 15.3%. The vacancy rate for contract agents is influenced by two main factors; a) the EEA does not offer indefinite contracts to this category of staff. This leads to a higher vacancy rate in certain years where the number of contracts ending are higher than normal. All vacant contract agent positions are under active recruitment.

b) EEA is forced to anticipate a reserve in core-funded positions in order to allow for the absorption on non-core funded Contract Agents. This occurs when there is gap between end of external funding and end of employment contract. Up to 15 contract agents are funded on external assigned revenue. In 2020 the end of one Commission grant has to be planned for as an extension/renewal has not been concluded, hence this has had an impact on the vacancy rate.

Seconded National Experts (SNEs) stay typically up to four years in the Agency. EEA tends to make request for SNEs in bulk, for this reason the vacancy rate at year-end may be influenced more than the average picture during the year. Out of the 20 foreseen SNE's 17 were in place at year end.

4.1.3 Standard abatement ('abatement forfaitaire') applied

n/a

4.1.4 Salary assumption for calculating salary line (% applied)

The EEA has applied the rates as stipulated in the Budget Circular and added average cost for staff in Copenhagen on additional posts.

4.1.5 Correction coefficient used

Weighting factor unchanged compared to 2020

4.1.6 Exchange rate used (if applicable)

DKK exchange rate budgeted as unchanged

4.2 Financial Resources - Agency request

4.2.1 Title 1

Overview

The increase from 2020 to 2021 in the EU Subvention requested by the EEA has two main drivers:

A 2% inflationary increase (EUR 839,000) to the 2020 subvention to allow the continued delivery of the existing work programme.

An increase of EUR 3,647,000 (Title 1: EUR 2,422,000; Title 2: EUR 225,000; Title 3: EUR 1 million) to allow the EEA to deliver a number of new tasks requested by the Commission to support the 8th Environmental Action Programme.

Staff

The known and projected expected salary adjustments related to 2020 and 2021 are included in the forecast. For 2021 this is based on a 2% inflator.

In addition to the above, the increase in salaries and allowances is driven by the proposed increase to the establishment table of 11 TAs and an additional 3 CAs to deliver the new tasks for the 8th Environmental Action Programme described above.

Expenditures for recruitment reflects this increase in the establishment table.

EEA will in 2021 be chairing the EU agencies networking, which will mean increased travel expenses. 2021 will be a big year for the promotion of the State of The Environment Report, which further increases mission expenses. Mission

expenses are consequently expected to increase beyond the requirements linked to an increase in staff and the applied inflator.

The increases in training and socio-medical infrastructure are driven by the increase in the establishment table.

4.2.2 Title 2

Infrastructure and administrative expenditure

Expenditures in Title 2 reflects what is considered being the minimum expenses needed to run essential office facilities as well as governance structures. The EEA has initiated a project to have more open office spaces to realise savings in a medium to long-term perspective, but further investment is foreseen in 2021. The increases in moveable property and administrative expenditure reflect this and needs for the additional staff.

4.2.3 Title 3

Operational expenditure

The Title 3 budget to deliver the EEA's existing work programme has been increased by the forecasted inflation rate of 2%. Significant investments are also required to deliver the new tasks the EEA has been requested by the Commission to deliver under the 8th Environmental Action Programme. The increase in the Resources budget includes investments in IT infrastructure and development to deliver the additional data flows, monitoring and reporting. Dissemination of the data and reporting to stakeholders requires increases to publications and outreach budgets, and for expert meetings to allow increased interaction with member countries. Finally, the Strategic Actions budgets has been increased to fund contracts in delivering analytical studies as part of the new tasks.

4.3 Ad hoc grants and delegation agreements

The EEA has a delegation agreement with DG DEFIS to deliver Copernicus Land Monitoring Services and receives pre-financing accordingly. The operational phase of the current delegation agreement concludes in Dec 2021; substantial contracting is being undertaken in 2020, tailing off in 2021 as the work is completed.

The EEA has entered into a new two-year grant agreement (referred to as IPA 2020) with DG NEAR under the Instruments for Pre-Accession Assistance to support and develop the Western Balkan countries in delivering environmental reporting. The agreement commences in Jan 2020, succeeding a previous series of agreements, and the pre-financing provided in 2020 covers the activities for the full period of the agreement

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Down-town (centrally located late 19th century building)	Kongens Nytorv	4 576	2 624	7 200	2 100 000	Commercial lease agreement valid until one of the parties denounces it			
2	Part of a down-town (centrally located) late 19th century building	Kongens Nytorv	1 436	1 304	2 740	700 000	Commercial lease agreement valid until one of the parties denounces it			
TOTAL			6 012	3 928	9 940	2 800 000				

5.1.2 Current building(s) Other comments

EEA has signed an amendment to the lease contract setting the notice period to 18 months. If further space saving projects are to be done (I.e. turning small offices in to open plan) the notice period is likely to be further increased as a demand from the owner.

5.1.3 Building projects in the planning phase

none

5.1.4 Building projects submitted to the European Parliament and the Council

none

5.2 European Schools

The European School has now opened in its own custom-built premises in the Carlsberg district of Copenhagen. From the start of the 2018 academic year, and initially in temporary accommodation, the primary section of the school is fully opened, and additionally the first classes of the secondary section, S1 and S2 (equivalent to classes 6 and 7 in the Danish schooling) have also opened for students. Unfortunately, there has been an insufficient number of students to open the S2 English section. It is planned to introduce class S5 (being the equivalent of the Danish first year of gymnasium) in the following academic year starting in August 2020. It is expected that the school will be fully operational with all classes open by the start of the 2022 academic year.

The third language section (French) has started in 2019

5.3 Evaluation

Between 2016 and 2018 the European Commission carried out an evaluation of the EEA/Eionet including also the Founding Regulation. The evaluation covers the period mid-2012 until end-2016 and takes into account the previous evaluations of the agency (such as that from April 2013). The evaluation follows the Better Regulation Guidelines and thus includes analysis of five main themes: effectiveness, efficiency, relevance, coherence and European added value.

The overall conclusion of the evaluation is that the EEA and EIONET fulfil the main objectives set by the Founding Regulation. The evaluation assessed that the EEA and EIONET continue to be relevant, and provide EU value added by implementing the multi-annual work programmes in a largely effective, efficient and coherent way.

The evaluation recognised the EIONET is a unique network of environment and climate expertise that provides essential expertise in many areas and contributes e.g. through the European Topic Centres to the efficiency of the EEA's work. There was margin for improvement in the information on EIONET activities, the clarification of the role and better visibility of the value added of the various EIONET components and how these interact with the EEA and the Commission services, notably in the area of reporting.

EEA and EIONET were seen as essential data providers both for the Commission and also for member countries. While data collection are seen as working efficiently in all climate and many environmental fields, they did not always yet fully benefit from new technologies, such as Copernicus. The evaluation identified that these additional requests demonstrate recognition that EEA and its network provide unique value for money. While additional but temporary resources accompanied some of these specific requests, EEA had to adjust to a nominal freezing of the EU core subsidy and corresponding human resource reduction in line with the Commission policy for decentralised agencies.

The evaluation further concluded that EEA has proven to be reliable in providing the necessary information to support EU policy making and had adapted very well to new EU policy developments. The evaluation also noted that these accomplishments had been achieved against a backdrop of decreasing staff resources and increasing demand from the Commission to support new legislation on both environment and climate sides as well as support for Copernicus.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care

Agency privileges	Privileges granted to staff	
The Agency has diplomatic status	Since 1 st April 2017 Agency staff have the option to be registered either with Danish Protocol or with a full CPR in the Danish system. Senior management have full diplomatic status	Agency statutory staff receive education allowances in line with the Staff regulations
The Agency has exemption from VAT. The Agency pays the VAT on Danish invoices then claims it back from the Danish Protocol.	Externally recruited Agency staff can buy one car free of VAT and registration tax within a period of one year as from the date of taking up duties	No specific privileges. Agency staff have access to day care facilities within Denmark but this can be problematic for those staff who wish to or need to register via the Protocol Dept. rather than via the normal immigration services (thus obtaining a full 'CPR' number).

2.3.3 *European Chemicals Agency – ECHA*

The information on the Environmental directives and International conventions strand of ECHA is presented in paragraph 2.1.10.

2.4 Decentralised agencies of Heading 4 – Migration and Border Management

2.4.1 European Asylum Support Office – EASO

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Regulation (EU) No 439/2010 of the European Parliament and of the Council establishing a European Asylum Support Office	19 May 2010	EASO's mission is to contribute to the implementation and development of the CEAS by providing support and facilitating, coordinating and strengthening practical cooperation among Member States as an independent centre of expertise on asylum. EASO's main tasks are: <ul style="list-style-type: none"> - providing practical and technical support to Member States and the EU Institutions; - providing operational support to Member States that have specific needs and to Member States subject to particular pressure on their asylum and reception systems caused by sudden and extra-ordinary situations of arrivals on their territory; and - providing scientific input for EU policymaking and legislation in all areas having a direct or indirect impact on asylum and migration.

1.2 Seat

Valetta (Malta)

1.3 Budget Line

10 10 01 : European Asylum Support Office (EASO)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	179	132	73,74%	231	231
Assistants (AST)	105	82	78,10%	135	135
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	284	214	75,35%	366	366
Contract Agents (CA)	95	72	75,79%	123	123
Seconded National Experts (SNE)	4	9	225,00%	11	11
TOTAL STAFF	383	295	77,02%	500	500

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	114 073 000	142 114 334
Other Revenue	0	0
TOTAL REVENUES	114 073 000	142 114 334

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020		2021	
	Revenues estimated by the agency		Budget Forecast	
TOTAL REVENUES	p.m.			

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	38 607 200	38 607 200	45 425 568	45 425 568
Title 2 - Infrastructure and operating expenditure	13 931 700	13 931 700	14 300 176	14 300 176
Title 3 - Operational expenditure	61 534 100	61 534 100	82 388 590	82 388 590
TOTAL EXPENDITURE	114 073 000	114 073 000	142 114 334	142 114 334

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1				1		1		1
AD 14				1						
AD 13		2				3		3		3
AD 12		4		3		5		6		5
AD 11		2		2		3		4		3
AD 10		15		5		16		18		16
AD 9		15		4		22		24		22
AD 8		41		21		58		63		58
AD 7		57		29		70		75		70
AD 6		19		26		30		40		35
AD 5		23		41		23		20		18
AD TOTAL		179		132		231		254		231
AST 11										
AST 10										
AST 9										
AST 8										
AST 7										
AST 6						4		4		4
AST 5		10		2		18		20		18

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 4		40		27		49		53		49
AST 3		45		39		55		61		55
AST 2		8		1		9		11		9
AST 1		2		13						
AST TOTAL		105		82		135		149		135
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		284		214		366		403		366
GRAND TOTAL		284		214		366		403		366

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	49	32	64	64
Function Group III	36	28	49	48
Function Group II	10	12	10	11
Function Group I				
TOTAL	95	72	123	123

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	4	9	11	11

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues
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	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	96 686 000	114 073 000	142 114 334	142 114 334	24,58%
<i>- Of which assigned revenues deriving from previous years' surpluses</i>	2 653 157	5 745 581		4 303 620	-25,10%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	5 331 003	p.m.			
<i>- Of which EEA/EFTA (excl. Switzerland)</i>	5 331 003	p.m.			
<i>- Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS	919 913	p.m.			
5 ADMINISTRATIVE OPERATIONS					
<i>- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	102 936 916	114 073 000	142 114 334	142 114 334	24,58%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)	919 913	p.m.			
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL	919 913	p.m.			

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	24 816 896	38 607 200	45 425 568	45 425 568	17,66%
Salaries & allowances	18 029 440	32 156 600	39 373 398	39 373 398	22,44%
<i>- Of which establishment plan posts</i>	14 280 637	26 202 100	31 108 163	31 108 163	18,72%
<i>- Of which external personnel</i>	3 748 803	5 954 500	8 265 235	8 265 235	38,81%
Expenditure relating to Staff recruitment	714 460	897 600	624 320	624 320	-30,45%
Employer's pension contributions					
Mission expenses	466 723	650 000	669 500	669 500	3,00%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Socio-medical infrastructure	1 838 077	2 290 000	2 210 000	2 210 000	-3,49%
Training	492 995	730 000	751 900	751 900	3,00%
External Services	3 273 249	1 873 000	1 786 150	1 786 150	-4,64%
Receptions, events and representation	1 952	10 000	10 300	10 300	3,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	12 077 824	13 931 700	14 300 176	14 300 176	2,64%
Rental of buildings and associated costs	6 112 703	6 740 000	6 535 000	6 535 000	-3,04%
Information, communication technology and data processing	3 877 291	4 561 700	5 056 476	5 056 476	10,85%
Movable property and associated costs					
Current administrative expenditure	2 087 830	2 630 000	2 708 700	2 708 700	2,99%
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	55 167 741	61 534 100	82 388 590	82 388 590	33,89%
Information, Analysis and Knowledge Development	2 329 305	2 405 852	3 610 000	3 610 000	50,05%
Support for MS practical cooperation	5 593 165	8 284 786	9 823 236	9 823 236	18,57%
Operational support	46 928 723	50 321 358	68 361 875	68 361 875	35,85%
Cooperation with civil society and stakeholders	316 548	522 104	593 479	593 479	13,67%
EUAA monitoring of application of the CEAS					
Protection of fundamental rights					
TOTAL	92 062 461	114 073 000	142 114 334	142 114 334	24,58%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	22 866 865	38 607 200	45 425 568	45 425 568	17,66%
Salaries & allowances	18 029 440	32 156 600	39 373 398	39 373 398	22,44%
- Of which establishment plan posts	14 280 637	26 202 100	31 108 163	31 108 163	18,72%
- Of which external personnel	3 748 803	5 954 500	8 265 235	8 265 235	38,81%
Expenditure relating to Staff recruitment	573 987	897 600	624 320	624 320	-30,45%
Employer's pension contributions					

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Mission expenses	376 515	650 000	669 500	669 500	3,00%
Socio-medical infrastructure	1 578 869	2 290 000	2 210 000	2 210 000	-3,49%
Training	238 995	730 000	751 900	751 900	3,00%
External Services	2 067 108	1 873 000	1 786 150	1 786 150	-4,64%
Receptions, events and representation	1 951	10 000	10 300	10 300	3,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	7 883 835	13 931 700	14 300 176	14 300 176	2,64%
Rental of buildings and associated costs	4 862 330	6 740 000	6 535 000	6 535 000	-3,04%
Information, communication technology and data processing	1 514 963	4 561 700	5 056 476	5 056 476	10,85%
Movable property and associated costs					
Current administrative expenditure	1 506 542	2 630 000	2 708 700	2 708 700	2,99%
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	56 130 199	61 534 100	82 388 590	82 388 590	33,89%
Information, Analysis and Knowledge Development	2 518 627	2 405 852	3 610 000	3 610 000	50,05%
Support for MS practical cooperation	4 740 562	8 284 786	9 823 236	9 823 236	18,57%
Operational support	48 578 971	50 321 358	68 361 875	68 361 875	35,85%
Cooperation with civil society and stakeholders	292 039	522 104	593 479	593 479	13,67%
EUAA monitoring of application of the CEAS					
Protection of fundamental rights					
TOTAL	86 880 899	114 073 000	142 114 334	142 114 334	24,58%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue):

EUR 4 303 620.32 .

4 Justification of needs

Commission assessment

Human Resources

The Commission does not support the Agency's request for 50 additional staff in the establishment plan, as all staff numbers are to remain stable in 2021, unless an increase request is supported by a corresponding new legislative financial statement.

Financial Resources

The Agency has requested an EU contribution of EUR 142 114 334.

The Commission supports the Agency in the request for increased funding in 2021 to reflect the planned increased levels of operational activities, particularly in the Member States most affected by migratory pressures, as well as the preparatory activities for the new and expanded mandate being implemented ahead of the pending adoption of the new Regulation (EUAA). The Commission proposal takes into account half of the projected budget increase of the new Regulation which is pending adoption.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

Number of staff requested for 2021 is 550.

4.1.2 Vacancy rate as of end 2019

The vacancy as of end of 2019 for total staff is 24.36%

This takes into consideration 11 SNE positions (instead of 4 shown in point 2.2.2) as they were included in the Legislative Financial Statement for Amended Proposal for a Regulation of the European Parliament and of the Council on the European Union Agency for Asylum and repealing Regulation (EU) No 439/2010 (COM(2018)64).

4.1.3 Standard abatement ('abatement forfaitaire') applied

4.1.4 Salary assumption for calculating salary line (% applied)

4.1.5 Correction coefficient used

92%

4.1.6 Exchange rate used (if applicable)

4.2 Financial Resources - Agency request

4.2.1 Title 1

As the Agency's mandate and tasks are expanding, it envisages that in the period 2020 to 2021 the staff will increase in line with the EUAA legislative financial statement. Additional staff are required to deliver on EASO's existing tasks requested of the agency by the relevant EU institutions, as well as to cater for additional tasks in the EUAA proposal.

In the coming years, the Agency will continue to identify and implement improvements to its systems and procedures.

The Agency estimates that by 2021 the total budget could reach EUR 142.1 million. This would enable the Agency to fulfil the new mandate and tasks entrusted to it by the European Union. The EU contribution will be proportionally complemented by the one due from Associated countries: the Principality of Liechtenstein, the Kingdom of Norway and the Swiss Confederation. The Agency may also be managing resources stemming from grants signed with other entities to continue existing projects or start new ones.

EASO will work closely with the Commission to evaluate any additional budget needs for the coming years, as the budgets for 2021 and 2022 are needs-based and based on the Agency's current mandate, and are therefore subject to a

revision. The following table shows the expected evolution of the budget in the period 2019 to 2022 according to the Agency's actual financial needs.

Title	Expenditure type (EU contribution C1 + Associate Countries contribution R0)	2019 (€)	2020 (€)	2021 (€)	2022 (€)
1	Staff expenditure	27,285,300	38,607,200	45,425,568	46,184,525
2	Infrastructure and operating expenditure	12,897,200	13,931,700	14,300,176	13,482,681
3	Operational expenditure	61,834,503	61,534,100	82,388,590	84,860,248
Total expenditure		102,017,003	114,073,000	142,114,334	144,527,454

4.2.2 Title 2

4.2.3 Title 3

A major operational expense on Title 3 of the Agency's budget is the provision of experts for asylum support teams deployed in the operational hotspots, as well as potential deployments in migration management support teams. The resources engaged by the Agency include Member State experts and individual experts nominated by Member States, as well as interpreters, cultural mediators, interim caseworkers and interim support staff engaged from service providers by means of framework contracts. The successful implementation and sustainability of the new fully-fledged Agency will depend on the availability of the required resources

4.3 Ad hoc grants and delegation agreements

On 20 December 2018, EASO signed together with DG NEAR the Grant Contract for the implementation of the "Regional Support to protection-sensitive migration management in the Western Balkans and Turkey, IPA Phase II, Contract 3". The total eligible cost is of EUR 1,475,500 with an implementation period of 24 months beginning on 1st July 2019. The first pre-financing amounting EUR 742,040.50 was received on 24 January 2019. EASO is planning to request the second pre-financing in Q3 2020.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	EASO premises	Xatt 1-Ghassara tal-Gheneb (Winemakers Wharf), Valletta Harbour, Malta	9 208	3 082	12 290	2 069 356	19 June 2011 - 18 June 2020, possible extension mutual consent of 3 years each	Administrative agreement	The Maltese Government gave support in kind to the value of circa €500,000.	
2	Operational office in Rome, Italy	Via IV Novembre, Rome	540		540	260 346	March 2016 – 30 April 2022			
3	Operational office in Athens, Greece	Office on El. Venizelou (Panepistimiou) Street, Athens	1 342		1 342	144 728	1 February 2017-31 January 2020			

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
4	Operational office in Nicosia, Cyprus	4th floor, of Cronos Court, 66 Archbishop Makariou III Avenue, Nicosia, Cyprus	303		303	48 000	12 months non-renewable			
5	Liaison office in Brussels, Belgium	Office on Avenue d'Auderghem, Brussels	42		42	9 857				
TOTAL			11 435	3 082	14 517	2 532 287				

5.1.2 Current building(s) Other comments

Headquarters in Malta

The principal building project in the execution phase relates to the Agency's headquarters extension in Valletta Harbour, Malta. In view of the expanding role of the Agency and increase in staff, the Agency's building strategy was to acquire additional office space within its current location in close collaboration with Transport Malta and the Government of Malta, which are the co-owners of the building.

Following approvals granted by Council and European Parliament in May 2016, the Agency extended its office space in the same office complex. Currently, necessary refurbishment of Block B is underway (end by Q4 2020).

Mobile and fixed office space (non-administrative appropriations)

The Agency has put in place mobile offices (containers) in Italy and in Greece for the Agency staff in the hotspots. In 2017, the Agency signed a lease for 600 sqm of office space on the island of Lesbos to improve the working conditions and safety of staff and experts in the hotspots and to provide much-needed additional space.

Office space has also been leased in Nicosia in 2017, for use as working space for the Agency staff, experts, interim staff and interpreters deployed by the Agency in Cyprus. In December 2019 the Agency launched a new procedure for the office space. The contract for a lease of facilities and ancillary services was signed on 12 December 2019 for a period of 12 months (non-renewable).

5.1.3 Building projects in the planning phase

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 European Schools

The Agency needs to attract, engage and retain staff of the highest standards of ability, efficiency and integrity, recruited on the broadest possible geographical basis from among nationals of EU Member States and associate countries. Statutory staff members of EU institutions, including some EU agencies, enjoy free access to European schools under the condition that they have a contract of at least one year. However, there are no European schools in Malta. The Agency considers it necessary to support its statutory staff members whose children attend fee-paying private/international schools while in active employment. In this respect, the Management Board adopted in August 2016 two Decisions regarding the pre-school and school costs reimbursement enabling the Agency to conclude service contracts with childcare facilities and private/international schools not only in Malta but also in other places of assignment. Pre-school and school attendance is therefore considered as cost-free for children of the Agency's statutory staff. End 2017, the Agency had ten service level agreements in place with education establishments offering pre-school care and six agreements with primary and secondary schools in Malta. In addition, two agreements were signed in other places of employment of the Agency staff other than Malta (Warsaw and Athens).

5.3 Evaluation

The last independent external evaluation, covering the period since the establishment of the Office in 2010, was conducted between October 2014 and July 2015. Based on the findings, an action plan was developed and presented to the EASO Management Board in June 2016. The next five-year evaluation would have been due in 2019 but has not been carried out in view of the issuing of the proposal for a new Regulation for the agency. The first evaluation of the EUAA will be due no later than three years from the entry into force of the Regulation, and every five years thereafter.

5.4 Privileges and immunities

The Seat Agreement between the Government of Malta and the former EASO was signed in 2011. The agreement describes the privileges and immunities that the Agency's statutory staff benefit from. The main advantages are VAT-exempted purchases, the details of which are available in the document published in the following link:

<https://www.easo.europa.eu/sites/default/files/EASO%20SEAT%20AGREEMENT%20EN%20and%20MT.pdf>

The Seat Agreement continues to apply to the EUAA.

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Regulation (EU) 2019/1896 of the European Parliament and of the Council of 13 November 2019 on the European Border and Coast Guard and repealing Regulations (EU) No 1052/2013 and (EU) 2016/1624	13/11/2019	This regulation establishes a European Border and Coast Guard to ensure European integrated border management at the external borders with a view to managing those borders efficiently in full compliance with fundamental rights and to increasing the efficiency of the Union return policy.
Regulation (EU) 2018/1240 of the European Parliament and of the Council of 12 September 2018 establishing a European Travel Information and Authorisation System (ETIAS) and amending Regulations (EU) No 1077/2011, (EU) No 515/2014, (EU) 2016/399, (EU) 2016/1624 and (EU) 2017/2226 (OJ L 236, 19.9.2018, p. 1)	12/09/2018	This Regulation establishes a European Travel Information and Authorisation System (ETIAS) within which the ETIAS Central Unit will be part of Frontex. The ETIAS Central Unit should be responsible for verifying, in cases where the automated application process has reported a hit, whether the applicant's personal data correspond to the personal data of the person having triggered that hit. Where a hit is confirmed or where doubts remain, the ETIAS Central Unit should initiate the manual processing of the application. It should also carry out regular audits of the processing of applications and of the implementation of the ETIAS screening rules. It should furthermore be responsible for fulfilling a number of support tasks such as ensuring the necessary notifications are sent and providing information and support. It should be operational 24 hours a day, 7 days a week.
Regulation (EU) No 656/2014 establishing the rules for the surveillance of the external sea borders in the context of operational cooperation coordinated by Frontex	15/05/2014	In accordance with this Regulation: - Frontex must establish its operational plans for sea operations. - new elements for Frontex coordinated joint operations at sea, such as on the protection of fundamental rights, on interception, disembarkation and on SAR have been included.
Regulation (EU) No 1052/2013 establishing the European Border Surveillance System (Eurosir)	22/10/2013	Frontex shall assist to the development and operation of a European border surveillance system and a common information-sharing environment, including interoperability of systems, in particular by establishing, maintaining and coordinating the EUROSUR framework; establishing and maintaining the EUROSUR communication network, the European situational picture, the common pre-frontier intelligence picture and coordinating the application of surveillance tools. The Agency may also process personal data.

Reference acts

Regulation (EU) 2019/817 of the European Parliament and of the Council of 20 May 2019 on establishing a framework for interoperability between EU information systems in the field of borders and visa and amending Regulations (EC) No 767/2008, (EU) 2016/399, (EU) 2017/2226, (EU) 2018/1240, (EU) 2018/1726 and (EU) 2018/1861 of the European Parliament and of the Council and Council Decisions 2004/512/EC and 2008/633/JHA

1.2 Seat

Warsaw, Poland.

1.3 Budget Line

11 10 01 : European Border and Coast Guard Agency (Frontex)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	565	284	50,27%	525	525
Assistants (AST)	294	83	28,23%	525	525
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	859	367	42,72%	1050	1050
Contract Agents (CA)	577	199	34,49%	730	730
Seconded National Experts (SNE)	194	168	86,60%	220	220
TOTAL STAFF	1630	734	45,03%	2000	2000

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	428 160 041	575 156 884
Other Revenue	31 795 000	42 712 000
TOTAL REVENUES	459 955 041	617 868 884

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
Additional EU funding stemming from grant agreements (FFR Art.7)	p.m.	p.m.
Additional EU funding stemming from contribution agreements (FFR Art.7)	p.m.	p.m.
Additional EU funding stemming from service level agreements (FFR Art. 43.2)	p.m.	p.m.
TOTAL REVENUES	p.m.	p.m.

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	88 631 876	88 631 876	122 961 868	122 961 868
Title 2 - Infrastructure and operating expenditure	43 719 012	43 719 012	46 053 320	46 053 320
Title 3 - Operational expenditure	327 604 153	327 604 153	448 853 696	448 853 696
Title 4 - Earmarked Expenditure				
TOTAL EXPENDITURE	459 955 041	459 955 041	617 868 884	617 868 884

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1				1		1		1
AD 14		1		4		1		13		2
AD 13		7		6		11		20		15
AD 12		18		20		24		40		25
AD 11		28		23		35		60		33
AD 10		16		14		21		45		23
AD 9		29		20		34		80		58
AD 8		151		88		174		130		170
AD 7		126		69		122		70		106
AD 6		98		28		64		43		58
AD 5		90		12		38		23		34
AD TOTAL		565		284		525		525		525
AST 11										
AST 10								3		
AST 9				4				7		2
AST 8		5		9		5		12		6
AST 7		11		14		11		20		9
AST 6		25		6		16		40		18
AST 5		64		13		27		140		35
AST 4		101		34		463		303		453
AST 3		88		3		3				2
AST 2										
AST 1										
AST TOTAL		294		83		525		525		525
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		859		367		1050		1050		1050
GRAND TOTAL		859		367		1050		1050		1050

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	266	81	334	587
Function Group III	287	88	364	100
Function Group II	7	9	15	25
Function Group I	17	21	17	18
TOTAL	577	199	730	730

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	194	168	220	220

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	307 289 000	428 160 041	575 156 884	575 156 884	34,33%
- Of which assigned revenues deriving from previous years' surpluses		16 339 012	8 207 263	8 207 263	-49,77%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	22 818 000	31 795 000	42 712 000	42 712 000	34,34%
- Of which EEA/EFTA (excl. Switzerland)	22 818 000	31 795 000	42 712 000	42 712 000	34,34%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	330 107 000	459 955 041	617 868 884	617 868 884	34,33%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)	4 111 516	p.m.		p.m.	
Additional EU funding stemming from contribution agreements (FFR Art.7)	6 673 261	p.m.		p.m.	
Additional EU funding stemming from service level agreements (FFR Art. 43.2)		p.m.		p.m.	
TOTAL	10 784 777	p.m.		p.m.	

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	49 732 100	88 631 876	122 961 868	122 961 868	38,73%
Salaries & allowances	46 438 575	80 175 000	113 063 118	113 063 118	41,02%
- Of which establishment plan posts	30 049 874	51 675 000	72 608 623	72 608 623	40,51%
- Of which external personnel	16 388 701	28 500 000	40 454 495	40 454 495	41,95%
Expenditure relating to Staff recruitment	616 142	2 100 000	2 500 000	2 500 000	19,05%
Employer's pension contributions					
Mission expenses	622 598	1 036 876	1 125 000	1 125 000	8,50%
Socio-medical infrastructure	60 000	300 000	500 000	500 000	66,67%
Training	662 667	1 100 000	2 000 000	2 000 000	81,82%
External Services	1 332 118	3 400 000	3 253 750	3 253 750	-4,30%
Receptions, events and representation					
Social welfare		520 000	520 000	520 000	0,00%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	30 268 302	43 719 012	46 053 320	46 053 320	5,34%
Rental of buildings and associated costs	9 543 582	17 076 000	17 417 520	17 417 520	2,00%
Information, communication technology and data processing	14 782 079	17 515 012	20 800 000	20 800 000	18,76%
Movable property and associated costs	1 464 442	1 320 000	452 000	452 000	-65,76%
Current administrative expenditure	2 236 408	4 032 000	3 926 000	3 926 000	-2,63%
Postage / Telecommunications	174 700	350 000	501 600	501 600	43,31%
Meeting expenses	1 124 827	2 100 000	1 630 200	1 630 200	-22,37%
Running costs in connection with operational activities					
Information and publishing	942 264	1 326 000	1 326 000	1 326 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	249 570 467	327 604 153	448 853 696	448 853 696	37,01%
European Standing Corps	61 723 027	89 908 240	193 800 000	193 800 000	115,55%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Agency equipment (own and MS)	85 739 132	100 319 945	100 828 395	100 828 395	0,51%
Return activities	66 201 058	67 879 704	90 000 000	90 000 000	32,59%
Information and data analytics	10 228 140	22 707 012	23 302 400	23 302 400	2,62%
Fundamental rights activities	264 167	1 000 000	1 280 000	1 280 000	28,00%
Strengthening capacities	10 769 030	13 123 373	6 400 000	6 400 000	-51,23%
Special projects	2 332 293	15 800 000	16 666 333	16 666 333	5,48%
Horizontal operational support	12 313 620	11 645 704	9 600 000	9 600 000	-17,57%
Operational reserve (art.115(14))		5 220 175	6 976 568	6 976 568	33,65%
Title 4 - Earmarked Expenditure					
External Relations					
Copernicus					
TOTAL	329 570 869	459 955 041	617 868 884	617 868 884	34,33%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	48 763 643	88 631 876	122 961 868	122 961 868	38,73%
Salaries & allowances	46 415 332	80 175 000	113 063 118	113 063 118	41,02%
- Of which establishment plan posts	30 049 874	51 675 000	72 608 623	72 608 623	40,51%
- Of which external personnel	16 365 458	28 500 000	40 454 495	40 454 495	41,95%
Expenditure relating to Staff recruitment	445 504	2 100 000	2 500 000	2 500 000	19,05%
Employer's pension contributions					
Mission expenses	471 701	1 036 876	1 125 000	1 125 000	8,50%
Socio-medical infrastructure	29 260	300 000	500 000	500 000	66,67%
Training	405 228	1 100 000	2 000 000	2 000 000	81,82%
External Services	996 618	3 400 000	3 253 750	3 253 750	-4,30%
Receptions, events and representation					
Social welfare		520 000	520 000	520 000	0,00%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	19 233 544	43 719 012	46 053 320	46 053 320	5,34%
Rental of buildings and associated costs	8 947 774	17 076 000	17 417 520	17 417 520	2,00%
Information, communication technology and data processing	6 748 333	17 515 012	20 800 000	20 800 000	18,76%
Movable property and associated costs	626 173	1 320 000	452 000	452 000	-65,76%
Current administrative expenditure	1 234 984	4 032 000	3 926 000	3 926 000	-2,63%
Postage / Telecommunications	132 533	350 000	501 600	501 600	43,31%
Meeting expenses	1 002 673	2 100 000	1 630 200	1 630 200	-22,37%
Running costs in connection with operational activities					

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Information and publishing	541 074	1 326 000	1 326 000	1 326 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	160 212 083	327 604 153	448 853 696	448 853 696	37,01%
European Standing Corps	38 290 346	89 908 240	193 800 000	193 800 000	115,55%
Agency equipment (own and MS)	51 798 358	100 319 945	100 828 395	100 828 395	0,51%
Return activities	49 694 079	67 879 704	90 000 000	90 000 000	32,59%
Information and data analytics	5 244 258	22 707 012	23 302 400	23 302 400	2,62%
Fundamental rights activities	115 789	1 000 000	1 280 000	1 280 000	28,00%
Strengthening capacities	6 242 717	13 123 373	6 400 000	6 400 000	-51,23%
Special projects	201 295	15 800 000	16 666 333	16 666 333	5,48%
Horizontal operational support	8 625 241	11 645 704	9 600 000	9 600 000	-17,57%
Operational reserve (art.115(14))		5 220 175	6 976 568	6 976 568	33,65%
Title 4 - Earmarked Expenditure					
External Relations					
Copernicus					
TOTAL	228 209 270	459 955 041	617 868 884	617 868 884	34,33%

3.3 Budget Outturn

First estimate of the 2019 surplus to be reimbursed to the EU budget (as assigned revenue): EUR 8 207 263.

4 Justification of needs

Commission assessment

Regulation EU 2019/1896 entered into force on 4 December 2019. Its operationalisation is a top EU priority, in particular reaching the full readiness of the European Border and Coast Guard Standing Corps for its first deployment on 1 January 2021. The corps is expected to reach its full capacity of 10 000 officers in coming years.

Human Resources

The human resources are in line with the revised LFS of April 2019. This LFS also includes the posts foreseen in the LFS of the Commission Proposal (COM(2016)731) of the ETIAS Regulation (EU) 2018/1240.

In full accordance with the above, the level of temporary agents, contract agents and seconded national experts, remains stable in comparison with 2020. Therefore, the Commission supports a total of 1050 (525 AD and 525 AST) temporary agents in the Establishment plan of 2021, which also include the staff foreseen in the ETIAS Regulation.

The Commission supports a total 730 contract agents and 220 SNEs for 2021.

The low occupancy rate can be explained by the fact that 750 additional posts (375 TA and 375 CA posts) for the standing corps (Category 1) were allocated to the Agency in 2019 while the recruitments could not materialize in 2019. Following the call for interest in Q3 2019, the selection procedures are ongoing with a view to recruiting in spring 2020. The Commission considers the proposed reclassification of existing staff excessive and has therefore ensured that the Commission proposal is in line with expected upgrades in the Establishment plan according to the Staff Regulations.

Financial Resources

The Commission proposes an EU Contribution of EUR 575 156 884 million, in accordance with the Commission MFF 2021- 2027 proposal of 27 May 2020.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

Based on the Regulation (EU) 2019/1896 that foresees the setting up of the European Border and Coast Guard Standing Corps during the period 2020-2027, Frontex is requesting for the year 2021 the overall total number of 2,000 staff (as foreseen in the Legislative Financial Statement COM(2018)631 final). According to the LFS, the total number of staff for the year 2021 is equivalent to the total number of staff for the year 2020, therefore no additional posts are requested compared to the year before.

4.1.2 Vacancy rate as of end 2019

The vacancy rate on 31 December 2019 was 24% for temporary staff (117 vacant posts out of 484 allocated posts), 9 % for contract agents (18 vacant posts out of 217 posts) and 13% for seconded national expert (26 vacant posts out of 194 posts).

4.1.3 Standard abatement ('abatement forfaitaire') applied

n/a

4.1.4 Salary assumption for calculating salary line (% applied)

4.1.5 Correction coefficient used

In 2019: 68,6% - In 2020: 71,1%

4.1.6 Exchange rate used (if applicable)

In 2019: 4,3631 - In 2020: 4,2515

4.2 Financial Resources - Agency request

4.2.1 Title 1

Title 1 is intended to finance expenses in relation to staff related expenditure, including progressive on-boarding of standing corps according to the new mandate of the Agency. The budget foreseen amounts to EUR 122.96m. This is an increase compared to 2020 budget.

4.2.2 Title 2

Title 2 is intended to finance expenses in relation to administrative expenditure. The budget foreseen amounts to EUR 46.1m. This is an increase compared to 2020 budget.

4.2.3 Title 3

Title 3 is intended to finance expenses in relation to the operational activities, including standing corps related deployment costs and training, the financial compensation for Member States, return operations, acquisition of equipment. These amounts were adjusted considering the cut in the 2021 budget compared to the initial planning (legislative financial statement COM (2018) 631 rev 22.05.2019). The budget foreseen amounts to EUR 449m. This is an increase compared to 2020.

4.3 Ad hoc grants and delegation agreements

Grant agreement “Strengthening of Africa – Frontex Intelligence Community (AFIC) in the fight against organised crime and the smuggling of migrants” signed with EC (DG DEVCO) on the 10 August 2017; budget of up to EUR 4.0m for three years starting in September 2017.

Grant agreement “IPA II (Phase 2) (Regional Support to Protection-Sensitive Migration Management in the Western Balkans and Turkey – Phase II) total budget EUR 3.4m, implementation period of 24 months from 1 July 2019 to 30 June 2021.

Grant agreement “EU4BS” (enhance border security in the Southern Neighbourhood, by fostering bilateral and regional co-operation) signed on the 1 December 2018; total budget of EUR 4m, implementation period of 36 months from 1 December 2018 until 31 November 2021.

Delegation Agreement on “Copernicus 2015-2020” with the European Commission, represented by DG GROW, signed on 10 November 2015, entrusting Frontex the service component implementation tasks, in line with Regulation (EU) 377/2014 establishing the Copernicus Programme. The indicative budget amounts to EUR 47.6m, implemented until 31 December 2020.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Warsaw Spire, office space (HQ)	Warsaw	20 473	696	21 169	7 889 107	Until 31/12/2024	Lease agreement	N/A	
2	Wronia 31, office space (HQ)	Warsaw	4 157	135	4 292	1 429 669	Until 31/12/2024	Lease agreement	N/A	
3	CCE, office space	Brussels	151		151	43 752	Until 31/12/2020	Lease agreement	n/A	
4	HCG tower, office space (EURTF)	Piraeus	460	275	735		N/A	N/A Memorandum of Understanding, Seat Agreement	Greece	
5	Part of building, office space (EURTF)	Catania	550	50	600		Until 21/11/2021	Free Loan Agreement	Municipality of Catania	
6	Delegation of EU to Turkey, office space (FLO)	Ankara	17	10	27	16 224	N/A	Administrative Arrangement	N/A	
7	Delegation of the EU to the Republic of Niger, office Space (FLO)	Niamey	60	12	72	31 584	N/A	Administrative Arrangement	N/A	
8	Delegation of the European Union to the Republic of Serbia, office space (FLO)	Belgrade	26	4	30	9 780	N/A	Administrative Arrangement	N/A	
9	Office space (FLO)	Sofia	16		16	3 650	12/06/2019	Memorandum of Understanding Financial arrangement	Bulgaria	
10	Office space (FLO)	Budapest	12		12		N/A	Memorandum of Understanding	Hungary	
11	Office space (FLO)	Stockholm	9		9		N/A	Memorandum of Understanding	Sweden	
12	Office space (FLO)	Bratislava	17		17		N/A	Memorandum of Understanding	Slovakia	

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
13	Office Space (FLO)	Potsdam	22		22		N/A	Cooperation agreement	Germany	
14	Office Space (FLO)	Paris	15		15		N/A	Administrative arrangement	France	
15	Office Space (FLO)	Rome	11		11		N/A	Memorandum of understanding	Italy	
16	Office Space (FLO)	Tallin	13		13		N/A	Memorandum of understanding	Estonia	
TOTAL			26 009	1 182	27 191		9 423 766			

5.1.2 Current building(s) Other comments

Newly adopted Regulation (EU) 2019/1896 of 13 November 2019 on the European Border and Coast Guard foresees further enhancement of Agency's mandate and scope of operations and necessary staff growth, which will have an impact on the office space, resulting in increased expenditure for building-related appropriations.

At the beginning of 2020 Frontex leases for its headquarters a total of 25,461.48 square meters in two buildings: building B of the Warsaw Spire complex and the neighbouring building Wronia 31. Additional premises are used by EURTF and Frontex liaisons officers (FLOs) in several countries. Most of the surface is office space (including meeting areas); non-office space consists of storages, corridors and common parts.

5.1.3 Building projects in the planning phase

On 13 May 2019 the Polish Ministry of the Interior and Administration handed over the land area on Raclawicka Street 132b cleaned, cleared and prepared for the Agency for the purpose of constructing (a) building(s) serving as Frontex Headquarters. The Agency will plan, design and construct, at its own cost, its headquarters building(s) on this land area in accordance with the Polish law and regulations. A project management structure has been set-up by establishing a Task Force Permanent Premises including proper governance structure involving Agency staff, its management and the management board. Currently the Agency is undertaking preparatory activities. Following their outcome Frontex intends to inform the Budgetary Authority about the building surface area required and the provisional planning of the implementation process in line with art 266.2 of the Financial Regulation during Q4 2020 at the earliest.

A preliminary Frontex Real Estate Strategy 2019-2024 was prepared based on scenario planning results in the need of additional office space for ETIAS Central Unit by mid-2021.

5.1.4 Building projects submitted to the European Parliament and the Council

An Early Information Note has been sent to the Budgetary Authority on 18 December 2019 (ref: BUILD/PECH/13504/2019) informing about the prospection of the market to rent an office building of about 5.250sqm GFA for the ETIAS Central Unit and as Frontex Alternative Office Facility. Request for approval by the Budgetary Authority is expected by end of Q3 2020 at the earliest.

5.2 European Schools

The Headquarter Agreement from 1st November 2017 between Frontex and Republic of Poland foresees that the Polish government shall ensure the establishment of a European school or accredited European school in Warsaw with a view to provide multilingual European oriented schooling for all children of Frontex staff. The Ministry of Education has launched a procedure for the accreditation of a school situated in Warsaw as European School.

It is planned that the accredited European School Warsaw will open in September 2020 (the accreditation process is to be finalised in April 2020). Based on the statistical forecast, there may be around 160 pupils enrolled for the school year 2020/2021 and around 175 for the school year 2021/2022. The real figures will depend on the number of pupils that will actually enrol.

5.3 Evaluation

Since Frontex was set up, two external evaluations have been undertaken, one in 2009 and one in 2015. Both have centred on stakeholder and staff views of the efficiency and effectiveness of the agency rather than on quantitative data on performance. Overall, both evaluations concluded that Frontex had successfully achieved its remit. The 2015 evaluation, covering the period from 2008 to 2014, concluded that overall Frontex was operating effectively and highlighted its coordinating role in Joint Operations and Returns. The findings of the last evaluation report were made public: http://frontex.europa.eu/assets/Publications/General/Final_Report_on_External_Evaluation_of_Frontex.pdf

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
<p>The Headquarters agreement between the Republic of Poland and Frontex has been signed on 9 March 2017 and entered into force on 1st November 2017.</p>	<p>The HQ Agreement grants the following expatriate privileges for non-Polish nor Polish permanent resident staff members:</p> <ul style="list-style-type: none"> - Newcomers: tax and duty free transfer of resettlement property to Poland. - Newcomers: installation incentive - VAT reimbursement (up to a threshold) for purchasing furniture and household articles (valid 12 months during the first 2 years of employment). - All staff: VAT and excise tax (cars only) reimbursement when purchasing a motor-vehicle (maximum 1 vehicle every 3 years). <p>HQ Agreement privileges equally apply to all expatriate staff members - to statutory staff (TAs, CAs) and SNEs - regardless of their grading or type of performed function.</p> <p>Under the HQA Frontex staff members enjoy special status and related to it jurisdictional immunity as regards all acts performed in their official capacity. There is a group of staff who, according to Article 12(2) and Annex II of the HQ Agreement enjoys diplomatic status in Poland as per Vienna Convention on Diplomatic Relations of 18 April 1961.</p> <p>Polish citizens and permanent residents in Poland are excluded from the expatriate privileges and from the diplomatic status.</p> <p>Frontex staff members are exempted from any formalities for the registration of aliens. They are also exempted from national taxes on salaries, wages and emoluments as well as from compulsory contribution to the national social security system.</p> <p>Without prejudice to the provisions of this Agreement, Protocol No 7, and other relevant European Union law, the Agency and its staff shall respect the law of the Republic of Poland in line with Article 41 paragraph 1 of the Vienna Convention on Diplomatic Relations of 18 April 1961.</p>	<p>Polish Government reimburses the schooling costs for non Polish staff, for some staff members with a ceiling, for others not. In the HQ Agreement, the Polish party committed in addition to undertake concrete steps to set up an accredited European school. (see before)</p>

2.4.3 *European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice – EU-LISA*

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Regulation (EU) 2018/1726 of the European Parliament and of the Council on the European Union Agency for the Operational Management of Large-Scale IT Systems in the Area of Freedom, Security and Justice (eu-LISA), and amending Regulation (EC) No 1987/2006 and Council Decision 2007/533/JHA and repealing Regulation (EU) No 1077/2011	14 November 2018	Operational management of SIS II, VIS and Eurodac IT systems; supervision, security and coordination of relations between the Member States and the provider; monitoring, reporting and statistics related to these systems; training on the technical use of these systems and training of experts on the technical aspects of SIS II in the framework of Schengen evaluation; preparation, development, operational management of new large-scale information systems (EES, ETIAS) and training on the technical use of these systems; monitoring of research; carrying out of pilot schemes (upon Commission's request).

1.2 Seat

The seat of the Agency is in Tallinn, Estonia. The development and operational management of IT systems are carried out in Strasbourg, France (technical site). A backup site is installed in Sankt Johann im Pongau, Austria.

1.3 Budget Line

11 10 02 : European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice ('eu-LISA')

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	129	112	86,82%	149	160
Assistants (AST)	43	42	97,67%	53	53
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	172	154	89,53%	202	213
Contract Agents (CA)	88	61	69,32%	111	132
Seconded National Experts (SNE)	11	8	72,73%	11	11
TOTAL STAFF	271	223	82,29%	324	356

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	196 967 000	221 153 000
Other Revenue	0	0
TOTAL REVENUES	196 967 000	221 153 000

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
Additional EU funding stemming from grant agreements (FFR Art.7)		p.m.
Additional EU funding stemming from contribution agreements (FFR Art.7)		p.m.
Additional EU funding stemming from service level agreements (FFR Art. 43.2)		p.m.
TOTAL REVENUES		p.m.

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	36 798 000	36 798 000	39 844 000	39 844 000
Title 2 - Infrastructure and operating expenditure	14 465 000	14 465 000	15 714 000	15 714 000
Title 3 - Operational expenditure	189 859 000	145 704 000	173 920 000	165 595 000
TOTAL EXPENDITURE	241 122 000	196 967 000	229 478 000	221 153 000

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1		1		1
AD 14		1		1		1		1		1
AD 13		3		1		3		3		3
AD 12		4		3		4		4		4
AD 11		5		1		5		7		7
AD 10		8		7		8		10		10
AD 9		16		14		16		16		16
AD 8		17		12		17		26		26
AD 7		31		37		32		23		23
AD 6		14		6		15		26		26
AD 5		29		29		47		43		43
AD TOTAL		129		112		149		160		160
AST 11										
AST 10										
AST 9		1		1		1		1		1

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 8		2		2		2		3		3
AST 7		4		4		4		4		4
AST 6		9		5		9		12		12
AST 5		12		14		12		12		12
AST 4		12		11		12		10		10
AST 3		3		5		13		11		11
AST 2										
AST 1										
AST TOTAL		43		42		53		53		53
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		172		154		202		213		213
GRAND TOTAL		172		154		202		213		213

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	81	42	71	80
Function Group III	5	19	38	50
Function Group II	2		2	2
Function Group I				
TOTAL	88	61	111	132

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	11	8	11	11

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	138 062 900	196 967 000	232 436 400	221 153 000	12,28%
- Of which assigned revenues deriving from previous years' surpluses	1 341 491	920 267	1 657 575	1 657 575	80,12%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	2 242 936				
- Of which EEA/EFTA (excl. Switzerland)	2 242 936				
- Of which candidate countries					
4 OTHER CONTRIBUTIONS	52 475				
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	140 358 311	196 967 000	232 436 400	221 153 000	12,28%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)				p.m.	
Additional EU funding stemming from contribution agreements (FFR Art.7)				p.m.	
Additional EU funding stemming from service level agreements (FFR Art. 43.2)				p.m.	
TOTAL				p.m.	

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	21 530 079	36 798 000	40 344 000	39 844 000	8,28%
Salaries & allowances	19 071 984	34 799 688	34 844 000	34 344 000	-1,31%
- Of which establishment plan posts	15 149 618	25 400 688	22 329 567	22 329 567	-12,09%
- Of which external personnel	3 922 366	9 399 000	12 514 433	12 014 433	27,83%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Expenditure relating to Staff recruitment	299 514	379 523	926 000	926 000	143,99%
Employer's pension contributions					
Mission expenses	573 700	426 000	600 000	600 000	40,85%
Socio-medical infrastructure	998 490	640 229	2 541 000	2 541 000	296,89%
Training	586 391	552 560	1 433 000	1 433 000	159,34%
External Services					
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	14 659 227	14 465 000	26 997 400	15 714 000	8,63%
Rental of buildings and associated costs	1 664 262	1 043 000	13 353 400	2 070 000	98,47%
Information, communication technology and data processing	3 217 478	1 700 000	2 400 000	2 400 000	41,18%
Movable property and associated costs	885 765	246 000	289 000	289 000	17,48%
Current administrative expenditure	778 246	1 278 100	1 033 100	1 033 100	-19,17%
Postage / Telecommunications	29 999	40 000	36 000	36 000	-10,00%
Meeting expenses	366 309	970 000	520 400	520 400	-46,35%
Running costs in connection with operational activities					
Information and publishing	1 239 324	1 532 000	1 735 000	1 735 000	13,25%
Studies					
Other infrastructure and operating expenditure	6 477 844	7 655 900	7 630 500	7 630 500	-0,33%
Title 3 - Operational expenditure	94 476 498	189 859 000	205 282 000	173 920 000	-8,40%
Infrastructure	15 830 739	59 021 000	85 181 000	74 962 000	27,01%
Applications	71 727 640	123 110 000	107 254 000	86 111 000	-30,05%
Operational support activities	6 918 119	7 728 000	12 847 000	12 847 000	66,24%
Support to MS and EC					
TOTAL	130 665 804	241 122 000	272 623 400	229 478 000	-4,83%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	21 441 202	36 798 000	40 344 000	39 844 000	8,28%
Salaries & allowances	19 071 984	34 799 688	34 844 000	34 344 000	-1,31%
- Of which establishment plan posts	15 149 618	25 400 688	22 329 567	22 329 567	-12,09%
- Of which external personnel	3 922 366	9 399 000	12 514 433	12 014 433	27,83%
Expenditure relating to Staff recruitment	193 113	379 523	926 000	926 000	143,99%
Employer's pension contributions					

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Mission expenses	582 053	426 000	600 000	600 000	40,85%
Socio-medical infrastructure	969 428	640 229	2 541 000	2 541 000	296,89%
Training	624 624	552 560	1 433 000	1 433 000	159,34%
External Services					
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	9 870 767	14 465 000	26 997 400	15 714 000	8,63%
Rental of buildings and associated costs	1 095 630	1 043 000	13 353 400	2 070 000	98,47%
Information, communication technology and data processing	2 088 402	1 700 000	2 400 000	2 400 000	41,18%
Movable property and associated costs	279 718	246 000	289 000	289 000	17,48%
Current administrative expenditure	726 319	1 278 100	1 033 100	1 033 100	-19,17%
Postage / Telecommunications	26 105	40 000	36 000	36 000	-10,00%
Meeting expenses	177 580	970 000	520 400	520 400	-46,35%
Running costs in connection with operational activities					
Information and publishing	849 397	1 532 000	1 735 000	1 735 000	13,25%
Studies					
Other infrastructure and operating expenditure	4 627 616	7 655 900	7 630 500	7 630 500	-0,33%
Title 3 - Operational expenditure	103 212 512	145 704 000	165 095 000	165 595 000	13,65%
Infrastructure	26 878 248	51 243 000	68 170 000	68 170 000	33,03%
Applications	70 761 359	86 733 000	85 810 000	86 310 000	-0,49%
Operational support activities	5 572 905	7 728 000	11 115 000	11 115 000	43,83%
Support to MS and EC					
TOTAL	134 524 481	196 967 000	232 436 400	221 153 000	12,28%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 1,657,575.

4 Justification of needs

Commission assessment

Human Resources

The Commission supports 213 establishment posts as per the existing MFF and legislative financial statements (LFS) attached to the legal instruments regulating the Agency and the systems it manages. The Commission does not support the Agency's request for an additional 11 Contract Agents and 3 SNE's which were not foreseen in the LFS'.

Financial Resources

The Agency requested a budget of EUR 229 478 000 (Commitment Appropriations) and EUR 221 153 000 (Payment Appropriations) for 2021. The Commission supports this request, which reflects the appropriate level of appropriations required by the Agency to implement activities planned for 2021.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

The staff planning for 2021 includes additional staff for the tasks deriving from the new adopted Regulations, which have an impact on the work of the Agency and envisage further increase of the staff number in the coming years (e.g. on ETIAS and Interoperability between the European systems), and the Commission proposals for the Regulations awaiting their adoption (e.g. on VIS). These resources cover mainly the direct operational posts and the necessary resources for contract management. The request also includes 2 TA posts granted in the establishment plan of eu-LISA in 2017 for EURODAC, for which the legal instrument has not been adopted to date.

Additionally, eu-LISA requests additional staff (11 CA) not listed in the Commission proposals for regulations, which are necessary to fulfil the tasks of the Agency in the years 2021-2023. In 2021 eu-LISA plans to increase the number of the SNEs from 11 to 14 posts in order to assure cooperation with the Members States. A request for such increase was presented to the Management Board of the Agency in March 2019.

An overview of the staff plan is summarized in a table:

2021 staff planning elements	TA	CA	SNE	Total
Baseline HR establishment plan (COM (2013) 519 final) and LFS for new eu-LISA Regulation (COM(2017) 352 final)	113	30	9	152
New eu-LISA Regulation (additional staff as in LFS) – adopted	23	27	2	52
LFS EES (development) – adopted -	14			14
LFS EES (operations) – following adoption of the 2020 budget	18			18
LFS ETIAS – adopted -	7	35		42
LFS SIS II Borders/LE and LFS SIS II returns - adopted		4		4
LFS for Interoperability of European Systems - subject to adoption of the respective legal instrument	32	26.5		58.5
LFS ECRIS		5		5
LFS EURODAC – planned in 2017, recruitment subject to adoption of the respective legal instrument	2			2
LFS VIS - recruitment subject to adoption of the respective legal instrument	4	5		9
Request of eu-LISA in PD 2021-2023 – additional staff necessary to perform the activities planned by the Agency		11	3	14
Total	213	143.5	14	370.5

4.1.2 Vacancy rate as of end 2019

A vacancy rate, calculated at the end of 2019, was 14.4% including the issued job offers (7,6% for TA, 28,4% for CA and 9,1% for SNE) and 17.7% for the staff in service (10,5% for TA, 30,7% for CA, 27,3% for SNE).

The main reason for such a level of vacancy rate was late adoption (in November and December 2018) of the Regulations on eu-LISA, ETIAS and SIS II, which affected the recruitment process for a large number of posts (around 100 staff to be recruited in 2019 for the additional posts and due to the staff turnover).

4.1.3 Standard abatement ('abatement forfaitaire') applied

Not applicable at eu-LISA.

4.1.4 Salary assumption for calculating salary line (% applied)

The calculation of the salary costs for the establishment plan posts are based on the PMO's data on the temporary and contract staff deployed in Tallinn, Strasbourg and Brussels, basic salary for grades and steps in 2019 or the initial grades for vacant posts, correction coefficients in Strasbourg and Tallinn in 2019, actual allowances paid in 2019 (family, expatriation, school, annual leave etc.) and expected reclassifications. The salary costs for external personnel are based on PMO's standard salary calculations and the data on entitlements for allowances in 2019.

4.1.5 Correction coefficient used

eu-LISA applies as of 1 July 2019 the following correction coefficient on the salaries for the posts assigned in Tallinn (83,3%), Strasbourg (117,7%) and Brussels (100%).

4.1.6 Exchange rate used (if applicable)

Not Applicable

4.2 Financial Resources - Agency request

4.2.1 Title 1

Total expenditures in Title 1 amount to EUR 40.344 million out of which EUR 1.21 million are conditional to the adoption of new Regulations giving new tasks to the Agency: EURODAC (EUR 0,268 million - proposal for a Regulation of the European Parliament and of the Council on the establishment of 'Eurodac' for the comparison of fingerprints for the effective application of [Regulation (EU) No 604/2013 establishing the criteria and mechanisms for determining the Member State responsible for examining an application for international protection lodged in one of the Member States by a third-country national or a stateless person], for identifying an illegally staying third-country national or stateless person and on requests for the comparison with Eurodac data by Member States' law enforcement authorities and Europol for law enforcement purposes (recast)) and EUR 0.942 MIO (Proposal for a Regulation of the European Parliament and of the Council amending Regulation (EC) No 767/2008, Regulation (EC) No 810/2009, Regulation (EU) 2017/2226, Regulation (EU) 2016/399, Regulation (EU) 2019/817 [Interoperability Regulation], and Decision 2004/512/EC and repealing Council Decision 2008/633/JHA.)

These resources cover mainly the direct operational posts and the necessary resources for contract management.

Staff costs in the approved establishment plan in Title 1 have been calculated taking into account actual costs (using historical data from 2019 PMO salary calculations) of the TAs deployed in Tallinn and Strasbourg. As regards approved external personnel appropriations, calculations are based on standard salary calculations provided by PMO and historical data concerning entitlements for allowances from 2019. Due to some major recruitment procedures linked to the new tasks received by the Agency as of 2019 and 2020 (Introduction of ETIAS, ECRIS, SIS II recast, Interoperability) the Agency includes an additional budget for new recruitments of EUR 0.926 million in the 2021 budget.

Mission expenses to cover for regular administrative missions for staff (mainly missions between Strasbourg, Tallinn and Brussels) have been estimated at EUR 0.600 million. Socio-Medical expenses will cover annual medical check-ups for staff, nursery allowance, costs of European Schools and welfare activities (EUR 2.451 million). The training costs cover learning and development activities on soft, administrative and managerial skills are projected at EUR 1.433 million.

4.2.2 Title 2

Total expenditure in Title 2 amounts to EUR 15,714 million.

Approximately EUR 2.07 million will be used for running costs of the Agency's premises:

- EUR 2.0 million for running costs of expenditure for the premises in Tallinn and Strasbourg. In addition, the Agency explored in 2019 the market in the area of the Operational Site in Strasbourg, in order to identify suitable

office space rental. The lease is anticipated to fall below the threshold of significance as defined in the financial regulation. Such lease is expected to start at the earliest in the second quarter of 2020.

- EUR 0.070 million are required for running costs for expenditure for premises in Brussels (current Liaison Office). EUR 2.400 MIO is requested mostly to cover costs of further development and maintenance of corporate IT infrastructure. This provision is needed to cover costs of telephones (landline and GSM), internet, replacement of hardware, licences for software etc. It also includes corporate network adaptations in both Strasbourg and Tallinn. Out of these expenditures the following activities are planned:

The ICT costs (EUR 2.4 million) will cover further development and maintenance of corporate IT infrastructure,

Overall, no major changes, in comparison to 2020 are foreseen for costs allocation for regular administrative costs and all changes are due to the fact that the Agency has received new tasks and will need to keep its infrastructure updated for the new recruitments allocated. The resources are needed for organising statutory meetings (accommodation, travel expenses, meals), other expenses related to the activity of MB members covered according to the eu-LISA Rules of Procedure, DPO's and Security Officer Network meetings.

EUR 1.735 million has been projected to deliver effective and efficient external communication and event management of eu-LISA's annual conference for stakeholders on 2021 key topics. The expenditure is required to supply and/or contract the necessary services and items for coordinating effective and efficient event management of eu-LISA's annual large-scale awareness event/conference for stakeholders on 2021 key topics. The budget foreseen for other infrastructure and operating expenditure covers two large strands of the Agency budget structure:

- EUR 4.791 million External support services (consultancies, staff augmentation and interim services, insourcing external services as per the adoption of the Regulation (EU) 2018/1726 of the European Parliament and of the Council of 14 November 2018 on the European Union Agency for the Operational Management of Large-Scale IT Systems in the Area of Freedom, Security and Justice (eu-LISA), and amending Regulation (EC) No 1987/2006 and Council Decision 2007/533/JHA and repealing Regulation (EU) No 1077/2011; and
- EUR 2,84 million for Corporate security, covering amongst other Business Continuity/Disaster Recovery, Information Security & Assurance Service, SLAs with DG HR, security subscriptions and maintenance/repairing interventions for security equipment and eu-LISA's sites.

4.2.3 Title 3

COMMITMENT APPROPRIATIONS

In 2021 with expenditure set under Title 3, eu-LISA aims to ensure 24x7 availability and stability of the systems under its management. At the same time, the Agency will continue to increase the value added by the systems and services provided to the Member States through their evolutions. Under Title 3, EUR 9.5 million (EURODAC) and EUR 16.244 million (proposal for a Regulation of the European Parliament and of the Council amending Regulation (EC) No 767/2008, Regulation (EC) No 810/2009, Regulation (EU) 2017/2226, Regulation (EU) 2016/399, Regulation (EU) 2019/817 [Interoperability Regulation], and Decision 2004/512/EC and repealing Council Decision 2008/633/JHA) are conditional upon the adoption of Commission Proposals by the European Parliament and of the Council.

PAYMENT APPROPRIATIONS

The Agency aligns its requests of payment appropriations for Title 1 and Title 2 (non-differentiated appropriations) to the total of the commitment appropriations. As for the Commitment Appropriations, EUR 1.21 million is conditional upon the adoption of the respective legal bases. There are no conditional payment appropriations under Title 2.

Title 3 comprises differentiated appropriations; the Agency takes into account the payment appropriations indicated in the proposals for the newly assigned tasks subject to the adoption of the respective legal basis (EUR 23.844 million or EUR 7.600 million EURODAC and EUR 16.244 million for the Proposal for a Regulation of the European Parliament and of the Council amending Regulation (EC) No 767/2008, Regulation (EC) No 810/2009, Regulation (EU) 2017/2226, Regulation (EU) 2016/399, Regulation (EU) 2019/817 [Interoperability Regulation], and Decision 2004/512/EC and repealing Council Decision 2008/633/JHA).

4.3 Ad hoc grants and delegation agreements

Based on information currently available to the Agency, no grants or delegation agreements are foreseen in 2021.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Headquarters	eu-LISA, Vesilennuki 5, Tallinn, Estonia	1 161,4	3 235,9	4 397,3		N/A	N/A	EE built and transferred new HQ for Agency in a non-exchange transaction	11 660 000
2	Operational Site	eu-LISA, 18 Rue de la Faisanderie 67100 Strasbourg, France	2 155	5 687	7 842		N/A	N/A	FR granted entire premises for 1 EUR in 29 May 2013	21 305 830
3	Back-up Site	Austrian Central Federal Back-Up Center in Sankt Johann im Pongau, Austria	223	403	626	591 328	indefinite	Indefinite Operational Agreement with Republic of Austria		
4	eu-LISA liaison office	20 avenue d'Auderghem, 1040 Brussels.	98		98	20 433		Rent Agreement	N/A	
TOTAL			3 637,4	9 325,9	12 963,3	611 761				32 965 830

5.1.2 Current building(s) Other comments

The surfaces of the Operational Site are under revision and may differ.

5.1.3 Building projects in the planning phase

In the last years, significant developments in the Justice and Home Affairs domain created new demand towards operational capabilities of eu-LISA. These developments called into question the ability of the Agency's operational site in Strasbourg to provide necessary capacity to host both current and new systems entrusted to it and additional staff. After comprehensive discussion, the Management Board of eu-LISA endorsed the need of further extension of capacity of operational site of the Agency in Strasbourg. The extension is considered necessary due to the Agency's extended mandate, the likely need for substantial evolutions of the Agency's existing systems and a significant increase in staff. The corresponding investment requires the preliminary approval of the Budgetary Authority.

5.1.4 Building projects submitted to the European Parliament and the Council

The pre-information letter to the Budgetary Authority concerning the project described in section 5.1.3 was sent on 2 April 2019.

5.2 European Schools

In 2014, eu-LISA signed with the Commission, the Mandate and Service Agreement for the financial contribution of the Agency to the European Schools in Tallinn and Strasbourg. As consequence of the growing number of the Agency's staff, the number of children in the European Schools in Tallinn and Strasbourg increased to 82 pupils in 2019. The Agency's

contribution is expected to increase for the school years 2020/2021 and 2021/2022, depending on the number of children of the additional staff joining in the years 2020 and 2021. Since 2014, eu-LISA pays a nursery allowance to its staff for covering the expenses for a daily care of small children younger than 4 years for whom the European Schools cannot provide its care.

5.3 Evaluation

The last evaluation report from April 2016 identified a possible need for a revision or an extension of the tasks entrusted to eu-LISA in the establishing Regulation. The evaluation underlined the need for additional staffing in case the Agency will be entrusted with additional tasks. Analysis of the Agency's procurement and outsourcing activities found that the balance between internal and external engaged resources leans heavily towards outside resources. Link to online documents made public: http://ec.europa.eu/smart_regulation/roadmaps/docs/2016_home_003_evaluation_eu-lisa_en.pdf. The next evaluation will follow four years later.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
ESTONIA: seat agreement ratified on 18 February 2015, entered into force in March 2015	ESTONIA: seat agreement ratified on 18 February 2015, entered into force in March 2015	European School functioning as of September 2013
FRANCE: Seat Agreement ratified by France on 1 June 2016 and published on 15 June 2016 in the French Official Journal.	FRANCE: Seat Agreement entered into force on 28 August 2016	European School in Strasbourg
AUSTRIA: in accordance with EU protocol of privileges and immunities	n/a (no permanent staff)	n/a (no permanent staff)

2.5 Decentralised agencies of Heading 5 – Resilience, Security and Defence

2.5.1 European Union Agency for Law Enforcement Cooperation – EUROPOL

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Regulation (EU) 2016/794 of the European Parliament and of the Council on the European Union Agency for Law Enforcement Cooperation (Europol) and replacing and repealing Council Decisions 2009/371/JHA, 2009/934/JHA, 2009/935/JHA, 2009/936/JHA and 2009/968/JHA	Entry into force 01/05/2017	<p>Europol shall support and strengthen action by the competent authorities of the Member States and their mutual cooperation in preventing and combating serious crime affecting two or more Member States, terrorism and forms of crime which affect a common interest covered by a Union policy.</p> <p>Europol's shall also (a) collect, store, process, analyse and exchange information, including criminal intelligence; (b) notify the Member States, via the national units established or designated without delay of any information and connections between criminal offences concerning them; (c) coordinate, organise and implement investigative and operational actions to support and strengthen actions by the competent authorities of the Member States, that are carried out: (i) jointly with the competent authorities of the Member States; or (ii) in the context of joint investigation teams and, where appropriate, in liaison with Eurojust; (d) participate in joint investigation teams, as well as propose that they be set up; (e) provide information and analytical support to Member States in connection with major international events; (f) prepare threat assessments, strategic and operational analyses and general situation reports; (g) develop, share and promote specialist knowledge of crime prevention methods, investigative procedures and technical and forensic methods, and provide advice to Member States; (h) support Member States' cross-border information exchange activities, operations and investigations, as well as joint investigation teams, including by providing operational, technical and financial support; (i) provide specialised training and assist Member States in organising training, in coordination with the European Union Agency for Law Enforcement Training (CEPOL); (j) cooperate with the Union bodies established on the basis of Title V of the TFEU and with OLAF, in particular through exchanges of information and by providing them with analytical support in the areas that fall within their competence; (k) provide information and support to EU crisis management structures and missions established on the basis of the TEU; (l) develop Union centres of specialised expertise for combating certain types of crime, in particular the European Cybercrime Centre; (m) support Member States' actions in preventing and combating forms of crime.</p> <p>Europol shall provide strategic analyses and threat assessments to assist the Council and the Commission in laying down strategic and operational priorities of the Union for fighting crime and assisting in their operational implementation; provide strategic analyses and threat assessments to assist the efficient and effective use of the resources available at national and Union level for operational activities and the support of those activities; act as the Central Office for combating euro counterfeiting in accordance with Council Decision 2005/511/JHA. Europol shall also encourage the coordination of measures carried out to fight euro counterfeiting by the competent authorities of the Member States or in the context of joint investigation teams, where appropriate in liaison with Union bodies and the authorities of third countries; and shall not apply coercive measures in carrying out its tasks.”</p>

1.2 Seat

The Hague (Den Haag), the Netherlands

1.3 Budget Line

12 10 01 : European Union Agency for Law Enforcement Cooperation (Europol)

1.4 Human Resources Overview

Human Resources	2019	2020	2021
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	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	559	547	97,85%	583	583
Assistants (AST)	32	23	71,88%	32	32
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	591	570	96,45%	615	615
Contract Agents (CA)	211	192	91,00%	188	191
Seconded National Experts (SNE)	71	66	92,96%	71	71
TOTAL STAFF	873	828	94,85%	874	877

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	154 071 567	172 964 254
Other Revenue	0	0
TOTAL REVENUES	154 071 567	172 964 254

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
Additional EU funding stemming from grant agreements (FFR Art.7)	941 389	
Additional EU funding stemming from service level agreements (FFR Art. 43.2)	80 000	
TOTAL REVENUES	1 021 389	

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	91 159 567	91 159 567	90 498 000	90 498 000
Title 2 - Infrastructure and operating expenditure	10 887 500	10 887 500	11 640 000	11 640 000
Title 3 - Operational expenditure	52 024 500	52 024 500	70 826 254	70 826 254
TOTAL EXPENDITURE	154 071 567	154 071 567	172 964 254	172 964 254

2 Human Resources

2.1 Establishment plan posts

group and	2019	2020	2021
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	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1		1		1
AD 14		1		3		3		3		3
AD 13		5				5		6		5
AD 12		11		7		11		11		11
AD 11		17		5		14		10		10
AD 10		28		14		25		23		23
AD 9		61		28		50		51		51
AD 8		94		67		84		87		85
AD 7		132		151		148		175		152
AD 6		171		260		211		260		211
AD 5		38		11		31		19		31
AD TOTAL		559		547		583		646		583
AST 11										
AST 10										
AST 9										
AST 8		3				1		2		2
AST 7		5		3		5		5		5
AST 6		6		2		6		6		6
AST 5		7		5		7		7		7
AST 4		7		8		7		6		6
AST 3		1		1		3		3		3
AST 2		3		4		3		3		3
AST 1										
AST TOTAL		32		23		32		32		32
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		591		570		615		678		615
GRAND TOTAL	591		570		615		678		615	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	45	43	37	37
Function Group III	110	98	106	98
Function Group II	56	51	45	56
Function Group I				
TOTAL	211	192	188	191

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	71	66	71	71

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	138 305 458	154 071 567	184 934 000	172 964 254	12,26%
- <i>Of which assigned revenues deriving from previous years' surpluses</i>	1 158 893	1 106 807	2 363 548	2 363 548	113,55%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)		p.m.	p.m.	p.m.	
- <i>Of which EEA/EFTA (excl. Switzerland)</i>		p.m.	p.m.	p.m.	
- <i>Of which candidate countries</i>		p.m.	p.m.	p.m.	
4 OTHER CONTRIBUTIONS	2 684 998	p.m.	p.m.	p.m.	
5 ADMINISTRATIVE OPERATIONS		p.m.	p.m.	p.m.	
- <i>Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>		p.m.	p.m.	p.m.	
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT		p.m.	p.m.	p.m.	
7 CORRECTION OF BUDGETARY IMBALANCES		p.m.	p.m.	p.m.	
TOTAL	140 990 456	154 071 567	184 934 000	172 964 254	12,26%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)	1 840 063	941 389			-100%
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)		80 000			-100%
TOTAL	1 840 063	1 021 389			-100%

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	82 060 733	91 159 567	99 880 000	90 498 000	-0,73%
Salaries & allowances	76 635 530	84 170 567	91 767 000	83 700 000	-0,56%
- Of which establishment plan posts	64 035 980	70 341 567	79 837 000	72 000 000	2,36%
- Of which external personnel	12 599 550	13 829 000	11 930 000	11 700 000	-15,40%
Expenditure relating to Staff recruitment					
Employer's pension contributions					
Mission expenses					
Socio-medical infrastructure	1 022 569	1 084 000	998 000	992 000	-8,49%
Training	135 000	150 000	230 000	200 000	33,33%
External Services					
Receptions, events and representation	92 749	106 000	106 000	106 000	0,00%
Social welfare					
Other Staff related expenditure	4 174 885	5 649 000	6 779 000	5 500 000	-2,64%
Title 2 - Infrastructure and operating expenditure	12 440 116	10 887 500	15 206 500	11 640 000	6,91%
Rental of buildings and associated costs	8 057 847	6 517 500	9 800 000	7 000 000	7,40%
Information, communication technology and data processing	1 610 299	1 570 000	2 219 000	1 800 000	14,65%
Movable property and associated costs	1 156 936	889 000	999 500	900 000	1,24%
Current administrative expenditure	301 130	374 000	469 000	380 000	1,60%
Postage / Telecommunications	726 963	881 000	1 042 000	900 000	2,16%
Meeting expenses	586 941	656 000	677 000	660 000	0,61%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	42 996 150	52 024 500	69 847 500	70 826 254	36,14%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Operations	14 837 852	17 613 500	25 240 500	26 160 377	48,52%
Operational information technology	22 633 869	28 141 000	33 546 000	34 465 877	22,48%
Telecommunication costs for operational activities	936 390	1 050 000	1 141 000	1 100 000	4,76%
Seconded National Experts (Operational)	4 109 141	4 100 000	5 000 000	4 180 000	1,95%
ATLAS			3 500 000	3 500 000	100%
EPCC	267 964	300 000	300 000	300 000	0,00%
Heads of Europol national Units	90 000	120 000	120 000	120 000	0,00%
Operational expenditure related to subsidies and grants					
Operational expenditure related to research and development projects					
Decryption platform	120 934	700 000	1 000 000	1 000 000	42,86%
TOTAL	137 496 999	154 071 567	184 934 000	172 964 254	12,26%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	82 060 733	91 159 567	99 880 000	90 498 000	-0,73%
Salaries & allowances	76 635 530	84 170 567	91 767 000	83 700 000	-0,56%
- Of which establishment plan posts	64 035 980	70 341 567	79 837 000	72 000 000	2,36%
- Of which external personnel	12 599 550	13 829 000	11 930 000	11 700 000	-15,40%
Expenditure relating to Staff recruitment					
Employer's pension contributions					
Mission expenses					
Socio-medical infrastructure	1 022 569	1 084 000	998 000	992 000	-8,49%
Training	135 000	150 000	230 000	200 000	33,33%
External Services					
Receptions, events and representation	92 749	106 000	106 000	106 000	0,00%
Social welfare					
Other Staff related expenditure	4 174 885	5 649 000	6 779 000	5 500 000	-2,64%
Title 2 - Infrastructure and operating expenditure	12 440 116	10 887 500	15 206 500	11 640 000	6,91%
Rental of buildings and associated costs	8 057 847	6 517 500	9 800 000	7 000 000	7,40%
Information, communication technology and data processing	1 610 299	1 570 000	2 219 000	1 800 000	14,65%
Movable property and associated costs	1 156 936	889 000	999 500	900 000	1,24%
Current administrative expenditure	301 130	374 000	469 000	380 000	1,60%
Postage / Telecommunications	726 963	881 000	1 042 000	900 000	2,16%
Meeting expenses	586 941	656 000	677 000	660 000	0,61%
Running costs in connection with operational					

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	42 996 150	52 024 500	69 847 500	70 826 254	36,14%
Operations	14 837 852	17 613 500	25 240 500	26 160 377	48,52%
Operational information technology	22 633 869	28 141 000	33 546 000	34 465 877	22,48%
Telecommunication costs for operational activities	936 390	1 050 000	1 141 000	1 100 000	4,76%
Seconded National Experts (Operational)	4 109 141	4 100 000	5 000 000	4 180 000	1,95%
ATLAS			3 500 000	3 500 000	100%
EPCC	267 964	300 000	300 000	300 000	0,00%
Heads of Europol national Units	90 000	120 000	120 000	120 000	0,00%
Operational expenditure related to subsidies and grants					
Operational expenditure related to research and development projects					
Decryption platform	120 934	700 000	1 000 000	1 000 000	42,86%
TOTAL	137 496 999	154 071 567	184 934 000	172 964 254	12,26%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 2 363 548

4 Justification of needs

Commission assessment

Human Resources

The Commission proposes a stable number of temporary agents (615), as staff numbers are to remain stable in 2021 unless an increase request is supported by a corresponding new legislative financial statement. The Commission likewise proposes a stable number of Seconded National Experts (71).

Concerning contract agents (CAs), the Commission, in line with the increased amount of EU contribution and considering the agency's needs, agrees with a higher number of CAs than foreseen for 2021 (164), but no higher than 191 FTE. This proposal will allow the Agency to perform necessary IT developments without relying on external contractors, following the recommendation from the European Court of Auditors. This level of CAs shall constitute a firm ceiling. The future levels of CAs will be assessed every year in view of the operational and administrative needs of the Agency and of applicable legislative financial statements.

Financial Resources

The Commission proposes an EU contribution of EUR 172 964 254. This represents EUR 18 892 687 of additional appropriations compared to 2020, including an amount of EUR 7 million for operational expenditures foreseen in the Legislative Financial Statement attached to the Commission proposal COM/2018/302 regarding the Visa Information System. The Commission supports the additional budget reinforcement as the Agency is faced with increasing demands

from Member States. The reinforcement allows to increase support to Member States operations, including for High Value Targets and EMPACT, increase the forensic support, roll-out the necessary facilities including for the second satellite building and expand IT development in activities such as decryption and PERCI.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

To deliver effectively on its multi-annual strategy, i.e. the Europol Strategy 2020+, the budgetary information for 2021, constitutes the provisional draft estimate of revenue and expenditure, including staff resource projections. From an overall perspective, the new posts requested in this provisional draft estimate aim at enabling the Agency to carry out the activities necessary to meet Member States' increasing demand of support, while strengthening operational ICT. Additionally, the requested new posts reflect the needs for the establishment of the European Financial and Economic Crime Centre (EFECC), the Analysis Unit as well as the provision of support to High Value Targets (HVTs) investigations through Operational Task Forces, the reinforcement of a future Information Management Function and the envisaged progress in the area of Travel Intelligence.

In light of the above, Europol foresees the following

Temporary agents:

Starting from the 2019 establishment plan of 591 posts, the net number of posts increased by 24, thus amounting to 615 posts for 2020. For 2021, an increase of 63 Temporary Agent posts is envisaged (47 TA in the operational directorate, 11 TA in the ICT department and 5 TA for Governance and administration).

Contract Agents:

Despite the expected effect on all areas of the Agency, the level of CAs in 2021 could be reduced to 195, subject to the European Commission including an adequate number of TAs (+63) in its proposal for the Europol Budget 2021.

Seconded National Experts:

The number of Seconded National Experts (SNEs) is foreseen to increase with 22 new SNEs in 2021, thus amounting to 93, mainly justified to support change initiatives such as EFECC, Forensic Support and HVT.

Europol continues to strive towards being a more operational Agency. In 2019, the results of the job screening exercise showed a slight increase in the percentage of operational jobs and a decrease in the percentage of administrative/coordination jobs.

Staff financed with ad hoc grants:

For the year 2021, Europol will also have a number of Contract Agents and SNEs directly funded via ad hoc grants or SLAs: 5 CA (grant from DG FPI), 4 CA (grant from DG NEAR for deployment of Liaison Officers in the Western Balkans). The Agency is currently in close cooperation with DG NEAR and CEPOL to work on further agreements, the impact of a grant from EUIPO is still to be confirmed.

4.1.2 Vacancy rate as of end 2019

Total Europol vacancy rate: 7.2% (65/897). The individual vacancy rate per category (excluding posts funded by grants) are 3.6% for TA (21/591), 16.6% for CA (39/235) and 7% for SNE (5/71).

4.1.3 Standard abatement ('abatement forfaitaire') applied

No vacancy rate has been applied

4.1.4 Salary assumption for calculating salary line (% applied)

2019: +2%; 2020: +2%; 2021: +2%

4.1.5 Correction coefficient used

111.5% weighting coefficient for the Netherlands for 2019 and 2020 (current applicable coefficient)

4.1.6 Exchange rate used (if applicable)

N.A.

4.2 Financial Resources - Agency request

4.2.1 Title 1

Staff expenditure amounts to EUR 99 880 000 and represents 54% of the total budget. It reflects a 10% increase compared to 2020 which is mainly due to the additional staff and the salary and weighting increases.

The staff and salary budget foresees the expenditure for overall numbers of 678 TAs and 195 CAs. For new staff the costs are calculated for part of the year only to take into account the time it takes to complete recruitment.

The direct salary and allowances related budget (including recruitment expenditure and relocation allowances) for TAs and CAs (Chapter 11 – Staff in active employment) comes to EUR 91 767 000, an increase of EUR 7 596 433 compared to the year 2020.

The budget for Socio-medical infrastructure (Chapter 13) and Training (Chapter 14) remains in line with the budget 2020 (amounting to EUR 1 228 000), while the budget for other staff related expenditure (Chapter 15) is envisaged to increase by 20%. The increase of EUR 1 130 000 compared to 2020 is foreseen to cover higher costs for external security officers, as a consequence of the taking into use of the secondary Temporary Satellite Building, consultancy services related to the mid and long term housing measures as part of the Strategic Housing Roadmap and additional fees for the European School due to higher numbers of enrolled pupils

4.2.2 Title 2

The budget for administrative activities comes to EUR 15 206 500 and represents 8% of the total Europol final draft estimate. The increase for administrative expenditure compared to 2020 amounts to EUR 4 319 000.

An increase of EUR 3 282 500 or 50% for Rental of buildings and associated costs (Chapter 20), compared to the Budget 2020, is due to the project related to the establishment of a second Temporary Satellite Building and the investments related to it. In addition, higher building-related running costs for the implementation of the service level agreement with the Host State (contractual maintenance to retain the current service environment and business continuity of the headquarters and involved infrastructure).

The budget for administrative ICT (Chapter 21) amounts to EUR 2 219 000 and represents an increase of 41% compared to 2020. The budget is envisaged to cover activities related to ngAGE (next generation Administrative and Governance Environments), which includes continuation of support tools and systems, such as IRIS (Intranet), FMIS (Facilities Management System), ABAC (the Commission's financial system), e-Procurement and Sysper II (the Commission's HR System). In addition, this Chapter covers outsourced helpdesk services.

An amount of EUR 2 510 500 is foreseen for the continuation of other governance, administrative and telecommunication expenditure (Chapter 22 – 24). This represents EUR 366 500 more than in 2020, which is a result of higher cost for investments in the vehicle fleet and administrative telecommunication costs. These Chapters include open source and database subscriptions, legal expenses, administrative expertise, uniforms, furniture, car fleet, office supplies, postal and courier services, telecommunications, etc.

For the budget for activities of the Management Board and its Working Groups under Chapter 25 there is an increase (+3%) which follows from the planning of four MB meetings for two full days and an increase in costs for the external MB meeting.

4.2.3 Title 3

The budget for Operational activities adds up to EUR 69 847 500 and represents nearly 38% of the total budget. The increase for operational activities compared to 2020 amounts to EUR 17 823 000.

A main increase is foreseen for Chapter 30 – Operations. An increase of more than EUR 11 127 000 is foreseen to further enhance the support to MS investigations. This additional budget will enable Europol to further develop MS support in areas highlighted in the Europol Strategy 2020+. Europol's existing capabilities will be strengthened in areas such as Operational task Force/ HVT investigation support, forensics support, Economic and Financial crime investigation support. The additional budget also aims at covering new tasks e.g. ATLAS. In addition, a budget of EUR 4 000 000 is provided for the continuation of security checks at hotspots. A significant part of the budget will be used to support Member States in organising operational and strategic meetings, missions, trainings for third parties and funding of operational task forces in line with the current level of support.

The budget for operational ICT services and programmes under Title 3 (Chapters 31 and 32 together) comes to EUR 34 687 000, which is an increase of EUR 5 496 000 compared to 2020. This budget will be used for the implementation of the ICT workplan, in particular for the New Environment for Operations (NEO), interoperability, the new Forensic IT Environment (FITE), for a new EU platform for referrals and removal orders and the biometrics capabilities related to the Visa Information System (VIS).

Part of the operational expenditure is intended to cover the allowances for 93 Seconded National Experts under Chapter 33, amounting to EUR 5 000 000.

The budget under Chapter 34 and 35 for high level external stakeholder meetings (HENU and Europol Police Chiefs Convention) amounts to EUR 420 000.

With an amending budget of EUR 5 000 000 in 2018 Europol and the Commission's Joint Research Centre initiated a project to build a Decryption Platform. The platform is envisaged to be taken into use in 2020 and an amount of EUR 1 000 000 is envisaged in the 2021 budget, under Chapter 38 - Decryption platform, to cover for the operational running costs including electricity and further investments.

4.3 Ad hoc grants and delegation agreements

The external assigned revenue related to ad hoc grants that has been carried forward to 2020 amounts to EUR 1 021 389:

- A grant agreement with the European Commission (DG NEAR) to implement a pilot project to deploy Europol Liaison Officers in the Western Balkans in order to improve the security in the EU and the Western Balkans by reinforcing cooperation against organised crime and terrorism, was concluded in 2018 for the total grant amounted to EUR 2 000 000, out of which EUR 388 699 was implemented in 2019 and EUR 544 883 was carried forward for implementation in 2020.
- A grant agreement with the European Commission amounting to EUR 1 630 000 was concluded for an action entitled: international digital cooperation – cross border access to electronic evidence. An amount of EUR 359 578 was implemented in 2019 and an amount of EUR 293 208 was carried forward for implementation in 2020.
- A grant agreement between EUIPO and Europol to implement the activities related to online infringements of intellectual property rights and online financial payment systems was implemented in 2019 EUR 1 091 786. In 2019 a new service level agreement was signed for the additional funding of EUR 80 000. An available amount of EUR 103 299 for the grant and additional EUR 80 000 for the new service level agreement were carried forward for the implementation in 2020.

Europol is in the process of receiving other funds via separate agreements with the Commission, e.g. for innovation under H2020 and with DG Near for financial support to the EU Eastern Neighbourhood countries in relation to the EU Policy Cycle priorities and for capacity building activities in multiple regions just outside the EU.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Europol Headquarters	Eisenhowerlaan 73, 2517 KK, The Hague Netherlands	10 000	22 500	32 500		Lease Agreement is valid for 20 years and was signed on 1 March 2011.		Host State support by providing and maintaining the accommodation.	
2	Europol / Temporary Satallite Building	Jan Willem Frisolaan 13, 2517JS The Hague	1 900	700	2 600		Lease Agreement is valid for 3+1 years and was signed on 6 September 2019.		Host State support by providing and maintaining the accommodation.	
TOTAL			11 900	23 200	35 100					

5.1.2 Current building(s) Other comments

5.1.3 Building projects in the planning phase

Europol is facing a shortage of workplaces and meeting facilities in its headquarters. The Dutch Host State and Europol have developed a Strategic Housing Roadmap (SHR) for the period 2016 – 2031 (expiration of the first term Lease Agreement). For the mid-term, the capacity of the building should increase to 1,100 workplaces by creating extra workplaces via a new office concept, which includes implementing a workplace ratio of 0.84 per workplace to accommodate 1,430 people in the building and to increase the meeting facilities. The necessary construction works had to be delayed are now scheduled to start in 2021. Additionally, up to 150 staff is being relocated to the Temporary Satellite Building (JWF13) in order to cover Europol's growth and to implement the Mid-Term Housing Solution in the HQ. The satellite building became operational in Q4/2019. In parallel Europol is undertaking preparations with the Host State in order to obtain a second Temporary Satellite Building which should be become available in Q4/2021. This temporary building is required in Q4/2021, to create move space in the HQ, during the implementation of the Mid-Term Housing Solution.

For the implementation of the SHR Long-Term Housing Measures, the Host State successfully finalised the acquisition of office building Churchillplein 1 in The Hague (HQ2). A project organisation for the development process of HQ2 with the Host State is established. Works for the new permanent facility are expected to start in 2021 and be completed by the end of 2024.

5.1.4 Building projects submitted to the European Parliament and the Council

N.A.

5.2 European Schools

The establishment of the European School of The Hague was agreed in 2011 and it opened its doors in school year 2012/2013. The school offers Primary education in English, Dutch, German, French and Spanish. The Secondary department currently provides education in English, Dutch and French. Due to the growth of the school the Executive Director of the Stichting Rijnlands Foundation and the school management of the European School have decided, with support of the municipality of The Hague, on the opening of a second location as the school's initial expansion plans of the current facility were not sufficient to cope with the demand. In March 2017 the school location Oostduinlaan 50, (former Aloysius College) was officially appointed to the European School The Hague. The Commission partially subsidises the school fees for the European School in The Hague (ESH) based on a mutual Mandate and Service agreement. The expenditure for the European School will continue to rise with the staff growth.

Based on the current number of pupils and the assumption that most of the children of the new staff will be registered in ESH, a total budget of EUR 3 298 000 is anticipated for the school year 2021/2022.

5.3 Evaluation

Internal monitoring & evaluation

Europol management monitors the implementation status of all planned actions, projects and indicators on a quarterly basis, to assess the overall progress and to take corrective actions where needed.

The Consolidated Annual Activity Report (CAAR) is submitted on behalf of the Executive Director of Europol to the Management Board (MB) and presents the activities performed to implement the annual Work Programme. An analysis and assessment of the CAAR is made by the MB.

The Europol Internal Control Framework (ICF) was adopted by the MB in December 2018, following a thorough analysis of the ICF of the European Commission, the original COSO Integrated Internal Control Framework guidance documentation, as well as consultation with the Internal Audit Capability (IAC) and the Corporate Matters Working Group (CMWG) of the MB in particular. The ICF applied as of 2019. The ICF is monitored through a set of control indicators that are integrated in the corporate performance reporting of Europol.

External monitoring & evaluation

The **Internal Audit Service (IAS)**, supported by the IAC and Europol, performs a risk assessment on Europol's governance, administrative and support process areas at regular intervals, with a view to identifying the overall risk profile of key administrative processes outside the core business area. On the basis of the risk assessment concerning Europol's process landscape, the Europol MB endorses a multi-annual IAS Strategic Audit Plan for Europol, subsequently implemented by corresponding IAS audit engagements at Europol. The **European Data Protection Supervisor (EDPS)** holds regular meetings with the Data Protection Function (DPF) of Europol; the DPF facilitates the EDPS' annual and other inspection activities. The **European Court of Auditors (ECA)** conducts annual audits on Europol's implementation of each financial year, including the annual accounts presented to the discharge authority, as well as performance and ad-hoc audits engagements with respect to the mandate of Europol.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
<p>According to Article 63(1) Europol Regulation the Protocol on Privileges and Immunities of the European Union ("Protocol No. 7"²⁹ to the Treaty on European Union and the Treaty on the Functioning of the European Union) applies to Europol.</p> <p>The Protocol is supplemented by the Agreement of 15 October 1998 between the Kingdom of the Netherlands and Europol concerning the Headquarters of Europol (see Art. 70 Europol Regulation).</p>	<p>According to Article 63(1) Europol Regulation the following legal acts apply to Europol staff (including the Executive Director and the Deputy Executive Directors):</p> <ul style="list-style-type: none"> - Protocol on Privileges and Immunities of the European Union ("Protocol No. 7" to the Treaty on European Union and the Treaty on the Functioning of the EU) - Regulation (Euratom, ECSC, EEC) No. 549/69 of 25 March 1969 determining the categories of officials and other servants of the European Communities to whom the provisions of Article 12, the second paragraph of Article 13 and Article 14 of the Protocol on the Privileges and Immunities of the Communities apply (as last amended by Regulation (EC) No. 371/2009 of 27 November 2008) <p>Protocol and Regulation are supplemented by the Agreement of 15 October 1998 between the Kingdom of the Netherlands and Europol concerning the Headquarters of Europol (see Art. 70 Europol Regulation), which is itself supplemented regarding staff privileges and immunities by an exchange of <i>Notes Verbales</i> of 24 October 2007.</p>	<p>Europol staff members can benefit from the ordinary rules regarding tax benefits linked to day care expenses just as any other residents of the Netherlands.</p>

²⁹ Please note: Protocol No. 7 has been renumbered, compared to the Protocol on Privileges and Immunities of the European Communities. Its Article 15 empowers the European Parliament and the Council to determine acting by means of regulations the categories of officials and other servants of the Union to whom the provisions of Article 11, the second paragraph of Article 12, and Article 13 of this Protocol shall apply, in whole or in part. -Regulation No. 549/69 (see above) has not been amended following the entry into force of the new Protocol No. 7 (1 Dec. 2009), thus still contains the references to the old numbering.

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
REGULATION (EU) 2015/2219 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 25 November 2015 on the European Union Agency for Law Enforcement Training (CEPOL) and replacing and repealing Council Decision 2005/681/JHA	01/07/2016	<p>The new legal basis presents several key tasks for CEPOL:</p> <ul style="list-style-type: none"> •A wider target group of “law enforcement officials”. •Coordination and implementation, addressing the European dimension of serious and organised crime, terrorism, public order, and CSDP preparedness. • Assessment of EU initiatives in defined fields, building the capacity of third countries, multiannual strategic training needs assessments, promotion of mutual recognition of training for EU Member States. •CEPOL’s remit in the area of research relevant for training and external relations has been extended. •CEPOL is a fully fledged EU agency in terms of legal construction, tasked inter alia to bring together a network of law enforcement training institutes. CEPOL Secretariat becomes staff of the agency. •The Governing Board becomes a Management Board (with the Commission as a voting member), gaining powers of Appointing Authority and competences in determining CEPOL’s internal organisation. •The Executive Director shall make proposals to the Management Board, and implement both the budget and the work programme(s) and the European Commission is included in the appointment mechanism.

1.2 Seat

Budapest, HU

1.3 Budget Line

12 10 02 : European Union agency for law enforcement training (CEPOL)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	22	21	95,45%	23	23
Assistants (AST)	10	9	90,00%	10	10
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	32	30	93,75%	33	33
Contract Agents (CA)	19	17	89,47%	19	19
Seconded National Experts (SNE)	3	5	166,67%	3	4
TOTAL STAFF	54	52	96,30%	55	56

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
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	Revenues estimated by the agency	Budget Forecast
EU contribution	10 439 000	10 632 382
Other Revenue	130 000	0
TOTAL REVENUES	10 569 000	10 632 382

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES	p.m.	

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	4 601 000	4 601 000	4 731 000	4 731 000
Title 2 - Infrastructure and operating expenditure	479 000	479 000	491 500	491 500
Title 3 - Operational expenditure	5 489 000	5 489 000	5 409 882	5 409 882
Title 4 - Operational expenditure				
TOTAL EXPENDITURE	10 569 000	10 569 000	10 632 382	10 632 382

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1		1		1		1		1
AD 13										
AD 12		2		1		2		1		1
AD 11		1				1		4		4
AD 10		1		4		1				
AD 9		1				1		1		1
AD 8								6		
AD 7		2		3		5		10		5
AD 6		7		8		7		11		6
AD 5		7		4		5		6		5
AD TOTAL		22		21		23		40		23
AST 11										
AST 10										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 9										
AST 8										
AST 7										
AST 6		1				1				
AST 5		2		3		3		5		4
AST 4		6		2		5		8		5
AST 3		1		4		1		3		1
AST 2										
AST 1										
AST TOTAL		10		9		10		16		10
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		32		30		33		56		33
GRAND TOTAL		32		30		33		56		33

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	4	6	4	4
Function Group III	15	11	15	15
Function Group II				
Function Group I				
TOTAL	19	17	19	19

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	3	5	3	4

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	9 308 000	10 439 000	17 109 000	10 632 382	1,85%
- <i>Of which assigned revenues deriving from previous years' surpluses</i>	339 479	212 578	<i>p.m.</i>	212 578	0,00%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
- <i>Of which EEA/EFTA (excl. Switzerland)</i>					
- <i>Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS	83 177	130 000			-100%
5 ADMINISTRATIVE OPERATIONS					
- <i>Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	9 391 177	10 569 000	17 109 000	10 632 382	0,60%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)	7 500 000	<i>p.m.</i>	<i>p.m.</i>		
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL	7 500 000	<i>p.m.</i>	<i>p.m.</i>		

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	4 262 144	4 601 000	6 445 000	4 731 000	2,83%
Salaries & allowances	3 556 149	3 797 000	5 937 000	3 927 000	3,42%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
<i>- Of which establishment plan posts</i>	2 485 979	2 610 000	4 379 000	2 700 000	3,45%
<i>- Of which external personnel</i>	1 070 170	1 187 000	1 558 000	1 227 000	3,37%
Expenditure relating to Staff recruitment	38 064	9 000	30 000	9 000	0,00%
Employer's pension contributions					
Mission expenses	26 131	30 000	18 663	30 000	0,00%
Socio-medical infrastructure	432 393	434 500	270 487	434 500	0,00%
Training	20 620	87 000	54 122	87 000	0,00%
External Services	179 450	233 000	124 728	233 000	0,00%
Receptions, events and representation	2 475	3 000	5 000	3 000	0,00%
Social welfare	6 862	7 500	5 000	7 500	0,00%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	422 941	479 000	564 000	491 500	2,61%
Rental of buildings and associated costs	18 028	32 500	45 000	45 000	38,46%
Information, communication technology and data processing	345 944	388 000	434 500	388 000	0,00%
Movable property and associated costs	10 453	15 500	22 000	15 500	0,00%
Current administrative expenditure	40 867	33 000	50 500	33 000	0,00%
Postage / Telecommunications	7 649	10 000	12 000	10 000	0,00%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	4 696 840	5 489 000	10 100 000	5 409 882	-1,44%
Bodies and organs	120 705	205 000	220 000	205 000	0,00%
Courses and seminars	3 294 212	3 500 000	7 549 445	3 550 882	1,45%
Other programme activities	765 962	1 167 000	1 642 665	1 037 000	-11,14%
Evaluation		p.m.	p.m.		
Missions	219 297	200 000	263 092	200 000	0,00%
Other operational activities	296 664	417 000	424 798	417 000	0,00%
Title 4 - Operational expenditure					
Expenditure relating to persons working for CT MENA project					
Travel					
Equipment and supplies					
Local office					
Other costs, services					
Other					
Indirect costs					

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Provision for contingency reserve					
Taxes					
TOTAL	9 381 925	10 569 000	17 109 000	10 632 382	0,60%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	4 172 450	4 601 000	6 445 000	4 731 000	2,83%
Salaries & allowances	3 556 149	3 797 000	5 937 000	3 927 000	3,42%
- Of which establishment plan posts	2 485 979	2 610 000	4 379 000	2 700 000	3,45%
- Of which external personnel	1 070 170	1 187 000	1 558 000	1 227 000	3,37%
Expenditure relating to Staff recruitment					
Employer's pension contributions	19 284	9 000	30 000	9 000	0,00%
Mission expenses	23 731	30 000	18 663	30 000	0,00%
Socio-medical infrastructure	429 363	434 500	270 487	434 500	0,00%
Training	11 657	87 000	54 122	87 000	0,00%
External Services	122 929	233 000	124 728	233 000	0,00%
Receptions, events and representation	2 475	3 000	5 000	3 000	0,00%
Social welfare	6 862	7 500	5 000	7 500	0,00%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	306 805	479 000	564 000	491 500	2,61%
Rental of buildings and associated costs	16 828	32 500	45 000	45 000	38,46%
Information, communication technology and data processing	240 833	388 000	434 500	388 000	0,00%
Movable property and associated costs	5 102	15 500	22 000	15 500	0,00%
Current administrative expenditure	37 149	33 000	50 500	33 000	0,00%
Postage / Telecommunications	6 893	10 000	12 000	10 000	0,00%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	3 918 240	5 489 000	10 100 000	5 409 882	-1,44%
Bodies and organs	102 705	205 000	220 000	205 000	0,00%
Courses and seminars	2 923 739	3 500 000	7 549 445	3 550 882	1,45%
Other programme activities	538 956	1 167 000	1 642 665	1 037 000	-11,14%
Evaluation		p.m.	p.m.		

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Missions	207 629	200 000	263 092	200 000	0,00%
Other operational activities	145 211	417 000	424 798	417 000	0,00%
Title 4 - Operational expenditure					
Expenditure relating to persons working for CT MENA project					
Travel					
Equipment and supplies					
Local office					
Other costs, services					
Other					
Indirect costs					
Provision for contingency reserve					
Taxes					
TOTAL	8 397 495	10 569 000	17 109 000	10 632 382	0,60%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): 212 578 EUR.

4 Justification of needs

Commission assessment

Human Resources

The establishment plan currently includes 33 authorised posts of which the Agency only filled in 30 at the end of 2019. The Agency has requested 23 additional TAs in 2021, together with a request for 6 additional contract agents and 5 seconded national experts. The Commission does not support this request at this point.

Financial Resources

The Agency has however requested an increase of some 60% compared to 2020. The Commission does not support this request at this stage and proposes an EU contribution of EUR 10.6 million for Cefpol in 2021 in compliance with the Communication on the MFF of 27th of May.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

CEPOL is willing to implement effectively its mandate that came into application in July 2016. The agency will therefore pursue the necessary resources. The agency suffers, across all departments, from a lack of human resources, which makes it extremely difficult for CEPOL to evolve and implement fully its mandate. The need for reinforcement in staff concerns to whole organisation, both operational and administrative departments. For that purpose CEPOL requests an increase in human resources for 2021 and subsequent years.

4.1.2 Vacancy rate as of end 2019

The vacancy rate of statutory staff at the end of 2019 was 7,8%. There were four vacant positions at the end of 2019. Three recruitment procedures were on-going and one in preparation phase.

4.1.3 Standard abatement ('abatement forfaitaire') applied

CEPOL foresees no abatement in 2021, the Agency is currently under-resourced and standard abatement within the normal range is associated with efficiencies achieved through the implementation of mature processes. CEPOL contracts interim staff immediately when a vacant position arises until new staff is recruited in order to mitigate the risk of business interruption. The cost for interim staff is covered from savings on staff costs arising from vacancies.

4.1.4 Salary assumption for calculating salary line (% applied)

2021 salaries are calculated on the assumption that all authorised establishment plan posts will be filled and considering the individual family and personal circumstances of the employees, 2% increase of staff entitlements, the correction coefficient for Hungary at the end of 2019.

4.1.5 Correction coefficient used

The correction coefficient for Hungary at the end of 2019 was 75,3 %. Flexibility is foreseen for the exchange rate fluctuations of Hungarian currency that may impact both the correction coefficient and the actual salary payments.

4.1.6 Exchange rate used (if applicable)

N/A - The budget is established in euro.

4.2 Financial Resources - Agency request

4.2.1 Title 1

The request is made on the assumption of full staffing (56 TA, 125 CA and 8 SNE). Such increased level of staff is necessary for the appropriate completion of additional tasks assigned within CEPOL's mandate as enhanced per 1 July 2016 and to ensure direct and timely delivery of EU level training to tackle the most pressing European security priorities.

4.2.2 Title 2

CEPOL's Headquarter is offered by the Host Country free of charge including accommodation, utility, maintenance, security and reception services. The 2021 budget request for Infrastructure and Operating expenditure amounts to EUR 564 000, an increase of 15% compared to 2020, mostly due to the requested staff increase. Main expenditure items are the rental of liaison office in Brussels, IT investments (disaster recovery, mandatory EC tools such as SYSPER, ARES etc.) and maintenance, office equipment's and current administrative expenses.

4.2.3 Title 3

The work programme 2021 continues to support all key priority areas deriving from the Agendas on Security and Migration in line with the LETS principles. In particular: serious and organised international crime, cybercrime, migrant smuggling, counterterrorism, information exchange and fundamental rights. The legal mandate envisages for CEPOL to assume a coordination and implementation role and requests it to fully align its activities to the relevant political priorities articulated at Union level; in which training is identified as a key supporting action for European Security.

The 2021 operational budget request shows an increase of EUR 4,7M compared to the 2020 budget. The operational activities performed by CEPOL up to 2020 must be reinforced and complemented by other activities such as:

- the expansion of the scope and enhancement of the availability of EU level training: serious and organised crime, counterterrorism (except cyber) needs to be further sustained.
- Cybercrime, cyber related crime, electronic evidence and cybersecurity training: The establishment and operation of the EU law enforcement cyber-training facility - CEPOL Cyber Academy for law enforcement is necessary - it shall operate in close cooperation with EC3, ENISA, ECTEG, EDA, private sector etc.
- Training on information exchange and specialist law enforcement techniques such as the use of SIS, travel intelligence, Prüm, etc. CEPOL needs to be prepared for the support of the Interoperability package, Entry-Exit System and ETIAS.

- Training needs assessment and training coordination at EU level. • Development of EU training standards, Certification of training and trainers.
- Language training to facilitate cross border cooperation inside the EU and with the Candidate + ENP countries
- Research (Grants) in the area of Law Enforcement education
- External aspects of Internal security, particularly capacity building in ENP countries
- Sustainability of training initiatives funded by EU, through creation of CEPOL Sustainability Hub.
- Development of training environment, e.g. technologies, methodologies: enforcing the technological solutions for education and learning such as e-Net platform and the capacity to build interactive online learning solutions.

4.3 Ad hoc grants and delegation agreements

- Delegation Agreement on the EU/MENA Counter Terrorism Training Partnership 2 (CEPOL CT2) project signed with the European Commission Service for Foreign Policy Instruments (FPI) on 21 December 2017. The project has a budget of EUR 6,444,698 EUR and a duration of 36 months and is financed under the Instrument contributing to Stability and Peace (IcSP).

- Grant Agreement on the Financial Investigation In-Service Training Programme, Western Balkan (CEPOL FI) project with Directorate-General of Neighbourhood and Enlargement Negotiation (DG NEAR) on 21 December 2017. The EU-MENA Counterterrorism Training Partnership 2 project has a budget of EUR 2,500,000 EUR and a duration of 24 months and is financed under the Instrument of Pre-accession Assistance (IPA 2). During 2019 the project duration has been extended until 31 March 2020.

- Contribution Agreement IFS/2019/410-531 was signed between CEPOL and DG DEVCO (International Cooperation and Development) on 17 December 2019. The purpose of this agreement is to provide financial contribution to finance the implementation of the Action "CT INFLOW- Enhancing Information Exchange and Criminal Justice Response to Terrorism in the Middle East and North Africa". The CEPOL CT INFLOW has a maximum budget of EUR 7 500 000 and a duration of 48 months and is financed under the Instrument contributing to Stability and Peace (IcSP).

There are three additional Contribution Agreements under negotiation with DG NEAR.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	CEPOL Headquarters	1066 Budapest, Ó utca 27, Hungary	978	1 145	2 123		10 years free of charge as from 1 September 2014.	Free of charge	Host country provides: accommodation, utility, maintenance, security and reception services.	
2	Project Office	1066,Budapest, Mozsar utca 16	220	21,4	241,4	57 617	Until 30 June 2021	Rental paid by externally financed projects		
3	CEPOL Cybercrime Academy	1126 Budapest, Böszörményi út 27	80		80			Free of charge	Offered by host country	
4	CEPOL Liaison Office	1040 Brussels, Avenue de la Joyeuse Entrée 17-20	48		48	12 497		Commercially rented office		
TOTAL			1 326	1 166,4	2 492,4	70 114				

5.1.2 Current building(s) Other comments

Buildings 2, 3 and 4 under point 5.1.1 are shown for transparency reason. Those office places are not formal Cepol buildings but rented/used offices.

5.1.3 Building projects in the planning phase

CEPOL's staff has reached the maximum number originally foreseen for the building. The current building has been designed for 53 staff members, current staffing levels (including the two projects that are actively implemented) are over 76. CEPOL is already renting additional office spaces outside Headquarters or the Capacity Building Projects, using the budget reserved for those projects. In 2018 CEPOL has made a request to the Hungarian authorities to explore the possibilities for a new building for CEPOL. The Hungarian authorities are positively considering this request but a decision has not been taken yet.

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 European Schools

There are no European School or European sections in a national school in Budapest. This situation is not foreseen to change in the coming years. Consequently, it is difficult to promote geographical balance among the staff of the Agency not being able to provide schooling for the children of staff in a different language than Hungarian. Therefore CEPOL's Management Board decided that CEPOL shall pay the school fees (registration and attendance fees, school transportation costs). As a consequence, the school shall be considered as non-fee paying and the staff member concerned shall not receive the education allowance provided for in Article 3 of Annex VII of the Staff Regulations.

5.3 Evaluation

The last CEPOL evaluation from 2015 confirmed the relevance of its activities and that the Agency was able to respond and adapt to emerging priority areas. Due to the dynamic changes in the security environment, CEPOL's mandate set by Decision 2005/681/JHA became outdated and has been replaced by the new CEPOL Regulation (2015) 2219 which will allow to adapt the strategic objectives and to improve even more the relevance of CEPOL's activities; amongst others, through the Strategic Training Needs Analysis (STNA) and the Training Needs Analysis (TNA). The evaluation report was made public: <https://www.cepol.europa.eu/sites/default/files/five-year-evaluation-report-2011-2015.pdf> Next evaluation foreseen by Regulation (EU) 2015/2219 of the European Parliament and of the Council should be carried out by 1 of July 2021.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
CEPOL can request the reimbursement of incurred VAT in line with the HQ agreement signed and the applicable Hungarian regulations	CEPOL staff, with the exception of Hungarian nationals are issued a special identity card similar to those issued for members of diplomatic corps of the Member States of the EU in Hungary. CEPOL Staff is entitled to enjoy the privileges and immunities, exemptions and facilities granted by Hungary to members of the diplomatic corps of the Member States of the European Union in Hungary. The Protocol of privileges and immunities applies to the Director of CEPOL and the staff of its Secretariat, with the exception of staff seconded from the Member States and Hungarian nationals. Staff is entitled to reimbursement of VAT in accordance with the relevant rules foreseen for resident officials of international organizations in Hungary, up to 300.000 HUF of value of VAT/year during the first 2 years of employment in Hungary. Staff – with the exception of Hungarian nationals – are entitled to import from their last country of residence or from the country of which they are nationals, free of duty and without prohibitions or restrictions, within 12 months from	There is no European School in Budapest or at a reasonable distance from Budapest. Also, there is no European section in a national school. On the basis of current information, this situation is not foreseen to change in the coming years. CEPOL Governing Board decided that CEPOL shall pay the school fees. As a consequence, the school shall be considered as non-fee paying and the staff member concerned shall not receive the education allowance provided for in Article 3 of Annex VII of the Staff Regulations. The costs covered by CEPOL shall be: - the registration and attendance fees

Agency privileges	Privileges granted to staff	
	<p>the date of establishment of normal place of residence in the customs territory of the European Union, furniture and personal effect, including motor vehicles, that shall be registered under diplomatic plates.</p>	<p>- the school transportation costs.</p> <p>All other costs are excluded, in conformity with Commission Decision C (2004)131-53-2004 on general implementing provisions for the grant of the education allowance.</p>

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Council Regulation (EEC) 302/93	08/02/1993	This regulation establishing the EMCDDA, was repealed by Regulation (EC) No 1920/2006.
Recast Regulation (EC) 1920/2006 on the European Monitoring Centre for Drugs and Drug Addiction (recast)	12/12/2006	<p>The EMCDDA’s objective is to provide the EU and its Member States with factual, objective, reliable and comparable information at European level on drugs, drug addiction and their consequences. To achieve its objective, the Centre shall perform the following tasks: a) collection and analysis of existing data; b) improvement of data-comparison methods; c) dissemination of data; d) cooperation with European and international bodies and organisations and with third countries; e) identification of new developments and changing trends.</p> <p>The recast Regulation stipulates that the Centre shall focus on the following priority areas: monitoring the state of the drugs problem and emerging trends; monitoring the solutions applied to drug related problems; assessing the risks of new psychoactive substances and maintaining a rapid information system; and developing tools and instruments to facilitate the Member States' and the Commission's monitoring and evaluation of their respective drugs policies.</p> <p>The EMCDDA's tasks were extended through the recast Regulation. The collection, registration and analysis work must also cover data on emerging trends in poly drug use, including the combined use of licit and illicit psychoactive substances, but also information on best practices in the Member States and the exchange of such practices among them. The EMCDDA was also required to develop tools and instruments to facilitate the Member States' and the Commission's monitoring and evaluation of their respective drugs policies and strategies. The scope of the Centre's technical assistance was extended to certain non-Community countries such as the candidates for EU accession or the countries of the Western Balkans. Lastly, the recast Regulation introduced several organisational changes, such as the reference to the Vice-Chairperson of the Management Board and the Executive Committee, a new composition and selection procedure for the Scientific Committee.</p> <p>Furthermore, a new piece of legislation (Regulation (EU) 2017/2101 of the European Parliament and of the Council of 15 November 2017 amending Regulation EC No 1920/2006) was adopted on 24 October 2017, replacing Council Decision 2005/387/JHA as of 23 November 2018. The 2005 legal instrument set out well-defined and tight deadlines for all the tasks covered therein; the deadlines imposed by the new regulation are even stricter and the times allowed have been reduced by more than half, i.e. to two weeks for collecting data from the Reitox national focal points, to five weeks for drafting the initial report and to six weeks for preparing a requested risk assessment.</p> <p>The new regulation foresees the inclusion of a few other concrete new tasks, additional information and new working procedures in the operation of the EWS and risk assessments.</p>

1.2 Seat

Lisbon, Portugal

1.3 Budget Line

12 10 03 : European Monitoring Centre for Drugs and Drug Addiction (EMCDDA)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	51	48	94,12%	51	51

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Assistants (AST)	25	24	96,00%	25	25
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	76	72	94,74%	76	76
Contract Agents (CA)	34	34	100,00%	34	34
Seconded National Experts (SNE)	1	1	100,00%	1	1
TOTAL STAFF	111	107	96,40%	111	111

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	16 288 600	16 614 372
Other Revenue	730 739	745 320
TOTAL REVENUES	17 019 339	17 359 692

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES	1 007 367	795 219

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	11 470 017	11 470 017	11 710 484	11 710 484
Title 2 - Infrastructure and operating expenditure	1 802 490	1 802 490	1 947 309	1 947 309
Title 3 - Operational expenditure	4 754 199	4 754 199	4 497 118	4 497 118
TOTAL EXPENDITURE	18 026 706	18 026 706	18 154 911	18 154 911

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019		2020	2021	
	Authorised Budget	Actually filled as of 31/12/2019	Authorised Budget	Request of the Agency	Draft Budget Request

	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1				1		1		1
AD 14		1		1		1		1		1
AD 13	1	3	1	3	1	3	1	3	1	3
AD 12	4	10	3	5	3	9	3	9	3	9
AD 11	1	11		7	1	10	1	10	1	10
AD 10		12	1	3	1	11	1	11	1	11
AD 9		7	1	8		8		8		8
AD 8				9		1		1		1
AD 7				4		1		1		1
AD 6				2						
AD 5										
AD TOTAL	6	45	6	42	6	45	6	45	6	45
AST 11	1	1		1	1	1	1	1	1	1
AST 10		2				2		2		2
AST 9	1	7		3	1	6	1	6	1	6
AST 8	2	7	1	2	2	6	2	6	2	6
AST 7		4		3		5		5		5
AST 6			1	8		1		1		1
AST 5				3						
AST 4				1						
AST 3			1							
AST 2										
AST 1										
AST TOTAL	4	21	3	21	4	21	4	21	4	21
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL	10	66	9	63	10	66	10	66	10	66
GRAND TOTAL	76		72		76		76		76	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	8	8	8	8
Function Group III	10	8	9	9
Function Group II	13	15	14	14
Function Group I	3	3	3	3
TOTAL	34	34	34	34

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	1	1	1	1

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	15 286 600	16 288 600	18 106 000	16 614 372	2,00%
- Of which assigned revenues deriving from previous years' surpluses	189 764	22 251	20 639	20 638	-7,25%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	684 166	730 739	839 852	745 320	2,00%
- Of which EEA/EFTA (excl. Switzerland)	410 462	439 095	515 668	447 923	2,01%
- Of which candidate countries	273 704	291 644	324 184	297 397	1,97%
4 OTHER CONTRIBUTIONS	18 983				
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	15 989 749	17 019 339	18 945 852	17 359 692	2,00%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant	2 197 414	1 007 367	795 219	795 219	-21,06%

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL	2 197 414	1 007 367	795 219	795 219	-21,06%

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	10 756 058	11 470 017	12 242 037	11 710 484	2,10%
Salaries & allowances	10 713 688	11 415 017	12 128 037	11 643 318	2,00%
- Of which establishment plan posts	9 098 093	9 720 289	10 257 599	9 914 695	2,00%
- Of which external personnel	1 615 595	1 694 728	1 870 438	1 728 623	2,00%
Expenditure relating to Staff recruitment	1 672	10 000	14 000	10 200	2,00%
Employer's pension contributions					
Mission expenses					
Socio-medical infrastructure					
Training	40 698	45 000	100 000	56 966	26,59%
External Services					
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 464 421	1 802 490	2 300 811	1 947 309	8,03%
Rental of buildings and associated costs	858 882	1 229 261	1 475 004	1 363 846	10,95%
Information, communication technology and data processing	467 351	415 775	607 456	424 091	2,00%
Movable property and associated costs	57 078	50 860	96 360	51 877	2,00%
Current administrative expenditure	26 889	27 964	30 806	28 523	2,00%
Postage / Telecommunications	38 821	63 050	63 080	63 080	0,05%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure	15 400	15 580	28 105	15 892	2,00%
Title 3 - Operational expenditure	4 825 081	4 754 199	5 198 223	4 497 118	-5,41%
Information and Publishing	495 354	430 000	580 000	438 600	2,00%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Studies	451 942	387 844	675 784	395 601	2,00%
REITOX	2 060 603	2 140 000	2 063 000	2 063 000	-3,60%
Mission expenses	238 385	260 000	318 220	265 200	2,00%
Meeting expenses	501 180	525 488	762 500	535 998	2,00%
Receptions and events	2 475	3 500	3 500	3 500	0,00%
Expenditure IPA and ENP1 projects	1 075 142	1 007 367	795 219	795 219	-21,06%
Expenditure related to IPA projects	147 405				
Expenditure related to ENP1 projects	927 737	1 007 367	795 219	795 219	-21,06%
TOTAL	17 045 560	18 026 706	19 741 071	18 154 911	0,71%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	10 733 754	11 470 017	12 242 037	11 710 484	2,10%
Salaries & allowances	10 706 962	11 415 017	12 128 037	11 643 318	2,00%
- Of which establishment plan posts	9 098 093	9 720 289	10 257 599	9 914 695	2,00%
- Of which external personnel	1 608 869	1 694 728	1 870 438	1 728 623	2,00%
Expenditure relating to Staff recruitment	1 672	10 000	14 000	10 200	2,00%
Employer's pension contributions					
Mission expenses					
Socio-medical infrastructure					
Training	25 120	45 000	100 000	56 966	26,59%
External Services					
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 212 472	1 802 490	2 300 811	1 947 309	8,03%
Rental of buildings and associated costs	794 271	1 229 261	1 475 004	1 363 846	10,95%
Information, communication technology and data processing	308 953	415 775	607 456	424 091	2,00%
Movable property and associated costs	31 913	50 860	96 360	51 877	2,00%
Current administrative expenditure	24 671	27 964	30 806	28 523	2,00%
Postage / Telecommunications	38 821	63 050	63 080	63 080	0,05%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating	13 843	15 580	28 105	15 892	2,00%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
expenditure					
Title 3 - Operational expenditure	4 459 573	4 754 199	5 198 223	4 497 118	-5,41%
Information and Publishing	541 227	430 000	580 000	438 600	2,00%
Studies	494 699	387 844	675 784	395 601	2,00%
REITOX	1 996 893	2 140 000	2 063 000	2 063 000	-3,60%
Mission expenses	209 382	260 000	318 220	265 200	2,00%
Meeting expenses	504 829	525 488	762 500	535 998	2,00%
Receptions and events	2 559	3 500	3 500	3 500	0,00%
Expenditure IPA and ENP1 projects	709 984	1 007 367	795 219	795 219	-21,06%
Expenditure related to IPA projects	85 671				
Expenditure related to ENP1 projects	624 313	1 007 367	795 219	795 219	-21,06%
TOTAL	16 405 799	18 026 706	19 741 071	18 154 911	0,71%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR 20 638

4 Justification of needs

Commission assessment

Human Resources

The Commission supports a stable number of staff for all categories (establishment posts, Seconded National Experts, Contract Agents funded by the EU contribution).

Financial Resources

The Commission proposes an EU contribution of EUR 16 614 372 in compliance with the Communication on the MFF of 27th of May. Overall, this amount corresponds to the 2020 EU contribution with a 2% indexation.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

No additional staff is requested for 2021.

4.1.2 Vacancy rate as of end 2019

5 %

4.1.3 Standard abatement ('abatement forfaitaire') applied

N.A.

4.1.4 Salary assumption for calculating salary line (% applied)

In line with 2021 Budget circular and an estimate for correction factor in Portugal.

4.1.5 Correction coefficient used

88.6%

4.1.6 Exchange rate used (if applicable)

N.A.

4.2 Financial Resources - Agency request

4.2.1 Title 1

Title 1 should cover the costs required for all staff in post and the estimated supplementary expenditure needed to meet the adjustments required in 2021 pursuant to the applicable EU Staff Regulations. In this context, special attention is to be paid to the development of actions for training staff (by reinstating the training budget at the level pre-2019 cuts). Title 1 should also allow EMCDDA to fully deploy the allocated human resources, by relying on the 76 authorised posts in the establishment plan for 2021.

4.2.2 Title 2

Title 2 should allow EMCDDA to meet the estimated essential costs for the EMCDDA premises and infrastructures, as well as for the administrative and IT support services and supplies. This takes into account that the 2021 annual cost for the lease of the EMCDDA premises will increase by EUR 110 000 compared to 2020.

Title 2 will ensure full operational capacity by means of facilitating ICT investments required for the replacement/renewal of 'end-of-life' desktops/workstations of EMCDDA staff and for servers serving its core business, i.e. operational and corporate data bases and ICT applications (such as: Fonte, ENDND, EMCDDA web site). The total estimated cost for these investments amount to EUR 192 000. Title 2 should also cover building-related investments, in line with the relevant legal and contractual obligations, for structural maintenance, replacement of end-of life equipment and infrastructures. The total estimated cost for these investments amount to EUR 206 000.

4.2.3 Title 3

Title 3 ensures that the EMCDDA reaches its full operational capacity and meets the needs to complement the existing national data sources by means of the following operations/activities: (i) developing a new EMCDDA business model encompassing the fast evolution of the drug phenomenon, (ii) continuing the Business Enterprise Architecture Programme maximizing EMCDDA efficiency, (iii) developing a novel drug monitoring framework enhancing the current EU core drug monitoring system, (iv) developing ESPAD related activities, (v) implementing a Best Practice Portal including local prevention strategies and inclusion of Criminal Justice related interventions, and (vi) developing the monitoring and analysis of drug-related crime beyond drug law offences. The EMCDDA will also implement additional tasks resulting from the new legislation strengthening the EU EWS on psychoactive substances (NPS) and the Risk Assessment procedure (Regulation (EU)2017/2101). EMCDDA will also coordinate the scientific programme, for the Fourth European Conference on Addictive Behaviours and Dependencies, planned for November 2021.

4.3 Ad hoc grants and delegation agreements

Pursuant to the decision taken by the relevant EU authorities in 2021 the EMCDDA should receive additional EUR 795,219 (*assigned appropriations*) from the EU budget as the third and final instalment of the EU financing for the third year of execution of the EU4Monitoring Drugs project. This project for technical assistance aims at enhancing the capacity of European Neighbourhood Policy (ENP) East and South countries (it can cover also, on ad hoc basis, the 'neighbours of the neighbours') to monitor drug markets and contribute improving the national and regional responses to security and health-related threats posed by contemporary drug markets and related issues.

The execution of the project covers a period of 36 months as from 01/01/2019 (this period may be extended for one additional year) and the appropriations allocated from the EU budget amount to total 3 000 000 EUR. They are provided to the EMCDDA by annual instalments in accordance with the relevant financing agreement.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Cais do Sodré, Lisbon, office building, rented	Lisbon, Portugal	5 846	674	6 520	1 072 090	Rental for 25 years with option to buy	Office building	The Host country supported the installation by providing the office furniture for the headquarters.	
TOTAL			5 846	674	6 520	1 072 090				

5.1.2 Current building(s) Other comments

N.A.

5.1.3 Building projects in the planning phase

No new building projects have been planned.

5.1.4 Building projects submitted to the European Parliament and the Council

No further building projects have been submitted to the European Parliament and the Council.

5.2 European Schools

Not applicable to EMCDDA, as there is no European school in Lisbon.

5.3 Evaluation

In line with Article 23 of the EMCDDA founding Regulation recast, the European Commission shall carry out an external evaluation of the agency every six years and forward the evaluation report to the European Parliament, the Council and the Management Board of the EMCDDA. The previous evaluation was completed in mid-2012. The fourth external evaluation of the agency was completed in November 2018. It covered the last two multi-annual work programmes of the EMCDDA, namely 2013-2015 and 2016-2018.

The main findings of the last evaluation were that EMCDDA appropriately addressed the objectives, tasks and priorities set out in its Regulation, as well as the EU Drugs Strategy, its Action Plans and the European Agenda on Security. The EMCDDA is well recognised and highly regarded as a centre for excellence in providing information on the drug phenomenon, not only in Europe but internationally. The EMCDDA has used the available human and financial resources efficiently to deliver the outputs, outcomes and impacts set out in its work programmes. The evaluation also found a high degree of coherence between the regulatory framework and the objectives and activities set out in the three-year EMCDDA Strategies and annual work programmes. The objectives and activities of the Centre are coherent with the EU Drugs Strategy and the EU Action Plans on Drugs, and complement those of the European Commission and other EU Agencies. The EMCDDA has an excellent reputation as the main source of comprehensive, scientific and reliable EU-level drug-related information, and is used by national, EU and international stakeholders, especially policy makers, researchers and practitioners.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff
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Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
<p>The Portuguese Government granted the EMCCDA with diplomatic status by means of the conclusion of a seat agreement on 26th June 1996 (Protocol between the Portuguese Government and the EMCDDA regarding the functioning of the agency in Portugal and the installation of its headquarters in Lisbon). Through this Agreement, which entered into force in May 1998, the Portuguese Government applies the Protocol on the Privileges and Immunities of the European Communities to the EMCDDA, exempting the agency from payment of all national, regional or municipal rates and taxes as regards the fixed assets it owns or rents, as well as from customs duties and from any other taxes, prohibitions or restrictions on goods of any kind which it imports or exports in the exercise of its official business (VAT, etc.)</p>	<p>Protocol on the Privileges and Immunities of the European Communities is applicable to EMCDDA staff. The Protocol concluded between the Portuguese Government and the EMCDDA regarding the functioning of the agency in Portugal and the installation of its headquarters in Lisbon, grants the EMCDDA staff the privileges and immunities, exemptions and facilities recognised by the Portuguese State to members of a comparable category of the diplomatic corps in Portugal. As a consequence EMCDDA staff is entitled to purchase furniture and /or household aids VAT free. This exemption does not cover expenditure for food supplies and beverages, property works, including materials, water, gas, electricity, food and beverages services; hotels or similar services, fixed line telephone services. Limited exemption is granted from the payment of the Portuguese tax and VAT on the purchase and registration of vehicles.</p>	<p>There is no European or accredited school that can be attended free of charge in the area where the EMCDDA has its seat. As per the Memorandum of Understanding signed in 2004 by the Portuguese Government, the EMCDDA and EMSA concerning the common premises of the two agencies in Lisbon, the Portuguese Government committed itself to do its utmost (jointly with EMSA and EMCDDA) to find the best possible solution for providing schooling for the children of EMSA and EMCDDA staff. In this context it agreed to pursue either the establishment of a European School in Lisbon or the signature of partial agreements between the European School Board and the main international schools in the Lisbon area. However, difficulties have been encountered for the implementation of this solution.</p>

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission / Tasks / Functions
Regulation (EC) N° 178/2002	28/01/2002	<p>EFSA is the cornerstone of the EU system of risk assessment for food and feed safety. Its scientific advice on existing and emerging risks underpins the policies and decisions of risk managers in the European Institutions and EU Member States with the objective of protecting consumer health. The Authority’s most critical commitment is to provide objective, transparent and independent advice and clear communication grounded in the most up-to-date scientific methodologies, information and data available. The Authority is committed to the core standards of scientific excellence, openness, transparency, independence and responsiveness.</p> <p>EFSA brings together Europe’s best available experts in risk assessment in the field of food and feed safety, who act in an independent capacity for an autonomous, self-governed organisation to provide the European EU, Member States and the European Parliament with scientific advice of the highest standard.</p> <p>EFSA works closely with national food safety agencies and in open consultation with its stakeholders, proactively seeking input, ensuring the transparency of its procedures and exchanging information with international partners. This puts EFSA in a strong position to assist risk managers in developing coordinated and international approaches based on comprehensive and current analysis.</p> <p>429,374.59</p> <p>EFSA is a responsive and reliable source of support for decision makers. Through its Scientific Committee, Scientific Panels and Working Groups, the Authority undertakes to respond quickly and proactively to urgent issues and emerging risks and EFSA’s programming will continue to evolve and adapt in line with the priorities and needs of risk managers.</p> <p>Communicating on risks associated with the food chain is a key part of EFSA’s mandate. EFSA, in close cooperation with the European Commission, strives to ensure all interested parties receive timely, reliable, objective and meaningful information based on the results of its scientific work, in liaison with national food safety authorities and stakeholders, and taking account of the needs of different audiences.</p> <p>EFSA will continue working independently, openly and transparently to deliver the best possible scientific advice and therefore contribute to strengthening the European food and feed safety system.</p>
Regulation (EU) 2019/1381	20/06/2019	<p>The new Transparency Regulation adopted in April 2019 to significantly increase the transparency of the EU risk assessment in the food chain, revisit the governance of EFSA in order to ensure its long-term sustainability, improve the coherence of risk communication and enhance the quality and reliability of studies.</p> <p>The measures introduced with the Transparency Regulation have generated modifications to the EFSA’s multiannual plan which now include concrete actions that ensure the appropriate implementation of the regulation with the final aim for a more robust, independent and transparent risk assessment process.</p>

1.2 Seat

Parma, Italy

1.3 Budget Line

14 10 02 : European Food Safety Authority

1.4 Human Resources Overview

Human Resources	2019	2020	2021

	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	220	215	97,73%	255	284
Assistants (AST)	100	98	98,00%	99	96
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	320	313	97,81%	354	380
Contract Agents (CA)	131	131	100,00%	139	146
Seconded National Experts (SNE)	15	15	100,00%	15	15
TOTAL STAFF	466	459	98,50%	508	541

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	101 413 013	115 558 185
Other Revenue	2 433 390	2 774 604
TOTAL REVENUES	103 846 403	118 332 789

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	48 506 000	48 506 000	53 580 500	53 580 500
Title 2 - Infrastructure and operating expenditure	13 400 679	13 400 679	16 617 800	16 617 800
Title 3 - Operational expenditure	46 083 219	41 939 724	58 623 133	48 134 491
TOTAL EXPENDITURE	107 989 898	103 846 403	128 821 433	118 332 791

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019		2020	2021	
	Authorised Budget	Actually filled as of 31/12/2019	Authorised Budget	Request of the Agency	Draft Budget Request

	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1		1		1
AD 14										
AD 13		2		1		4		4		4
AD 12		7		5		4		4		4
AD 11		9		7		8		10		10
AD 10		20		14		19		20		20
AD 9		38		30	1	40	1	43	1	43
AD 8	2	57	2	61	3	62	4	68	4	68
AD 7	3	45	3	49	1	59		68		68
AD 6		27		35		43		52		52
AD 5		9		7		10		9		9
AD TOTAL	5	215	5	210	5	250	5	279	5	279
AST 11										
AST 10										
AST 9										
AST 8		1				1		2		2
AST 7		3		3		4		4		4
AST 6		7		6		6		9		9
AST 5		21		16		21		21		21
AST 4		32		36		34		32		32
AST 3		20		19		22		17		17
AST 2		15		17		11		11		11
AST 1		1		1						
AST TOTAL		100		98		99		96		96
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL	5	315	5	308	5	349	5	375	5	375
GRAND TOTAL	320		313		354		380		380	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	98	105	116	122
Function Group III	7	7	8	7
Function Group II	25	19	15	17
Function Group I	1			
TOTAL	131	131	139	146

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	15	15	15	15

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	77 402 001	101 413 013	115 558 185	115 558 185	13,95%
- <i>Of which assigned revenues deriving from previous years' surpluses</i>	310 366	442 464	429 375	429 375	-2,96%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	1 851 441	2 433 390	2 774 604	2 774 604	14,02%
- <i>Of which EEA/EFTA (excl. Switzerland)</i>	1 851 441	2 433 390	2 774 604	2 774 604	14,02%
- <i>Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS	33 344				
- <i>Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	79 286 786	103 846 403	118 332 789	118 332 789	13,95%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)	750 000				
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL	750 000				

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	44 180 210	48 506 000	53 580 500	53 580 500	10,46%
Salaries & allowances	39 643 140	42 078 000	46 300 000	46 300 000	10,03%
- Of which establishment plan posts	30 597 253	33 157 000	36 589 000	36 589 000	10,35%
- Of which external personnel	9 045 887	8 921 000	9 711 000	9 711 000	8,86%
Expenditure relating to Staff recruitment	307 069	492 000	481 000	481 000	-2,24%
Employer's pension contributions					
Mission expenses	240 500	310 000	340 000	340 000	9,68%
Socio-medical infrastructure	242 783	240 000	247 000	247 000	2,92%
Training	369 234	500 000	520 000	520 000	4,00%
External Services	2 044 135	3 431 000	4 122 500	4 122 500	20,15%
Receptions, events and representation	149				
Social welfare	1 333 200	1 455 000	1 570 000	1 570 000	7,90%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	10 424 211	13 400 679	16 617 800	16 617 800	24,01%
Rental of buildings and associated costs	5 797 722	6 552 053	7 423 000	7 423 000	13,29%
Information, communication technology and data processing	3 751 146	5 707 797	7 944 800	7 944 800	39,19%
Movable property and associated costs	278 548	534 669	443 840	443 840	-16,99%
Current administrative expenditure	223 324	286 500	366 500	366 500	27,92%
Postage / Telecommunications	317 354	228 660	228 660	228 660	0,00%
Meeting expenses	52 964	80 000	200 000	200 000	150,00%
Running costs in connection with operational activities					
Information and publishing	3 153	11 000	11 000	11 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	25 372 831	46 083 219	58 623 133	58 623 133	27,21%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Regulated Products	2 720 117	5 749 444	9 821 020	9 821 020	70,82%
Risk Assessment	2 598 553	4 898 090	8 366 761	8 366 761	70,82%
Scientific Cooperation & Strategy	7 923 684	11 715 485	20 473 152	20 473 152	74,75%
Communication	1 292 882	3 494 000	5 699 000	5 699 000	63,11%
Operational support	10 837 595	20 226 200	14 263 200	14 263 200	-29,48%
TOTAL	79 977 252	107 989 898	128 821 433	128 821 433	19,29%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	43 644 686	48 506 000	53 580 500	53 580 500	10,46%
Salaries & allowances	39 638 774	42 078 000	46 300 000	46 300 000	10,03%
- Of which establishment plan posts	30 597 253	33 157 000	36 589 000	36 589 000	10,35%
- Of which external personnel	9 041 521	8 921 000	9 711 000	9 711 000	8,86%
Expenditure relating to Staff recruitment	306 806	492 000	481 000	481 000	-2,24%
Employer's pension contributions					
Mission expenses	235 455	310 000	340 000	340 000	9,68%
Socio-medical infrastructure	226 625	240 000	247 000	247 000	2,92%
Training	220 050	500 000	520 000	520 000	4,00%
External Services	1 688 127	3 431 000	4 122 500	4 122 500	20,15%
Receptions, events and representation	149				
Social welfare	1 328 700	1 455 000	1 570 000	1 570 000	7,90%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	8 217 434	13 400 679	16 617 800	16 617 800	24,01%
Rental of buildings and associated costs	4 704 895	6 552 053	7 423 000	7 423 000	13,29%
Information, communication technology and data processing	2 835 673	5 707 797	7 944 800	7 944 800	39,19%
Movable property and associated costs	210 199	534 669	443 840	443 840	-16,99%
Current administrative expenditure	157 323	286 500	366 500	366 500	27,92%
Postage / Telecommunications	271 902	228 660	228 660	228 660	0,00%
Meeting expenses	35 239	80 000	200 000	200 000	150,00%
Running costs in connection with operational activities					
Information and publishing	2 203	11 000	11 000	11 000	0,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	20 648 432	41 939 724	48 134 491	48 134 491	14,77%
Regulated Products	2 653 468	5 749 444	9 821 020	9 821 020	70,82%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Risk Assessment	2 532 805	4 898 090	8 366 761	8 366 761	70,82%
Scientific Cooperation & Strategy	7 161 985	7 511 590	9 946 394	9 946 394	32,41%
Communication	1 048 169	3 494 000	5 699 000	5 699 000	63,11%
Operational support	7 252 005	20 286 600	14 301 316	14 301 316	-29,50%
TOTAL	72 510 552	103 846 403	118 332 791	118 332 791	13,95%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): 429,374.59 EUR

4 Justification of needs

Commission assessment

Human Resources

Due to the adoption of the revised General Food Law (178 Transparency Regulation) and the expansion of its mandate, EFSA has been granted a total of 106 additional posts (85 TA, 21 CA) compared to the 2019 Establishment Plan, to be granted to EFSA over a period of three years. 42 posts were added to the capacity in 2020 (out of which 3 CA posts temporarily lent to ECHA in the frame of the IUCLID programme, to be made available for EFSA in 2023).

In this regard, the Commission supports the Agency's request for Human resources foreseen for 2021: 380 FTEs (+26 posts compared to 2020), 146 CAs (+7 CAs compared to 2020), 16 SNEs out of which 1 SNE dedicated to the pre-accession programme financed up to 2022.

Financial Resources

The total EU contribution foreseen for 2021 amounts EUR 125 800 000, out of which EUR 429 375 correspond to the assigned revenue stemming from the recovery of the agency surplus for the year 2019 and EUR 125 370 625 of fresh appropriations.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

In 2021, an estimated 33 of the additional posts deriving from the 178 Transparency Regulation will be added to EFSA's capacity, leading to an increase of +60 TAs and +15 CAs compared to the 2019 staff capacity. The number of SNEs is expected to remain unchanged at 16 (out of which one funded by the Pre-Accession Programme).

4.1.2 Vacancy rate as of end 2019

2.4% (97.6% occupancy rate, excluding offer letters)

1.7% (98.3% occupancy rate, including 3 offer letters) Vacancy rate including Officials, TAs, CAs & SNEs

4.1.3 Standard abatement ('abatement forfaitaire') applied

4.1.4 Salary assumption for calculating salary line (% applied)

The per-capita average increase in salaries, corresponds to 1.4% considering estimated salary adjustments/correction coefficient, career and step increases based on average occupancy rate of 93.5 % (taking into account the hiring time on the new 178 TR posts; target occupancy rate of 98% by year end).

4.1.5 Correction coefficient used

Incorporation of the 2019 reduction from 96.5 % to 95.2 % of the weighting coefficient for Italy.

4.1.6 Exchange rate used (if applicable)

4.2 Financial Resources - Agency request

4.2.1 Title 1

As foreseen by Legislative Financial Statement, compared to 2019, EFSA staff will increase by 60 temporary agents and 15 contract agents to be hired to contribute to implementation of Transparency Regulation (Regulation (EU) 2019/1381). The increase of budget in the title is mainly to coverage of additional staff cost.

4.2.2 Title 2

Additional budget was requested for IT expenditures linked to run cost of new scientific tools being developed during year 2020 and hardware/software cost linked to staff increase. Increase in building cost is mainly linked to building works linked to adaptation of premises to accommodate the increased number of staff as well as to implement new ways of working particularly with external experts.

4.2.3 Title 3

In Title III, the increase in Risk assessment and Regulatory products is mainly due to implementation of the provisions of Transparency regulation: new ways of engaging with MS/AF/Art.36 organisations and a possible new approach to capacity building as well as preparatory work sharing with MSs. In Scientific Cooperation, mainly for implementation of TR measures such as verification studies and studies in relation to new scientific developments becoming available.

Budget in horizontal operational support decreases mainly in operational IT systems and operational development, control and quality due to IT solutions for projects (including deliverables stemming from TR implementation) entering into run mode.

4.3 Ad hoc grants and delegation agreements

After the closure of previous project in May 2019, EFSA started in June 2019 a new action: “Preparatory measures for the participation of IPA ⁽¹⁾ beneficiaries in the European Food Safety Authority 2019-2021” with a budget of EUR 500,000. DG NEAR made available additional EUR 250,000 to extend this work up to 31 May 2022 in December 2019. With the additional funds EFSA intends to continue to involve IP A beneficiaries in its work and to provide opportunities to strengthen the capacities for risk assessment and communication through the promotion of networking and joint activities between EFSA, IPA and Member States.

It is important to emphasize that one SNE is expected to be financed by the Pre-Accession Programme.

¹ Instrument for the Pre-Accession Assistance for EU candidate countries or potential EU candidate countries

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	EFSA seat, Parma office building	Parma, Italy	14 200	13 300	27 500	1 646 000	25 year	ending December 2036	N/A	21 443 000
2	EFSA representative office	Brussels, Belgium	36		36	36 000	1 year	renewable	N/A	
3	EU Agencies' Network Shared Services Office	Brussels, Belgium	54		54	45 333	4 years	Renewable	N/A	
TOTAL			14 290	13 300	27 590	1 727 333				21 443 000

5.1.2 Current building(s) Other comments

- EFSA seat was acquired on 19.12.2011.
- Capital value remaining due at 31.12.2019 EUR 21.443 million.

The annual rent of EU Agencies' Network is shared amongst the EUAN, each agency contributing proportionally. The share other agencies is approximately 96%.

5.1.3 Building projects in the planning phase

n/a

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 European Schools

EFSA considers schooling to be an essential part of its staff policy. For this purpose a European School (Scuola per l'Europa) was established in 2004 and accredited in 2008 under the European Schools system. The school offers teaching up to baccalaureate level. In 2009 the Italian authorities commissioned the construction of a new building to host the school (the current facilities being in an unsatisfactory condition) through a project with a cost totalling EUR 35 million (to be paid by the Italian authorities). Following the suspension of work on the building in 2012 (due to financial difficulties with the construction company) the new building was completed in 2017 and, for the start of the new 2017-2018 school year, the school moved to the new facilities.

A contribution to the EU-accredited European School in Parma worth around EUR 1.3 million was paid from EFSA's 2019 budget for the 2018-2019 school year. The amount budgeted for 2020 onwards has been increased to cover the expected increases both in the annual school fees and in the number of pupils also deriving from the expected increase in the staff number in view of the implementation of the Transparency Regulation.

5.3 Evaluation

Evaluations (ex-ante and ex-post) encompass an assessment of initiatives according to a defined set of parameters, providing a solid evidence base to drive decisions and contribute to optimising the use of resources to ensure efficiency, effectiveness and the best value for taxpayers' money.

EFSA's revamped approach to evaluations, to be fully implemented as of 2020, following the EU "Better Regulation framework" and the "Agencies handbook on evaluations", includes: i) external (third party) evaluation of EFSA as described in its Founding Regulation; ii) external (third party) evaluations for areas of work which entail significant spending and/or organisational implications, whether individual (e.g. project) or cluster (e.g. EFSA strategy) activities; iii) internal evaluations for EFSA's "development" activities (projects), covered by ex-ante charters and ex-post project closing reports.

As a result of the third external evaluation of EFSA, delivered in 2018, EFSA will continue the implementation of the six Management Board recommendations:

1. Enhance capacity for fit-for-purpose and responsive scientific advice, improving the planning and responsiveness of the Authority
2. Enhance communication activities to strengthen EFSA's reputation by increasing proactivity of communication and communicating more collaboratively
3. Secure long-term efficiency and sustainability of operations, enhancing efficiency of the advice production system and finding additional ways to utilise expertise
4. Continue the transformation to an open science organisation, making evidence transparent and reusable, making the advice-development process accessible, enhancing dialogue with stakeholders and safeguarding and explaining the organisation's independence
5. Invest in preparedness to cope with complex futures scanning emerging risks, co-developing adequate assessment methodologies, co-developing European capacity for future risk governance and co-influencing EU research funding priorities
6. Collaborate, cooperate and co-design to meet integrated 'one health' protection targets, upgrading collaboration to a strategic level, utilising the opportunities of big data and sharing in an unlimited manner to tackle complexity and resource constraints

Following the mapping, held in 2019, of ongoing and planned projects and processes to the Board recommendations to, EFSA will carry out in 2020, and in the context of the new Strategy 2027 definition, an assessment of their level of implementation to ensure additional initiatives are integrated as necessary.

In 2018 and 2019, two additional external evaluations took place, one ex post (STEP 2018 project) and one mid-term (EFSA Strategy 2020 implementation). The follow-up actions identified by the ex post evaluation of the 'STEP 2018' project will continue to ensure that action plans set up by the recommendation's owners are in place. In order to complete the follow up of the 'STEP 2018' ex post evaluation EFSA will fine-tune the monitoring and reporting area in 2020 and will further streamline some key processes, recasting some key roles in the 'department coordination' area to further improve efficiency as of the second half of 2020.

EFSA carried out a mid-term evaluation of the "EFSA Strategy 2020", to be concluded by end-2020, to take stock of progress made in EFSA's current strategy implementation and identify lessons learned for the new strategy. The results and conclusions of the evaluation will feed the preparation of the new strategy in 2020.

The results of the mid-term evaluation, combined with the work in progress at the level of the new strategy preparation, will be an opportunity for the revision of the intervention logic and describing how different inputs, activities and outputs triggered by the agency interact to allow the delivery of objectives.

5.4 Privileges and immunities

<i>Agency privileges</i>	<i>Privileges granted to staff</i>	
	<i>Protocol of privileges and immunities/diplomatic status</i>	<i>Education /daycare</i>
In the seat agreement the Italian government committed to applying to the authority the privileges and immunities provided for in the Protocol on the Privileges and Immunities of the European Communities, signed in Brussels on 8 April 1965	The executive director of the authority and members of the senior management team, their spouses and dependent family members are granted the privileges and immunities, facilities and concessions that are granted by the Italian government to members of equivalent rank in the diplomatic corps in Italy	
The authority, its assets and funds, wherever they may be, are immune — during the performance of their official activities — from any form of legal proceedings and are not the subject of any administrative or legal measure of constraint	Staff are exempt from national taxes on salaries, wages and emoluments paid by the authority	
The premises and the buildings used by the authority, as well as the archives, are inviolable	Staff are immune from legal proceedings in respect of acts performed by them in the exercise of their official duties	
The authority, its funds, assets and income are, within the limits of their official activities, exempt from all the taxes and direct duties due to the state, regions, provinces and municipalities	Staff are, in respect of exchange regulations, accorded the same facilities as those accorded to officials of equal rank on foreign diplomatic missions in Italy and receive the same assistance with repatriation as is granted to diplomats in the event of international crises	
The authority is exempt from VAT for substantial purchases of goods and services relating to its official tasks and the exercise of its duties	Staff benefit, within a period of 2 years starting from the official move of the authority to its permanent seat or appointment by the authority, whichever is later, from a tax installation benefit — VAT exemption — on the purchase of furniture and other household goods necessary for their installation	
The authority is exempt from any customs duty, tax, prohibition or restriction on goods of any type imported or exported in the exercise of its own official activities	Members of staff who are not permanent residents in Italy on taking up their functions with the authority, or staff members employed by the authority prior to the move to Parma, may acquire one motor vehicle duty and tax free during their period of residence in Italy; the vehicle is registered in a special series	

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Regulation (EC) No 851/2004 of the European Parliament and of the Council	21/04/2004	<p>ECDC Vision:</p> <p>A future where all citizens of the EU enjoy the best protection from communicable diseases that the “state of the art” prevention and control measures allow, through the use of evidence based methods applied by Member States and the EU system in a mutually supportive manner.</p> <p>Article 3 of the Founding Regulation defines the mission, tasks and modes of operations of ECDC. The essence of this Article is:</p> <p>That ECDC’s current mission should concentrate on communicable diseases (and outbreaks of unknown origin).</p> <p>That ECDC should be a proactive centre of excellence as regards information and scientific knowledge on all aspects of communicable diseases that relate to their detection, prevention and control.</p> <p>That ECDC; last but not least, should be an agent of change , by actively supporting the whole EU system and its Member States in their efforts to strengthen their capacity to improve CD Prevention and Control.</p> <p>Further on the regulations stipulates that (article 3):</p> <p>‘In order to enhance the capacity of the EU and the Member States to protect human health through the prevention and control of human disease, the mission of the Centre shall be to identify, assess and communicate current and emerging threats to human health from communicable diseases. In the case of other outbreaks of illness of unknown origin which may spread within or to the EU, the Centre shall act on its own initiative until the source of the outbreak is known. In the case of an outbreak which clearly is not caused by a communicable disease, the Centre shall act only in cooperation with the competent authority upon request from that authority. In pursuing its mission the Centre shall take full account of the responsibilities of the Member States, the Commission and other EU agencies, and of the responsibilities of international organisations active within the field of public health, in order to ensure comprehensiveness, coherence and complementarity of action’.</p> <p>Within the field of its mission, the Centre shall:</p> <ul style="list-style-type: none"> - search for, collect, collate, evaluate and disseminate relevant scientific and technical data; - provide scientific opinions and scientific and technical assistance including training; - provide timely information to the Commission, the Member States, EU agencies and international organisations active within the field of public health; - coordinate the European networking of bodies operating in the fields within the Centre’s mission, including networks arising from public health activities supported by the Commission and operating the dedicated surveillance networks; - exchange information, expertise and best practices, and facilitate the development and implementation of joint actions.
COM/2008/741 SEC 2008 2792	13/11/2008	The report of the external evaluation confirms that ECDC succeeded in establishing itself as a centre of scientific excellence and that it brings added value in the prevention and control of communicable diseases.

1.2 Seat

1.3 Budget Line

14 10 01 : European Centre for Disease Prevention and Control

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	126	121	96,03%	126	126
Assistants (AST)	52	50	96,15%	51	51
Assistants/Secretaries (AST/SC)	2	3	150,00%	3	3
ESTABLISHMENT PLAN POSTS	180	174	96,67%	180	180
Contract Agents (CA)	100	99	99,00%	100	120
Seconded National Experts (SNE)	5	1	20,00%	5	5
TOTAL STAFF	285	274	96,14%	285	305

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	59 059 000	63 955 020
Other Revenue	1 400 000	1 515 734
TOTAL REVENUES	60 459 000	65 470 754

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	31 645 000	31 645 000	33 785 000	33 785 000
Title 2 - Infrastructure and operating expenditure	7 552 000	7 552 000	8 305 000	8 305 000
Title 3 - Operational expenditure	21 262 000	21 262 000	23 380 754	23 380 754
TOTAL EXPENDITURE	60 459 000	60 459 000	65 470 754	65 470 754

2 Human Resources

2.1 Establishment plan posts

no group and	2019	2020	2021

	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1				1		1		1
AD 14		4		1		2		2		2
AD 13		5				3		3		3
AD 12		10		5		7		12		7
AD 11		10		5		8		15		8
AD 10		25		9		23		24		23
AD 9		25		16		24		27		24
AD 8		20		29		22		22		22
AD 7		26		12		26		16		26
AD 6				17		10		4		10
AD 5				27						
AD TOTAL		126		121		126		126		126
AST 11										
AST 10		2				1		3		1
AST 9		2				2		3		2
AST 8		3		3		3		6		3
AST 7		10		2		11		11		11
AST 6		10		9		10		12		10
AST 5		15		13		15		11		15
AST 4		5		15		5		4		5
AST 3		5		3		4		1		4
AST 2				2						
AST 1				3						
AST TOTAL		52		50		51		51		51
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3		2				3		3		3
AST/SC 2										
AST/SC 1				3						
AST/SC TOTAL		2		3		3		3		3
TOTAL		180		174		180		180		180
GRAND TOTAL	180		174		180		180		180	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	50	50	50	65
Function Group III	36	36	36	41
Function Group II	12	11	12	12
Function Group I	2	2	2	2
TOTAL	100	99	100	120

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	5	1	5	5

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	57 387 854	59 059 000	60 240 000	63 955 020	8,29%
- Of which assigned revenues deriving from previous years' surpluses		1 879 347	1 469 306	1 469 306	-21,82%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	1 363 020	1 400 000	1 439 000	1 515 734	8,27%
- Of which EEA/EFTA (excl. Switzerland)	1 363 020	1 400 000	1 439 000	1 515 734	8,27%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	58 750 874	60 459 000	61 679 000	65 470 754	8,29%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	31 908 166	31 645 000	32 100 000	33 785 000	6,76%
Salaries & allowances	28 137 860	28 239 000	28 285 000	29 970 000	6,13%
- Of which establishment plan posts	21 927 468	22 591 200	21 970 000	21 970 000	-2,75%
- Of which external personnel	6 210 392	5 647 800	6 315 000	8 000 000	41,65%
Expenditure relating to Staff recruitment	430 524	365 000	393 000	393 000	7,67%
Employer's pension contributions					
Mission expenses	565 365	600 000	550 000	550 000	-8,33%
Socio-medical infrastructure	144 993	160 000	160 000	160 000	0,00%
Training	363 255	400 000	500 000	500 000	25,00%
External Services	2 235 379	1 842 000	2 177 000	2 177 000	18,19%
Receptions, events and representation	30 790	39 000	35 000	35 000	-10,26%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	7 473 284	7 552 000	7 605 000	8 305 000	9,97%
Rental of buildings and associated costs	3 559 060	4 124 000	4 275 000	4 480 000	8,63%
Information, communication technology and data processing	2 501 869	2 319 000	2 400 000	2 800 000	20,74%
Movable property and associated costs	292 441	65 000	65 000	100 000	53,85%
Current administrative expenditure	217 364	290 000	230 000	290 000	0,00%
Postage / Telecommunications	132 528	185 000	185 000	185 000	0,00%
Meeting expenses	770 022	569 000	450 000	450 000	-20,91%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	19 369 424	21 262 000	21 974 000	23 380 754	9,96%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
TOTAL	58 750 874	60 459 000	61 679 000	65 470 754	8,29%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	31 908 166	31 645 000	32 100 000	33 785 000	6,76%
Salaries & allowances	28 137 860	28 239 000	28 285 000	29 970 000	6,13%
<i>- Of which establishment plan posts</i>	21 927 468	22 591 200	21 970 000	21 970 000	-2,75%
<i>- Of which external personnel</i>	6 210 392	5 647 800	6 315 000	8 000 000	41,65%
Expenditure relating to Staff recruitment	430 524	365 000	393 000	393 000	7,67%
Employer's pension contributions					
Mission expenses	565 365	600 000	550 000	550 000	-8,33%
Socio-medical infrastructure	144 993	160 000	160 000	160 000	0,00%
Training	363 255	400 000	500 000	500 000	25,00%
External Services	2 235 379	1 842 000	2 177 000	2 177 000	18,19%
Receptions, events and representation	30 790	39 000	35 000	35 000	-10,26%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	7 473 284	7 552 000	7 605 000	8 305 000	9,97%
Rental of buildings and associated costs	3 559 060	4 124 000	4 275 000	4 480 000	8,63%
Information, communication technology and data processing	2 501 869	2 319 000	2 400 000	2 800 000	20,74%
Movable property and associated costs	292 441	65 000	65 000	100 000	53,85%
Current administrative expenditure	217 364	290 000	230 000	290 000	0,00%
Postage / Telecommunications	132 528	185 000	185 000	185 000	0,00%
Meeting expenses	770 022	569 000	450 000	450 000	-20,91%
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	19 369 424	21 262 000	21 974 000	23 380 754	9,96%
TOTAL	58 750 874	60 459 000	61 679 000	65 470 754	8,29%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): 1,469,305.57 EUR

4 Justification of needs

Commission assessment

Human Resources

The Commission supports ECDC request to maintain a stable number of establishment plan posts in 2021 compared to the Budget 2020 (180 posts). The Commission supports 20 additional CAs compared to estimate 2020. It follows the reinforcement provided to ECDC in the Amending budget 1/2020 of 20 CAs for two years in the context of Covid-19 pandemic preparedness.

Financial Resources

The Commission's request for DB 2021 amounts to EUR 63 955 020. It includes the financial coverage for the 20 additional CAs and will provide ECDC with the necessary means to ensure the continuity of its activities while seeking for efficiency gains.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

In 2021, the staffing is expected to remain the same as in 2020, at 180 FTEs.

From 2021 to 2023, the Centre estimates to hire around 14 additional contract agents for projects with funding from external revenue. In 2021, the Centre foresees in total 115 CAs, and 5 SNEs.

4.1.2 Vacancy rate as of end 2019

The vacancy rate for ECDC in 2019 is estimated at 3.3% (96.7% occupancy rate).

4.1.3 Standard abatement ('abatement forfaitaire') applied

There is no abatement.

4.1.4 Salary assumption for calculating salary line (% applied)

Due to the correction of the coefficient applied to the salaries in Sweden, which is driven, to a large extent, by the fluctuations of the Swedish krona, the staff expenditure in 2019 increased by 0.3% compared to 2018.

The budget 2021 forecasts to accommodate the salaries and salary related costs of the implemented establishment plan and the Centre's contract staff. The budget for salary related expenditures has been estimated considering the 2019 implementation. As in previous years, the impact on the budget line for the weighting remains an unknown and unpredictable macro-economic part of the ECDC's budget planning and its execution.

4.1.5 Correction coefficient used

4.1.6 Exchange rate used (if applicable)

Due to the correction of the coefficient applied to the salaries in Sweden, which is driven, to a large extent, by the fluctuations of the Swedish krona, the staff expenditure in 2019 increased by 0.3% compared to 2018.

4.2 Financial Resources - Agency request

4.2.1 Title 1

The budget 2021 forecasts to accommodate the salaries and salary related costs of the implemented establishment plan and the Centre's contract staff. The budget for salary related expenditures has been estimated considering the 2019 implementation. As in previous years, the impact on the budget line for the weighting remains an unknown and unpredictable macro-economic part of the ECDC's budget planning and its execution. This is due to the correction coefficient applied to the salaries in Sweden, which is driven, to a large extent, by the fluctuations of the Swedish krona.

4.2.2 Title 2

In 2021, the total budget of Title II slightly increases by 0.7%, mainly due to the increased property tax by the Swedish state.

4.2.3 Title 3

The amount of Title 3 for 2021 provided in Annex 2 table 1, will be increased by 3.3% compared to 2020. The 2021 budget is forecasted to reach EUR 21 974 000. Title 3 will be used to implement ECDC work programme activities through external procurements, grants and meetings. The detail of the expected outputs is given in part III of the present document.

4.3 Ad hoc grants and delegation agreements

From 2021 to 2023, the Centre estimates to hire around 15 additional contract agents for projects with funding from external revenue (ECDC Action "EU for Health Security in Africa: ECDC 4 Africa CDC and EU Initiative on Health Security 2021-2024).

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Gustav III boulevard 40 Hilton 3 building -Main Building	16973, Solna, Sweden	9 407	4 905	14 312		Contract start date is 27/2/2018. Expiration date is 27/2/33.	15-year contract with the option of 2 renewals of 5 years each. Termination notice period 12 months.	No financial support is provided by the Host Country.	
TOTAL			9 407	4 905	14 312					

5.1.2 Current building(s) Other comments

The rent cost projection without indexation for 2019 is 16.394.506,52 SEK and for 2020 is 19,491,840 SEK. In 2021, the rent without indexation is 19,491,840 SEK per year.

In 2021 there is no financial support provided by the Host Country.

5.1.3 Building projects in the planning phase

There is a building project put in operation in the spring 2018. The total surface is 9407 sqm. A new 15-year contract with the option of 2 renewals of 5 years each was signed. The contract start date is 27/2/2018 and the expiration date is 27/2/33

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 European Schools

There are a number of alternatives regarding international schooling within the region where the Centre is situated (international schools, German, British, French, Finnish schools). There is no European school in Stockholm.

Public schools, whether Swedish or international, are free of charge. Private school fees are high; although national grants per student reduce fees. However, the private International School situated in the Stockholm City Centre charges very high fees and the double educational allowance only covers a minimal part of the fees of this school.

There has been no special agreement set with any particular school.

It should be noted that the seat agreement between the Centre and the Swedish government provides for the possibility to consider a European section or school.

5.3 Evaluation

ECDC's Founding Regulation requires the Centre to organise external evaluations every five years to assess how well it is performing its mission. In 2019, the third external evaluation of ECDC for the period 2013-2017 showed that ECDC's role is widely recognised and appreciated among its stakeholders and its value acknowledged.

In 2018, ECDC launched its third external evaluation. A steering group of the Management Board, the External Evaluation Steering Committee (MEES), composed of representatives of the Member States, the European Commission and the European Parliament prepared the terms of reference, approved by the Management Board in March 2018. The 3rd external evaluation conducted by Price Waterhouse Cooper (PwC) started in September 2018 and was finalised in October 2019. In November 2019, the MEES has presented a set of recommendations for approval by the management Board. Once the recommendations approved in Q1 2020, the external evaluation report will be published on ECDC website, with the recommendations of the Management Board.

Internal evaluations:

ECDC has had a procedure for the internal evaluation of its activities and outputs since 2015. Every year a number of ECDC's projects or products have been assessed. The following internal evaluations took place:

- 2015: ECDC assessment the ECDC IT governance;
- 2016: evaluation on the deployment of ECDC experts in Africa;
- 2017: start of the evaluation of the ECDC disease programmes with the development of a common protocol for all Disease Programmes evaluations. The first two programmes to be evaluated in 2018 were IRV and FWD; FWD evaluated in 2019 – outsourced;
- 2018: evaluation of ECDC's intranet;
- 2019: evaluation of the document management system - outsourced
- 2019: evaluation of ECDC Fellowship Programme - outsourced
- 2018-2020: EPHEUS (evaluation of the surveillance systems) - outsourced.

The scope of the procedure is described in the Internal Control Framework 12:

‘The Agency deploys control activities through corporate policies that establish what is expected and in procedures that put policies into action’,

and: ‘The impact assessment and evaluation of financial expenditure and other non-spending activities are performed in accordance with the guiding principles of the Commission’s better regulation guidelines, to assess the performance of EU interventions and analyse options and related impacts on new initiatives.’

All evaluations are linked to activities in the Single Programming Document. Evaluations are generally conducted ex-post. Evaluations should be carried out for interventions such as: work programme activities, programmes, projects, processes, the work of disease networks and also more generic functions performed by the Centre (e.g. preparedness, epidemic intelligence, procurement).

An annual evaluation plan and indicative multi-annual evaluation programme are approved by the Director, after consultation of the relevant internal stakeholders.

Stakeholder surveys:

In 2015, ECDC launched a first stakeholder survey targeted to members of the Management Board, Advisory Forum, Competent Bodies, National Focal Points and relevant external stakeholders (EU institutions, relevant EU agencies, international organisations). The results of the survey were presented to the Management Board. In 2015 the corrective actions were included in a common action plan with the external evaluation. A second survey was done in 2016. The next stakeholder survey has been postponed to avoid duplication with the external evaluation of ECDC.

Monitoring of ECDC work programme implementation:

The implementation of ECDC work programme is managed through a Management Information System, as well as dedicated dashboards reviewed monthly by the Senior Management Team. Quarterly review of the level of implementation of the Work Programme are conducted and communicated to the senior management. For all projects, quarterly meetings are organised with each Unit to ensure the follow up and escalated to senior management and the Director when needed. An update of the implementation of the Work Programme is given at each meeting of the Management board.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
The Agency enjoys the privileges stipulated in the Protocol on the Privileges and Immunities of the European Communities (Articles 1 to 4 of the Protocol)	<p>Articles 12 to 16 of the Protocol on the Privileges and Immunities of the European Communities are applicable to the staff of the Centre.</p> <p>This includes:</p> <ol style="list-style-type: none"> 1) Immunity from jurisdiction as regards acts carried out by them in their official capacity. 2) Exemption from regulations restricting immigration and formalities for the registration of foreigners. 3) Right to import household effects from their last country of residence or from the country of which they are nationals <p>The Director of the Centre and the Deputy to the Director together with their families are granted the immunities and privileges accorded to heads of diplomatic missions and members of their families.</p>	<p>Family members of staff have access to day care/education in accordance with Swedish legislation.</p>

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission / Tasks/ Functions
Regulation (EC) 726/2004 of the European Parliament and the Council of 31 March 2004 (replacing Council Regulation (EEC) No 2309/93 of 22 July 1993)	24/08/1993	Founding Regulation: In order to promote the protection of human and animal health and of consumers of medicinal products throughout the Community, and in order to promote the completion of the internal market through the adoption of uniform regulatory decisions based in scientific criteria concerning the placing on the market and the use of medicinal products, the objectives of the Agency shall be to provide the Member States and the institutions of the Community with the best possible scientific advice on any question relating to the evaluation of the quality, the safety, and the efficacy of medicinal products for human and veterinary use, which is referred to it in accordance with the provisions of the Community legislation relating to medicinal products.
Council Regulation (EC) No 297/95 of 10 February 1995	15/02/1995	Regulation on fees payable to the EMA laying down the fee levels and its implementation for centrally authorised medicinal products.
Regulation (EC) No 141/2000 of European Parliament and the Council of 16 December 1999	20/01/2000	Orphan Medicines Regulation laying down a Community procedure for the designation of medicinal products as orphan medicinal products and to provide incentives for the research, development and placing on the market of designated orphan medicinal products.
Directive 2001/82/EC of European Parliament and the Council	28/11/2001	Community code relating to veterinary medicinal products
Directive 2001/83/EC of European Parliament and the Council	28/11/2001	Community code relating to medicinal products for human use
Directive 2004/24/EC of the European Parliament and the Council of 31 March 2004	30/04/2004	Traditional herbal medicinal products Directive amending, as regards traditional herbal medicinal products, Directive 2001/83/EC on the Community code relating to medicinal products for human use
Commission Regulation (EC) No 2049/2005 of 15 December 2005	16/12/2005	SME Regulation laying down rules regarding the payment of fees to, and the receipt of administrative assistance from, the European Medicines Agency by micro, small and medium-sized enterprises
Regulation (EC) No 1901/2006 of the European Parliament and the Council of 12 December 2006	26/01/2007	Paediatrics Regulation laying down rules concerning the development of medicinal products for human use in order to meet the specific therapeutic needs of the paediatric population, without subjecting the paediatric population to unnecessary clinical or other trials and in compliance with Directive 2001/20/EC.
Commission Regulation 658/2007 of 14 June 2007	15/06/2007 applicable from 04/07/2007	Financial penalties for infringement of certain obligations in connection with marketing authorisations granted under Regulation (EC) No 726/2004.
Regulation (EC) No 1394/2007 of the European Parliament and the Council of 13 November 2007	30/12/2007	Advance Therapies Regulation laying down specific rules concerning the authorisation, supervision and pharmacovigilance of advanced therapy medicinal products.
Commission Regulation 1234/2008 of 24 November 2008	01/01/2009 applicable from 01/01/2010	Variations Regulation laying down provisions concerning the examination of variations to the terms of the following marketing authorisations for medicinal products for human use and veterinary medicinal products.
Regulation (EC) No 470/2009 of the European Parliament and the Council of 6 May 2009	16/06/2009 applicable from 05/07/2009	Community procedures for the establishment of residue limits of pharmacologically active substances in foodstuff of animal origin.
Commission Regulation (EC) No 668/2009	24/07/2009	Implementing Regulation (EC) No 1349/2007 with regards to the evaluation and certification of quality and non-quality data relating to advanced therapies medicinal products [...] developed by SMEs.
Regulation (EU) No 1235/2010 of the European Parliament and the Council of 15 December 2010	01/01/2011 applicable from 02/07/2012	Pharmacovigilance Regulation amending Regulation (EC) No 726/2004 laying down Community procedures for the authorisation and supervision of medicinal products for human and veterinary use [...] and Regulation (EC) No 1394/2007 on advanced therapy medicinal products.

Regulation (EU) No 536/2014 of the European Parliament and the Council of 16 April 2014	Applicable not earlier than 28 May 2016	Regulation on Clinical trials on medicinal products for human use, and repealing Directive 2001/20/EC
Regulation (EU) No 658/2014 of the European Parliament and the Council of 15 May 2014	15/05/2014 applicable from 26/08/2014	Pharmacovigilance Fee Regulation laying down fees payable to the European Medicines Agency for the conduct of pharmacovigilance activities in respect of medicinal products for human use.
Regulation (EU) 2017/745 of the European Parliament and of the Council of 5 April 2017	5 April 2017 applicable from 26 May 2020	Regulation of medical devices in the European Union, amending Directive 2001/83, Regulation (EC) No 178/2002 and Regulation (EC) No 1223/2009 and repealing Directives 90/385 and 93/42/EEC.
Regulation (EU) 2017/746 of the European Parliament and of the Council of 5 April 2017	5 April 2017 Applicable from 22 May 2022	Regulation of in vitro diagnostic medical devices in the European Union, repealing Directive 98/79/EC and Commission Decision 2010/227/EU.
Regulation (EU)2019/6 of the European Parliament and of the Council of 11 December 2018	11/12/2018 applicable from 28 January 2022	Regulation of veterinary medicinal products in the European Union , repealing Directive 2001/82/EC.

1.2 Seat

6 Domenico Scarlattilaan, 1083 HS Amsterdam, The Netherlands

1.3 Budget Line

14 10 03 01 : Union contribution to the European Medicines Agency

14 10 03 02 : Special contribution for orphan medicinal products

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	365	364	99,73%	395	419
Assistants (AST)	226	219	96,90%	201	177
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	591	583	98,65%	596	596
Contract Agents (CA)	178	187	105,06%	213	203
Seconded National Experts (SNE)	45	28	62,22%	45	33
TOTAL STAFF	814	798	98,03%	854	832

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	51 025 000	26 200 000
Other Revenue	307 046 000	320 637 000
TOTAL REVENUES	358 071 000	346 837 000

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020		2021	
	Revenues estimated by the agency		Budget Forecast	
TOTAL REVENUES				

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	119 738 000	119 738 000	127 811 000	127 811 000
Title 2 - Infrastructure and operating expenditure	83 646 000	83 646 000	52 931 000	52 931 000
Title 3 - Operational expenditure	154 687 000	154 687 000	166 095 000	166 095 000
TOTAL EXPENDITURE	358 071 000	358 071 000	346 837 000	346 837 000

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		3		3		3		3		3
AD 14		7		7		8		9		9
AD 13		11		10		12		13		13
AD 12		43		43		44		45		45
AD 11		43		43		47		51		51
AD 10		43		43		44		52		50
AD 9		43		43		46		57		55
AD 8		59		59		66		75		71
AD 7		65		65		76		82		76
AD 6		23		23		46		46		46
AD 5		25		25		3				
AD TOTAL		365		364		395		433		419
AST 11		2		2		2		2		2
AST 10		7		7		7		7		7
AST 9		7		6		8		9		9
AST 8		16		16		19		10		10
AST 7		22		22		15		19		19
AST 6		27		25		15		20		20

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 5		35		33		39		38		38
AST 4		57		55		52		44		44
AST 3		46		46		44		28		28
AST 2		7		7						
AST 1										
AST TOTAL		226		219		201		177		177
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		591		583		596		610		596
GRAND TOTAL		591		583		596		610		596

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	83	87	92	117
Function Group III	25	59	111	76
Function Group II	70	41	10	10
Function Group I				
TOTAL	178	187	213	203

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	45	28	45	33

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES	293 953 058	306 773 000	319 692 000	319 692 000	4,21%
2 EU CONTRIBUTION	35 496 867	51 025 000	26 842 000	26 200 000	-48,65%
<i>- Of which assigned revenues deriving from previous years' surpluses</i>	14 468 303				
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)				642 000	100%
<i>- Of which EEA/EFTA (excl. Switzerland)</i>				642 000	100%
<i>- Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS	92 999	73 000	103 000	103 000	41,10%
<i>- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT	95 238				
7 CORRECTION OF BUDGETARY IMBALANCES	99 976	200 000	200 000	200 000	0,00%
TOTAL	329 738 138	358 071 000	346 837 000	346 837 000	-3,14%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	115 386 743	119 738 000	127 811 000	127 811 000	6,74%
Salaries & allowances	106 653 925	105 214 000	112 507 000	112 507 000	6,93%
<i>- Of which establishment plan posts</i>	106 653 925	105 214 000	112 507 000	112 507 000	6,93%
<i>- Of which external personnel</i>					
Expenditure relating to Staff recruitment	309 776	300 000	300 000	300 000	0,00%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Employer's pension contributions					
Mission expenses	1 196 654	1 010 000	1 160 000	1 160 000	14,85%
Socio-medical infrastructure	2 927 886	4 536 000	4 603 000	4 603 000	1,48%
Training	246 816	800 000	1 000 000	1 000 000	25,00%
External Services	3 935 591	7 718 000	8 111 000	8 111 000	5,09%
Receptions, events and representation	116 095	160 000	130 000	130 000	-18,75%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	83 734 373	83 646 000	52 931 000	52 931 000	-36,72%
Rental of buildings and associated costs	50 931 784	49 139 000	16 545 000	16 545 000	-66,33%
Information, communication technology and data processing	22 522 428	27 423 000	27 590 000	27 590 000	0,61%
Movable property and associated costs	794 808	880 000	991 000	991 000	12,61%
Current administrative expenditure	5 460 622	871 000	922 000	922 000	5,86%
Postage / Telecommunications	123 024	65 000	65 000	65 000	0,00%
Meeting expenses	304 050	209 000	380 000	380 000	81,82%
Running costs in connection with operational activities	1 924 635	1 549 000	1 967 000	1 967 000	26,99%
Information and publishing	999 827	1 500 000	2 461 000	2 461 000	64,07%
Studies	673 195	2 010 000	2 010 000	2 010 000	0,00%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	142 647 872	154 687 000	166 095 000	166 095 000	7,37%
Meetings	6 499 017	7 805 000	8 955 000	8 955 000	14,73%
Evaluation of medicines	121 589 667	126 269 000	132 703 000	132 703 000	5,10%
Translation expenses	3 964 005	4 241 000	5 196 000	5 196 000	22,52%
Studies and consultants	2 978 496	4 500 000	5 380 000	5 380 000	19,56%
Information and publication	7 616 687	11 872 000	13 861 000	13 861 000	16,75%
TOTAL	341 768 988	358 071 000	346 837 000	346 837 000	-3,14%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	115 386 744	119 738 000	127 811 000	127 811 000	6,74%
Salaries & allowances	106 653 925	105 214 000	112 507 000	112 507 000	6,93%
- Of which establishment plan posts	106 653 925	105 214 000	112 507 000	112 507 000	6,93%
- Of which external personnel					
Expenditure relating to Staff recruitment	309 776	300 000	300 000	300 000	0,00%
Employer's pension contributions					

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Mission expenses	1 196 654	1 010 000	1 160 000	1 160 000	14,85%
Socio-medical infrastructure	2 927 886	4 536 000	4 603 000	4 603 000	1,48%
Training	246 816	800 000	1 000 000	1 000 000	25,00%
External Services	3 935 591	7 718 000	8 111 000	8 111 000	5,09%
Receptions, events and representation	116 096	160 000	130 000	130 000	-18,75%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	83 734 374	83 646 000	52 931 000	52 931 000	-36,72%
Rental of buildings and associated costs	50 931 784	49 139 000	16 545 000	16 545 000	-66,33%
Information, communication technology and data processing	22 522 428	27 423 000	27 590 000	27 590 000	0,61%
Movable property and associated costs	794 809	880 000	991 000	991 000	12,61%
Current administrative expenditure	5 460 622	871 000	922 000	922 000	5,86%
Postage / Telecommunications	123 024	65 000	65 000	65 000	0,00%
Meeting expenses	304 050	209 000	380 000	380 000	81,82%
Running costs in connection with operational activities	1 924 635	1 549 000	1 967 000	1 967 000	26,99%
Information and publishing	999 827	1 500 000	2 461 000	2 461 000	64,07%
Studies	673 195	2 010 000	2 010 000	2 010 000	0,00%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	142 647 872	154 687 000	166 095 000	166 095 000	7,37%
Meetings	6 499 017	7 805 000	8 955 000	8 955 000	14,73%
Evaluation of medicines	121 589 667	126 269 000	132 703 000	132 703 000	5,10%
Translation expenses	3 964 005	4 241 000	5 196 000	5 196 000	22,52%
Studies and consultants	2 978 496	4 500 000	5 380 000	5 380 000	19,56%
Information and publication	7 616 687	11 872 000	13 861 000	13 861 000	16,75%
TOTAL	341 768 990	358 071 000	346 837 000	346 837 000	-3,14%

3.3 Budget Outturn

The budget outturn for 2019 is estimated to be negative. It amounts -9,362,625.84 EUR.

4 Justification of needs

Commission assessment

Human Resources

The Commission took note on EMA's requests to recruit additional staff. Considering the employment level at the end of 2019 and the current difficulties in recruiting the new employees, the Commission considers that there is no need to increase the establishment plan (596 FTEs) and the number of contract agents. Therefore, the total number of contract agents is set at 203 and the total of SNE equals to 33.

Financial Resources

The Commission's request for DB 2021 amounts to EUR 26 200 000. This is compliant with the Communication on the MFF of 27 May 2020. The end of the exceptional reinforcement granted in 2020 for the move from London to Amsterdam and the lower costs of living in Amsterdam underpin the decrease in the EU contribution.

As EMA had a negative outturn in 2019, no amount is to be deducted from its 2021 EU contribution to calculate the fresh credits.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

For 2021, EMA is requesting 14 additional fee-financed Temporary Agent posts (a 2.3% increase) to compensate for additional fee-financed workload, and the ongoing preparation for the implementation of the New Veterinary Regulation, bringing the establishment plan total to 610. Fee-related workload (as reflected by increased fee income excluding new pharmacovigilance fees and adjusted for inflation) has already increased by around 35% between 2014 and 2019 and is expected to grow by more than 5% between 2019 and 2021 (adjusted for inflation) as the portfolio of products increases every year.

With regard to establishment plan grading, the Agency continues to implement the outcomes of the a job mapping exercise, as initiated in 2018, and proposes to finalize this activity in 2021 with the conversion of 24 posts from Assistant to Administrator to reflect evolution and complexity of the job, and competencies required.

Considering Contract Agent headcount, the FTE numbers are foreseen to fall from 233 in 2019 to 218 by 2021, reflecting the gradual termination of the contracts of the 40 short-term contract agents authorised in 2019 specifically for Brexit-related purposes, recruited on contracts of a maximum of three years duration.

4.1.2 Vacancy rate as of end 2019

At the end of 2019 the Agency occupied 583 of 591 temporary agent posts in the establishment plan, resulting in a vacancy rate of 1.4%.

4.1.3 Standard abatement ('abatement forfaitaire') applied

For 2020 the Agency expects three retirements resulting in a standard abatement rate of 0.5%.

4.1.4 Salary assumption for calculating salary line (% applied)

In calculating the salary lines for 2021, a 2% increase in basic salaries from July 2021, standard number of promotions and full occupancy were assumed. Progression in step was calculated with an assumed impact of 1.24%.

4.1.5 Correction coefficient used

Duty station weighting (coefficient correcteur) for the Netherlands assumed for both 2020 and 2021 is 109,9.

4.1.6 Exchange rate used (if applicable)

The main non-Euro currency still used in the Agency's budget will be Sterling. The GDP to EUR rate applied in PDB2021 was the Infor-Euro rate for July 2019, i.e. 0,89428 (the most recent available at the time of establishment of PDB).

4.2 Financial Resources - Agency request

4.2.1 Title 1

2021 Title I figures increase by EUR 8 073 000 (6.7%), with the main increases coming from a 6.9% increase in the salaries and allowances chapter (+EUR 7 293 000). Employers pension contribution accounts for EUR 1 850 000 of this increase, with the remaining EUR 5 443 000 (+5.6%) mainly driven by wage inflation, step change increases and additional TA posts as described above

4.2.2 Title 2

2021 Title II figures show a sharp reduction of Eur 30 715 000 (-37%) compared with 2020, reflecting the fact that 2021 will be the first year in the new premises that EMA does not anticipate one-off relocation and fit-out costs. On the other hand, Information and Publishing costs in Title II will increase by EUR 961 000, reflecting the increased data analytics investment in subscriptions to scientific databases (e.g. Real World Evidence). ICT operating costs in 2021 are budgeted to remain stable with 2020 levels.

4.2.3 Title 3

2021 shows an overall increase of EUR 11 408 000 (+7.4%) compared to 2020. The allocations allow for: - increased payments of EUR 6 434 000 to National Competent Authorities (NCAs) for the evaluation of medicines in line with increasing workload; - increased expenditure on delegate reimbursements for attending scientific meetings (+EUR 1 150 000), translations (+EUR 955 000), scientific studies (+EUR 880 000) and IT development (+EUR 1 989 000).

4.3 Ad hoc grants and delegation agreements

Currently none foreseen for 2021.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Multi-tenanted office building; EMA lease covers parts of the basement, ground and promenade levels	30 Churchill Place, London, E14 5EU, UK	18 448	8 002	26 450		25 years from 1 July 2014	lease		
2	The building is a single-tenanted office premises and EMA will be the only occupant	Domenico Scarlattilaan 6 1083 HS Amsterdam The Netherlands	22 719	10 692	33 411	10 507 286	20 years from 1 January 2020	Lease	The Netherlands provides 3 mln. EUR for rent reductions of 150 000,00 for each year of the 20y lease	
TOTAL			41 167	18 694	59 861	10 507 286				

5.1.2 Current building(s) Other comments

From July 2019 the Agency sublets its former headquarters in London; the amounts paid to the Agency's landlord are matched by those of the sub-tenant to EMA and are managed under fund source CL.

5.1.3 Building projects in the planning phase

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 European Schools

The Agency's staff members who make use of European schools in general have their children enrolled at the European School in Bergen, NL (type 1 school) and at the European School in the Hague, NL (type 2 school).

5.3 Evaluation

The main findings of the latest evaluation available are as follows: The 2010 study provides firm evidence from an independent external consultant on very good performance of the Agency. Since its creation in 1993, the EMA has made considerable progress in maintaining an effective European authorisation system for human and veterinary medicinal products and gained great consideration from all stakeholders, at European as well as at international level. EMA opinions are considered of a very high quality from a scientific point of view and the Agency has become a leading actor in establishing international standards. EMA Secretariat together with 44 National Competent Authorities create an effective network providing for the most relevant experts. The evaluation led to both strategic and operational recommendations to optimise the system and remove the possible barriers that prevent from an efficient and sustainable functioning of the Agency. In 2017 the European Commission started preparing for the next evaluation and in 2018 it selected Ernst & Young to perform a study on the operation of centralised procedure (CP) and decentralised and mutual recognition procedures (MRP/DCP) for the authorisation and monitoring of medicinal products for human use during the period 2009-2017. A formal Commission report is expected to be delivered to the European Parliament and to the Council by mid-2020.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education day care
Agency has diplomatic status	Staff do not pay national taxes on their Union salary	European schools in The Hague and Bergen, both more than 50km from the Agency's new headquarters in Amsterdam
Within the scope of its official activities, the Agency, its assets, income and other property shall be exempt from all direct taxes, whether levied by national, provincial or local authorities.	Internationally recruited staff can buy tax-free vehicle(s)	Agency does not have a day care facility but provides financial contribution using the same rules as EC for nursery contribution to European kindergarten.
The Agency is exempt from a number of indirect taxes (further details to be consulted from the Seat Agreement between the Kingdom of the Netherlands and the European Medicines Agency).	Internationally recruited staff is exempt from certain taxations (further details to be consulted from the Seat Agreement between the Kingdom of the Netherlands and the European Medicines Agency).	Upon the Agency's relocation to Amsterdam, eligible staff with children (regardless of where they attend school) will receive the double education allowance per child, as the Agency's new permanent seat is more than 50km from the nearest European School
	Agency staff are covered by JSIS and exempt from contributions to Dutch social security and NHS, although issues of insufficient access to the	

	Dutch health system for staff member's spouses and children continue to cause problems	
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2.6 Decentralised agencies of Heading 7 – Administration

2.6.1 Translation Centre for the Bodies of the European Union – CDT

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Council Regulation (EC) No. 1645/2003	18/06/2003	Rational response to the translation needs of a large number of European agencies and offices
Council Regulation (EC) No. 2610/95	30/10/1995	The active participation of the Centre in inter institutional cooperation
Council Regulation (EC) No. 2965/94	28/11/1994	To meet the translation needs of the other decentralised Community Agencies

1.2 Seat

Luxembourg

1.3 Budget Line

20 10 01 : Translation Centre for the Bodies of the European Union

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	135	127	94,07%	135	135
Assistants (AST)	56	51	91,07%	56	56
Assistants/Secretaries (AST/SC)	2	2	100,00%	2	2
ESTABLISHMENT PLAN POSTS	193	180	93,26%	193	193
Contract Agents (CA)	30	22	73,33%	28	28
Seconded National Experts (SNE)					
TOTAL STAFF	223	202	90,58%	221	221

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES	47 077 100	

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020		2021	
	Revenues estimated by the agency		Budget Forecast	
TOTAL REVENUES				

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	27 538 900	27 538 900		
Title 2 - Infrastructure and operating expenditure	7 846 700	7 846 700		
Title 3 - Operational expenditure	11 691 500	11 691 500		
Title 10 - Reserves				
TOTAL EXPENDITURE	47 077 100	47 077 100		

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1			1	1	1	1	1	1
AD 13	1		1		1		1		1	
AD 12	17	11	9	5	16	11	16	12	16	12
AD 11	7	4	4	4	8	5	10	5	10	5
AD 10	8	5	5	7	8	5	7	5	7	5
AD 9	4	12	5	4	5	13	5	15	5	15
AD 8	1	21	6	16		21		22		22
AD 7	6	24	7	18	5	26	5	28	5	28
AD 6	1	12	3	20	1	8		2		2
AD 5			1	12						
AD TOTAL	45	90	41	86	45	90	45	90	45	90
AST 11										
AST 10					1		1		1	
AST 9	4		4		3	1	3	2	3	2
AST 8	1	2	1	3	1	2	1	1	1	1
AST 7		5		2		4	1	5	1	5

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 6	1	6	1	7	1	7		9		9
AST 5	1	19	1	14	1	20	1	19	1	19
AST 4		12		8		12		12		12
AST 3		5		10		3		1		1
AST 2										
AST 1										
AST TOTAL	7	49	7	44	7	49	7	49	7	49
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3		1		1		1		1		1
AST/SC 2		1		1		1		1		1
AST/SC 1										
AST/SC TOTAL		2		2		2		2		2
TOTAL	52	141	48	132	52	141	52	141	52	141
GRAND TOTAL	193		180		193		193		193	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	16	9	14	14
Function Group III	9	6	9	9
Function Group II	5	7	5	5
Function Group I				
TOTAL	30	22	28	28

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL				

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES	35 885 220	42 772 500	43 931 300		-100%
2 EU CONTRIBUTION					
<i>- Of which assigned revenues deriving from previous years' surpluses</i>					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
<i>- Of which EEA/EFTA (excl. Switzerland)</i>					
<i>- Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS	733 669	664 600	629 900		-100%
5 ADMINISTRATIVE OPERATIONS	669 227	624 750	627 550		-100%
<i>- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES		3 015 250	2 021 050		-100%
TOTAL	37 288 116	47 077 100	47 209 800		-100%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	24 105 964	27 538 900	28 540 300		-100%
Salaries & allowances	20 340 026	23 066 600	23 831 000		-100%
<i>- Of which establishment plan posts</i>	18 947 015	21 246 100	21 933 000		-100%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
<i>- Of which external personnel</i>	1 393 011	1 820 500	1 898 000		-100%
Expenditure relating to Staff recruitment	144 958	216 500	219 600		-100%
Employer's pension contributions	3 131 680	3 415 000	3 534 600		-100%
Mission expenses	67 050	104 100	107 800		-100%
Socio-medical infrastructure	227 920	456 300	567 400		-100%
Training	110 861	191 400	189 200		-100%
External Services					
Receptions, events and representation	69	2 500	2 500		-100%
Social welfare	83 400	86 500	88 200		-100%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	6 676 129	7 846 700	7 496 100		-100%
Rental of buildings and associated costs	2 975 543	3 116 700	3 078 200		-100%
Information, communication technology and data processing	3 114 441	3 958 300	3 675 000		-100%
Movable property and associated costs	41 884	54 000	51 200		-100%
Current administrative expenditure	199 065	230 200	228 700		-100%
Postage / Telecommunications	130 152	261 500	261 500		-100%
Meeting expenses	6 257	37 000	24 000		-100%
Running costs in connection with operational activities	55 215	59 000	57 500		-100%
Information and publishing	17 147	30 000	20 000		-100%
Studies	136 425	100 000	100 000		-100%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	11 781 257	11 691 500	11 173 400		-100%
External translation services	10 844 446	10 830 000	10 420 000		-100%
Expenditure relating to interinstitutional cooperation	703 188	673 200	670 700		-100%
Expenditure linked to the e-Cdt programme	233 623	188 300	82 700		-100%
Title 10 - Reserves					
TOTAL	42 563 350	47 077 100	47 209 800		-100%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	24 105 964	27 538 900	28 540 300		-100%
Salaries & allowances	20 340 026	23 066 600	23 831 000		-100%
<i>- Of which establishment plan posts</i>	18 947 015	21 246 100	21 933 000		-100%
<i>- Of which external personnel</i>	1 393 011	1 820 500	1 898 000		-100%
Expenditure relating to Staff recruitment	144 958	216 500	219 600		-100%

EXPENDITURE	Payment appropriations				VAR 2021/2020 (%)
	Executed Budget 2019	Budget 2020	Draft Budget 2021		
			Agency request	Budget forecast	
Employer's pension contributions	3 131 680	3 415 000	3 534 600		-100%
Mission expenses	67 050	104 100	107 800		-100%
Socio-medical infrastructure	227 920	456 300	567 400		-100%
Training	110 861	191 400	189 200		-100%
External Services					
Receptions, events and representation	69	2 500	2 500		-100%
Social welfare	83 400	86 500	88 200		-100%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	6 676 130	7 846 700	7 496 100		-100%
Rental of buildings and associated costs	2 975 543	3 116 700	3 078 200		-100%
Information, communication technology and data processing	3 114 442	3 958 300	3 675 000		-100%
Movable property and associated costs	41 884	54 000	51 200		-100%
Current administrative expenditure	199 065	230 200	228 700		-100%
Postage / Telecommunications	130 152	261 500	261 500		-100%
Meeting expenses	6 257	37 000	24 000		-100%
Running costs in connection with operational activities	55 215	59 000	57 500		-100%
Information and publishing	17 147	30 000	20 000		-100%
Studies	136 425	100 000	100 000		-100%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	11 781 256	11 691 500	11 173 400		-100%
External translation services	10 844 446	10 830 000	10 420 000		-100%
Expenditure relating to interinstitutional cooperation	703 188	673 200	670 700		-100%
Expenditure linked to the e-Cdt programme	233 622	188 300	82 700		-100%
Title 10 - Reserves					
TOTAL	42 563 350	47 077 100	47 209 800		-100%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR N/A

4 Justification of needs

Commission assessment

Human Resources

The Commission supports CdT request for 193 posts i.e. stable staff compared with budget 2020.

Financial Resources

The CdT is self-financed and does not require any contribution from the Commission section of the budget.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

At the end of 2019, the Centre employed 180 staff, namely 48 officials and 132 temporary staff. Following a decision by the budgetary authority, the Establishment Plan 2019 remained at the level of 193 posts. In order to achieve cost efficiency gains, the Centre proactively started optimising its structure from 2009 and progressively decreased its Establishment Plan posts from 233 posts in 2009 to 193 posts in 2018. There were no reduction in the Establishment Plan posts in 2019 and there are no further reduction in posts planned for 2020. The Centre has fully complied with the Communication from the Commission to the Parliament and the Council (COM (519)2013) on Programming of human and financial resources for decentralised agencies 2014-2020. The Centre has to retain its critical mass of 193 Establishment Plan posts to function efficiently and thus be able to react promptly to clients' requests and fulfil its mission to provide high-quality linguistic services to its stakeholders. The planned number of contract staff for 2020 and 2021 has been reduced to 28 following the request of the Commission.

4.1.2 Vacancy rate as of end 2019

The vacancy rate for officials and temporary staff for 2019 stood at 6.7%

4.1.3 Standard abatement ('abatement forfaitaire') applied

Not applicable

4.1.4 Salary assumption for calculating salary line (% applied)

The Centre's budget includes the possibility for annual salary adjustments, estimated at 1.8% per year.

4.1.5 Correction coefficient used

Not applicable

4.1.6 Exchange rate used (if applicable)

4.2 Financial Resources - Agency request

4.2.1 Title 1

The budget for Title 1, 'Staff', in 2021 is EUR 28.5 million, 3.6% higher (EUR 1 million) than that for 2020. The Centre's budget provides for possible annual salary adjustments, estimated at 1.8% per annum, as well as biennial step advancements and promotions. The budget is based on an establishment plan of 193 posts, as approved by the budgetary authority for 2019. The budget also includes the Centre's financial contribution to the European Schools. The full contribution is estimated at around EUR 360 000, which will be made from 2022 onwards. The Centre has agreed to contribute 75% of the costs in 2021. The budget also takes into account factors such as the turnover ratio and staff work patterns. The estimates for 2022 and 2023 follow the same assumptions and the retention of an establishment plan of 193 posts for those years, and reach EUR 29.1 million and EUR 29.7 million, respectively.

4.2.2 Title 2

The budget for Title 2, 'Buildings, equipment and miscellaneous operating expenditure', is EUR 7.5 million in 2021. It has decreased by 4.5% compared with 2020. The decrease is mainly due to completion of the majority of the projects arising from the recommendations of the 'Study on the Translation Centre as the linguistic shared service provider for the EU agencies and bodies' and the end of the 2019-2020 programme with the EUIPO.

The expenditure in Title 2 includes expenditure for the hosting of a data centre for ERA and for the office space that is sublet to the Commission (Chafea). In conformity with the principle of universality, the revenue received from ERA and the Commission is recorded as revenue, as opposed to offsetting the expenditure.

In 2022 and 2023, the Centre estimates that expenditure in Title 2 will be EUR 7.5 million per annum. This reflects IT investments which are required in order to respond to clients' needs through the implementation of the actions set out in this programming document and includes a limited margin for indexations of various goods and services.

4.2.3 Title 3

The budget for Title 3, 'Operational expenditure', covers the outsourcing of translation services and technical services relating to language services and interinstitutional cooperation. It amounts to EUR 11.2 million in 2021, which is lower in comparison with the budget for 2020. It is EUR 0.6 million less (- 5.2%) than the 2019 outturn.

The budget for external translation services constitutes the main part of the title's budget, namely 92.7% in 2021. The actual cost of these services depends on a number of factors, such as changes in the ranking of suppliers under existing framework contracts and the prices agreed under future framework contracts, which also depend on economic developments in the Member States. The budget is estimated at EUR 10.4 million in 2021, EUR 8.2 million in 2022 and EUR 8.0 million in 2023. The amounts are in line with the forecast volumes and with the Centre's expectation that the investment in translation technologies will have a positive impact on the expenditure for external translation services. Clearly, real expenditure will heavily depend on the actual demand from the Centre's clients and the actual impact of translation technologies.

The forecast for interinstitutional cooperation in 2021 is EUR 0.7 million, that is 0.4% lower than in 2020, reflecting the plans for the IATE terminology database and the forecasts provided for the other interinstitutional tools. In 2022 and 2023, forecast expenditure reaches EUR 0.7 million per annum. To a large extent, these amounts are matched by the revenue the Centre receives for its services within the context of interinstitutional cooperation.

4.3 Ad hoc grants and delegation agreements

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Bâtiment DROSBACH	12E, rue Guillaume Kroll L-1882 Luxembourg Luxembourg	5 745	1 568	7 313	1 951 687	Until October 2021 (the end of the rental contract)	Rental contract for office space and parking space	Subvention from the Luxembourg government of EUR 243 250 up to 2020	
TOTAL			5 745	1 568	7 313	1 951 687				

5.1.2 Current building(s) Other comments

Not applicable

5.1.3 Building projects in the planning phase

Not applicable.

5.1.4 Building projects submitted to the European Parliament and the Council

Not applicable

5.2 European Schools

The staff members of the Centre have access to the two European schools in Luxembourg. The Centre agreed on an SLA with DG HR and will start paying a financial contribution for the schooling of children in the European schools I and II in Luxembourg on a pro-rata basis as from 2020.

5.3 Evaluation

The Centre's performance monitoring system is based on the alignment of the business objectives stated in the Centre's Strategy. In accordance with standard operating procedures, the Centre's management tracks the Centre's progress on the implementation of its work programmes and multi-year initiatives by conducting quarterly performance reviews of department dashboards, the mid-term Strategy review, the Centre's scorecard, and the Centre's risk register. The Centre's management also assesses its internal control system on an annual basis. The IT Steering Committee screens, approves and monitors improvement projects on a monthly basis. Budget analyses are reported to the Centre's Director on a monthly basis. In line with its Financial Regulation, the Centre undertakes ex ante and ex post evaluations of programmes and activities that entail significant spending. The Director reports on current developments and all issues of importance to the management board and in particular, in the form of an Annual Activity Report. The latter mirrors the structure of the Centre's work programme and provides all the necessary indicators to facilitate the management board's oversight duties. The Centre is audited on an annual basis by the Court of Auditors and by the Commission's Internal Audit Service.

A study on the Centre as the linguistic shared service provider for the EU agencies and bodies was undertaken by external consultants during 2017 and 2018 and it comprised an evaluation of the Centre. The Study contains 35 recommendations that will form the basis of the Centre's transformation plan to be implemented in 2019-2020 with a view to deploying new services in the context of the relevant business model in 2021.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
<p>In July 2014, the Centre signed a headquarters agreement with the host country, the Grand Duchy of Luxembourg. The Centre, its property, funding and assets enjoy immunity in Luxembourg from every form of judicial process. The Centre's premises are inviolable.</p> <p>Within the scope of its official activities, the Centre, its assets, income, property and its operations and transactions authorised by Regulation (EC) No 2965/94 are exempt from all forms of taxation, present and future</p>	<p>Every 36 months, officials and other servants (temporary and contract staff) may purchase a car with a temporary exemption of VAT in the Grand Duchy of Luxembourg or in another EU Member State. The staff member must have a contract with the Centre (or an Institutions in Luxembourg) of at least six months and live in Luxembourg. The exemption is granted subject to reimbursement of the VAT relating to the selling of the previous car purchase with temporary VAT exemption. If the staff member leaves the Centre or moves abroad, he/she will have to reimburse VAT on the car.</p>	<p>The Centre's staff benefit from all the facilities available to staff of the other institutions located in Luxembourg, namely: the European Parliament nurseries, private nurseries, after-school childcare and the Study Centre managed by the European Commission's Office for Infrastructure and Logistics (OIL), the European Schools, international schools, the French secondary school, the Luxembourg state nursery and primary schools, Luxembourg secondary schools and training</p>

Agency privileges	Privileges granted to staff
	<p>centres and the University of Luxembourg.</p> <p>The Centre applies all the provisions laid down in the Staff Regulations (annex VII) and in the general implementing rules regarding the education allowance. The education allowance is paid by the Centre and is granted to officials, temporary and contract staff, and to other beneficiaries legally entitled to this allowance.</p>

2.7 Fully self-financed decentralised agencies

2.7.1 Single Resolution Board – SRB

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Regulation (EU) No 806/2014 on the Single Resolution Mechanism	15/07/2015	The Board will carry out specified tasks concerning the preparation for the resolution of credit institutions and their actual resolution where they are failing or likely to fail.

1.2 Seat

Brussels Belgium

1.3 Budget Line

Not applicable

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	315	283	89,84%	315	325
Assistants (AST)	59	44	74,58%	59	51
Assistants/Secretaries (AST/SC)	26	23	88,46%	26	24
ESTABLISHMENT PLAN POSTS	400	350	87,50%	400	400
Contract Agents (CA)					
Seconded National Experts (SNE)	35	22	62,86%	35	35
TOTAL STAFF	435	372	85,52%	435	435

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES	8 133 223 680	

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021

	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	50 460 000	50 460 000		
Title 2 - Infrastructure and operating expenditure	11 650 000	11 650 000		
Title 3 - Operational expenditure	55 690 000	55 690 000		
Title 4 - Single Resolution Fund	8 015 423 680	8 015 423 680		
TOTAL EXPENDITURE	8 133 223 680	8 133 223 680		

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14										
AD 13		6				6		6		6
AD 12		6		4		9		9		9
AD 11		10		4		13		13		13
AD 10		12		11		17		17		17
AD 9		60		21		55		55		55
AD 8		70		52		65		70		70
AD 7		56		47		65		60		60
AD 6		65		77		60		70		70
AD 5		30		67		25		25		25
AD TOTAL		315		283		315		325		325
AST 11										
AST 10										
AST 9										
AST 8										
AST 7		4				3				
AST 6		7				3		2		2
AST 5		10		2		7		7		7
AST 4		16		15		27		28		28

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 3		14		24		14		10		10
AST 2		6		2		3		4		4
AST 1		2		1		2				
AST TOTAL		59		44		59		51		51
AST/SC 6										
AST/SC 5										
AST/SC 4		2				2				
AST/SC 3		12				12		12		12
AST/SC 2		7		4		9		9		9
AST/SC 1		5		19		3		3		3
AST/SC TOTAL		26		23		26		24		24
TOTAL		400		350		400		400		400
GRAND TOTAL	400		350		400		400		400	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV				
Function Group III				
Function Group II				
Function Group I				
TOTAL				

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	35	22	35	35

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues
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	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES	80 072 812	117 800 000	112 500 000		-100%
2 EU CONTRIBUTION					
<i>- Of which assigned revenues deriving from previous years' surpluses</i>					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
<i>- Of which EEA/EFTA (excl. Switzerland)</i>					
<i>- Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS	83 797 625	8 015 423 680	8 226 936 000		-100%
5 ADMINISTRATIVE OPERATIONS					
<i>- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	163 870 437	8 133 223 680	8 339 436 000		-100%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	41 229 743	50 460 000	53 440 000		-100%
Salaries & allowances	32 831 285	40 083 000	42 919 205		-100%
<i>- Of which establishment plan posts</i>	31 790 763	38 443 000	41 135 465		-100%
<i>- Of which external personnel</i>	1 040 522	1 640 000	1 783 740		-100%
Expenditure relating to Staff recruitment	819 247	1 414 000	990 000		-100%
Employer's pension contributions	4 563 024	5 430 000	5 580 795		-100%
Mission expenses	11 327	20 000	20 000		-100%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Socio-medical infrastructure	864 977	1 151 000	1 640 000		-100%
Training	488 425	683 000	689 000		-100%
External Services	1 650 458	1 678 000	1 600 000		-100%
Receptions, events and representation	1 000	1 000	1 000		-100%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	11 963 646	11 650 000	11 580 000		-100%
Rental of buildings and associated costs	5 284 159	5 317 000	5 430 000		-100%
Information, communication technology and data processing	5 476 194	3 580 000	3 655 000		-100%
Movable property and associated costs	575 197	1 224 000	1 000 000		-100%
Current administrative expenditure	229 556	834 000	800 000		-100%
Postage / Telecommunications	398 540	695 000	695 000		-100%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	26 879 424	55 690 000	62 670 000		-100%
Chapter 30 - SRB operations					
Plenary and executive sessions of the Board					
Appeal panel					
Communication, publication, translation					
Operational mission expenses					
Operation meetings expenses					
IT tools					
Support activities to the Fund					
Studies and consultancy					
Other operation expenditure					
Crisis contingency					
Chapter 31 - SRB operations	11 756 428	21 590 000	32 570 000		-100%
Governance	108 000	125 000	125 000		-100%
Support activities to the Fund	2 220 687	5 265 000	15 395 000		-100%
Resolution readiness	77 480	50 000	500 000		-100%
Resolution Framework	2 247	50 000	50 000		-100%
Communications	1 755 958	3 300 000	3 700 000		-100%
Missions	916 679	1 100 000	1 100 000		-100%
Operational ICT	6 675 377	11 700 000	11 700 000		-100%
Chapter 32 - Contingencies	15 122 996	34 100 000	30 100 000		-100%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Appeal panel	323 160	1 000 000	1 000 000		-100%
Communications during crisis		1 000 000	1 000 000		-100%
Contingency for the Fund		3 000 000	3 000 000		-100%
Legal and litigation	9 001 714	14 000 000	10 000 000		-100%
Consultancy and advice	5 798 122	15 100 000	15 100 000		-100%
Title 4 - Single Resolution Fund	83 797 625	8 015 423 680	8 226 936 000		-100%
Usage of the Fund within Resolution Schemes	5				
Investments		7 898 940 179	8 034 433 206		-100%
Investments returns	83 792 698	106 444 957	182 464 200		-100%
Interest paid on loans in accordance with SRM Article 72(1)					
Interest paid on loans in accordance with SRM Articles 73 and 74					
Bank and other financial charges	4 922	6 300	6 350		-100%
Commitment fees on bridge financing arrangements		10 032 244	10 032 244		-100%
Negative budget result from the previous year					
Refunds					
Other operating expenditures					
TOTAL	163 870 438	8 133 223 680	8 354 626 000		-100%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	40 765 427	50 460 000	53 440 000		-100%
Salaries & allowances	32 831 285	40 083 000	42 919 205		-100%
- Of which establishment plan posts	31 790 763	38 443 000	41 135 465		-100%
- Of which external personnel	1 040 522	1 640 000	1 783 740		-100%
Expenditure relating to Staff recruitment	774 829	1 414 000	990 000		-100%
Employer's pension contributions	4 563 024	5 430 000	5 580 795		-100%
Mission expenses	10 327	20 000	20 000		-100%
Socio-medical infrastructure	685 305	1 151 000	1 640 000		-100%
Training	435 377	683 000	689 000		-100%
External Services	1 465 120	1 678 000	1 600 000		-100%
Receptions, events and representation	160	1 000	1 000		-100%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	8 586 236	11 650 000	11 580 000		-100%
Rental of buildings and associated costs	4 724 470	5 317 000	5 430 000		-100%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Information, communication technology and data processing	3 171 330	3 580 000	3 655 000		-100%
Movable property and associated costs	423 413	1 224 000	1 000 000		-100%
Current administrative expenditure	138 300	834 000	800 000		-100%
Postage / Telecommunications	128 723	695 000	695 000		-100%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	10 608 634	55 690 000	47 480 000		-100%
Chapter 30 - SRB operations					
Plenary and executive sessions of the Board					
Appeal panel					
Communication, publication, translation					
Operational mission expenses					
Operation meetings expenses					
IT tools					
Support activities to the Fund					
Studies and consultancy					
Other operation expenditure					
Crisis contingency					
Chapter 31 - SRB operations	6 994 004	21 590 000	17 380 000		-100%
Governance	93 178	125 000	125 000		-100%
Support activities to the Fund	1 631 642	5 265 000	4 805 000		-100%
Resolution readiness		50 000	500 000		-100%
Resolution Framework	2 247	50 000	50 000		-100%
Communications	1 203 105	3 300 000	2 600 000		-100%
Missions	866 679	1 100 000	1 100 000		-100%
Operational ICT	3 197 153	11 700 000	8 200 000		-100%
Chapter 32 - Contingencies	3 614 630	34 100 000	30 100 000		-100%
Appeal panel	243 160	1 000 000	1 000 000		-100%
Communications during crisis		1 000 000	1 000 000		-100%
Contingency for the Fund		3 000 000	3 000 000		-100%
Legal and litigation	1 822 848	14 000 000	10 000 000		-100%
Consultancy and advice	1 548 622	15 100 000	15 100 000		-100%
Title 4 - Single Resolution Fund	69 005 058	8 015 423 680	8 226 936 000		-100%
Usage of the Fund within Resolution Schemes	5				
Investments		7 898 940 179	8 034 433 206		-100%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Investments returns	69 001 025	106 444 957	182 464 200		-100%
Interest paid on loans in accordance with SRM Article 72(1)					
Interest paid on loans in accordance with SRM Articles 73 and 74					
Bank and other financial charges	4 028	6 300	6 350		-100%
Commitment fees on bridge financing arrangements		10 032 244	10 032 244		-100%
Negative budget result from the previous year					
Refunds					
Other operating expenditures					
TOTAL	128 965 355	8 133 223 680	8 339 436 000		-100%

3.3 Budget Outturn

First estimate of the 2019 budget outturn that should reduce the contributions to be levied for 2021: EUR 68 763 990

4 Justification of needs

Commission assessment

Human Resources

The Commission takes note of SRB's staff forecast of 400 Temporary Agent posts and 35 Seconded National Expert posts.

Financial Resources

The Commission takes note of the SRB's revenue forecast of EUR 8 339 436 000.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

The number of SRB temporary staff for 2021 will be 400.

4.1.2 Vacancy rate as of end 2019

4.1.3 Standard abatement ('abatement forfaitaire') applied

4.1.4 Salary assumption for calculating salary line (% applied)

4.1.5 Correction coefficient used

The Agency is seated at Brussels and no correction coefficient is applicable

4.1.6 Exchange rate used (if applicable)

4.2 Financial Resources - Agency request

4.2.1 Title 1

4.2.2 Title 2

4.2.3 Title 3

4.3 Ad hoc grants and delegation agreements

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Treurenberg (T-22)	Rue Treurenberg 22 1000 Brussels Belgium	4 064	5 748	9 812	2 947 333	15 years (until 2031)	Usufruct	n/a	
TOTAL			4 064	5 748	9 812	2 947 333				

5.1.2 Current building(s) Other comments

5.1.3 Building projects in the planning phase

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 European Schools

In reference to Commission's Decision C(2013) 4886 of 01/08/2013 and the additional agreement signed between SRB and the European Commission on 27/5/2015 in respect to the allocation of costs related to the European Schools, SRB's 2021 draft budget includes the European School contribution amounts related to SRB's staff pupils.

5.3 Evaluation

In accordance with the SRM Article 94, by 31 December 2018, and every three years thereafter, the Commission shall publish a report on the application of the SRM.

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff
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Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
Protocol No 7 on the Privileges and Immunities of the European Union annexed to the TEU and to the TFEU shall apply to the Board and its staff		

2.7.2 Community Plant Variety Office – CPVO

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission / Tasks / Functions
Council Regulation 2100/94	27/07/1994	EU Plant Variety Rights

1.2 Seat

Angers, France

1.3 Budget Line

Not applicable

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	16	15	93,75%	15	17
Assistants (AST)	27	29	107,41%	28	28
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	43	44	102,33%	43	45
Contract Agents (CA)	5	6	120,00%	5	5
Seconded National Experts (SNE)					
TOTAL STAFF	48	50	104,17%	48	50

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES	19 986 000	20 056 000

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	8 340 000	8 340 000	8 978 000	8 978 000
Title 2 - Infrastructure and operating expenditure	1 956 000	1 956 000	1 808 000	1 808 000
Title 3 - Operational expenditure	10 210 000	9 690 000	10 090 000	9 270 000
TOTAL EXPENDITURE	20 506 000	19 986 000	20 876 000	20 056 000

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1		1		1
AD 14	1				1		1		1	
AD 13	1		1		1	1	1	2	1	1
AD 12		2	1	2		1				1
AD 11					1		1		1	
AD 10	2	1	1		2	1	3	1	3	1
AD 9	1		1	1		1		2		2
AD 8		2		3		1		1		1
AD 7		1				2		4		3
AD 6		4		4		2		3		1
AD 5										
AD TOTAL	5	11	4	11	5	10	6	14	6	11
AST 11								1		
AST 10	2	3		1	1	3	1	2	1	3
AST 9		3	2	5	1	4		4		4
AST 8		1		2		2		2		2
AST 7	2	3	2	3	2	5	2	7	2	7
AST 6		8		6		5		4		4
AST 5		5		6		3		4		4
AST 4				1		2		1		1
AST 3				1						
AST 2										
AST 1										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST TOTAL	4	23	4	25	4	24	3	25	3	25
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL	9	34	8	36	9	34	9	39	9	36
GRAND TOTAL	43		44		43		48		45	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	5	4	5	4
Function Group III		2		1
Function Group II				
Function Group I				
TOTAL	5	6	5	5

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL				

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES	17 671 918	19 130 000	20 600 000	20 600 000	7,68%

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
2 EU CONTRIBUTION					
<i>- Of which assigned revenues deriving from previous years' surpluses</i>					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
<i>- Of which EEA/EFTA (excl. Switzerland)</i>					
<i>- Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS	52 792	100 000	150 000	150 000	50,00%
<i>- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES	-1 348 900	756 000	-694 000	-694 000	-191,80%
TOTAL	16 375 810	19 986 000	20 056 000	20 056 000	0,35%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	7 519 237	8 340 000	8 978 000	8 978 000	7,65%
Salaries & allowances	5 994 721	6 586 920	7 293 000	7 293 000	10,72%
<i>- Of which establishment plan posts</i>	5 563 385	6 156 920	6 840 000	6 840 000	11,09%
<i>- Of which external personnel</i>	431 336	430 000	453 000	453 000	5,35%
Expenditure relating to Staff recruitment	55 953	35 000	38 000	38 000	8,57%
Employer's pension contributions	810 785	986 180	963 000	963 000	-2,35%
Mission expenses	225 532	290 000	270 000	270 000	-6,90%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Socio-medical infrastructure	16 080	17 000	25 000	25 000	47,06%
Training	112 909	90 000	90 000	90 000	0,00%
External Services	97 388	80 000	50 000	50 000	-37,50%
Receptions, events and representation	3 959	10 000	5 000	5 000	-50,00%
Social welfare	27 178	40 000	40 000	40 000	0,00%
Other Staff related expenditure	174 732	204 900	204 000	204 000	-0,44%
Title 2 - Infrastructure and operating expenditure	1 288 464	1 956 000	1 808 000	1 808 000	-7,57%
Rental of buildings and associated costs	293 469	370 000	341 000	341 000	-7,84%
Information, communication technology and data processing	472 881	800 000	800 000	800 000	0,00%
Movable property and associated costs	19 541	60 000	52 000	52 000	-13,33%
Current administrative expenditure	16 971	66 000	65 000	65 000	-1,52%
Postage / Telecommunications	69 835	95 000	85 000	85 000	-10,53%
Meeting expenses	251 923	395 000	275 000	275 000	-30,38%
Running costs in connection with operational activities					
Information and publishing					
Studies	163 844	170 000	190 000	190 000	11,76%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	9 808 451	10 210 000	10 090 000	10 090 000	-1,18%
TOTAL	18 616 152	20 506 000	20 876 000	20 876 000	1,80%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	7 519 237	8 340 000	8 978 000	8 978 000	7,65%
Salaries & allowances	5 994 721	6 586 920	7 293 000	7 293 000	10,72%
- Of which establishment plan posts	5 563 385	6 156 920	6 840 000	6 840 000	11,09%
- Of which external personnel	431 336	430 000	453 000	453 000	5,35%
Expenditure relating to Staff recruitment	55 953	35 000	38 000	38 000	8,57%
Employer's pension contributions	810 785	986 180	963 000	963 000	-2,35%
Mission expenses	225 532	290 000	270 000	270 000	-6,90%
Socio-medical infrastructure	16 080	17 000	25 000	25 000	47,06%
Training	112 909	90 000	90 000	90 000	0,00%
External Services	97 388	80 000	50 000	50 000	-37,50%
Receptions, events and representation	3 959	10 000	5 000	5 000	-50,00%
Social welfare	27 178	40 000	40 000	40 000	0,00%
Other Staff related expenditure	174 732	204 900	204 000	204 000	-0,44%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 2 - Infrastructure and operating expenditure	1 288 464	1 956 000	1 808 000	1 808 000	-7,57%
Rental of buildings and associated costs	293 469	370 000	341 000	341 000	-7,84%
Information, communication technology and data processing	472 881	800 000	800 000	800 000	0,00%
Movable property and associated costs	19 541	60 000	52 000	52 000	-13,33%
Current administrative expenditure	16 971	66 000	65 000	65 000	-1,52%
Postage / Telecommunications	69 835	95 000	85 000	85 000	-10,53%
Meeting expenses	251 923	395 000	275 000	275 000	-30,38%
Running costs in connection with operational activities					
Information and publishing					
Studies	163 844	170 000	190 000	190 000	11,76%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	7 568 108	9 690 000	9 270 000	9 270 000	-4,33%
TOTAL	16 375 809	19 986 000	20 056 000	20 056 000	0,35%

3.3 Budget Outturn

Not applicable for the CPVO

4 Justification of needs

Commission assessment

Human Resources

The Commission takes note of CPVO's staff forecast of 48 Temporary Agent posts and 5 contract agents.

Financial Resources

The Commission takes note of the CPVO's revenue forecast of EUR 20 056 000.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

4.1.2 Vacancy rate as of end 2019

4.1.3 Standard abatement ('abatement forfaitaire') applied

4.1.4 Salary assumption for calculating salary line (% applied)

4.1.5 Correction coefficient used

4.1.6 Exchange rate used (if applicable)

4.2 Financial Resources - Agency request

4.2.1 Title 1

4.2.2 Title 2

4.2.3 Title 3

4.3 Ad hoc grants and delegation agreements

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
TOTAL										

5.1.2 Current building(s) Other comments

5.1.3 Building projects in the planning phase

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 European Schools

5.3 Evaluation

The CPVO organized regularly and at least every six years, an evaluation of its activities.

An evaluation was organized in 2016-2017. The next ex post evaluation will be launched in 2020-2021.

5.4 Privileges and immunities

The Basic Regulation of the CPVO refers to the Protocol on Privileges and Immunities of the European Communities. The CPVO does not have a Seat Agreement with the French Government. The CPVO has made numerous attempts to secure a Seat Agreement with the French Government. Unfortunately, such efforts have not resulted in any meaningful interaction or engagement from the French Government. The CPVO will continue to seek such an agreement.

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care

2.7.3 European Union Intellectual Property Office – EUIPO

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission / Tasks / Functions
<p>Regulation (EU) 2017/1001 of the European Parliament and of the Council of 14 June 2017 on the European Union trade mark, OJ L 154, 16.6.2017, p. 1–99</p>	<p>OJ L 154, 16.6.2017, p. 1–99</p>	<p>The Office was established in 1994 to manage the EU Trade Mark, created through Council Regulation (EC) No 40/94, and, from 2003, the Registered Community Design (RCD), created by Council Regulation (EC) No 6/2002 in order to improve the creation of a single market and to harmonise the protection of industrial property within the European Union.</p> <p>Its initial founding Regulation was revised for the last time by Regulation (EU) 2017/1001 (EUTMR) of the European Parliament and of the Council.</p> <p>The Office carries out examination, registration, opposition and cancellation procedures for EUTMs and examination, registration and invalidity procedures for RCDs. All decisions adversely affecting a party to proceedings can be appealed to the Boards of Appeal of the Office. In order to further support IP rights holders, the Office engages in a wide range of cooperation and convergence activities with other IP offices.</p> <p>In recent years, the Office has been entrusted with new tasks. It houses the European Observatory on Infringements of Intellectual Property Rights.</p> <p>It acts, on behalf of the Commission, as Implementing Agency for EU-funded projects in China, Latin America, ASEAN region, Caribbean, Georgia and Pan-Africa.</p> <p>EU trade marks and designs are industrial property titles which enjoy uniform protection throughout the entire area of the EU.</p> <p>On 23 March 2016, the name of the Office became EUIPO, the European Union Intellectual Property Office (Article 2 of Regulation (EU) 2017/1001).</p> <p>The tasks of EUIPO are defined in Article 151 of Regulation (EU) 2017/1001 as follows:</p> <ul style="list-style-type: none"> - <u>Trade marks</u>: administration and promotion of the EU trade mark system established in Regulation (EU) 2017/1001 - Community Designs: administration and promotion of the European Union design system established in Council Regulation (EC) No 6/2002 - <u>Cooperation and convergence activities</u>: promoting convergence of practices and tools in the fields of trade marks and designs in cooperation with the central industrial property offices in the Member States, including the Benelux Office for Intellectual Property. - <u>Enforcement of intellectual property rights according to Regulation (EU) No 386/2012</u>: through the European Observatory on Infringements of Intellectual Property Rights, the Office also covers matters relating to the enforcement of intellectual property rights, fighting against piracy and counterfeiting and aims to help businesses, especially small businesses, access and use intellectual property rights more effectively. - <u>Trade secrets</u>: By 9 June 2021, the EUIPO, in the context of the activities of the European Observatory on Infringements of Intellectual Property Rights, shall prepare an initial report on the litigation trends regarding the unlawful acquisition, use or disclosure of trade secrets pursuant to the application of the Directive (EU) 2016/943. In addition, in order to review

		<p>whether those measures fulfil their intended objective, the EUIPO will assist the Commission in examining the application of the Directive (EU) 2016/943 and the effectiveness of the national measures taken.</p> <ul style="list-style-type: none"> - <u>Orphan works</u>: creation of a single online database for the Union containing such information and for making it available to the public at large in a transparent manner. - <u>Out-of-commerce works</u>: the establishment and management of a public single online portal for the out-of-commerce works. <p>The Office also cooperates with institutions, authorities, bodies, industrial property offices, international and non- governmental organisations in relation to the tasks conferred on it in Article 151 paragraph 1 of Regulation (EU) 2017/1001.</p> <p>The Office may provide voluntary mediation services for the purpose of assisting parties in reaching a friendly settlement.</p>
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Decision	Date	Mission / Tasks / Functions
Council Regulation (EC) No 6/2002 of 12 December 2001 on Community designs	OJ L 003 05.01.2002 p. 1 – 24	<p>A unified system for obtaining a Community design to which uniform protection is given with uniform effect throughout the entire territory of the EU would further the objectives of the EU as laid down in the Treaty on the Functioning of the European Union.</p> <p>This Regulation extended the scope of the Office to Community Designs. The first Community Design applications were filed in 2003.</p>

Decision	Date	Mission / Tasks / Functions
Regulation (EU) No 386/2012 of the European Parliament and of the Council of 19 April 2012 on entrusting the Office for Harmonization in the Internal Market (Trade Marks and Designs) with tasks related to the enforcement of intellectual property rights, including the assembling of public and private-sector representatives as a European Observatory on Infringements of Intellectual Property Rights	OJ L 129, 16.5.2012, p. 1–6	<p>Under Regulation (EU) No 386/2012, the Office is entrusted with certain tasks and activities, financed by making use of its own budgetary means, aimed at facilitating and supporting the activities of national authorities, the private sector and the Union institutions in the fight against, including the prevention of intellectual property rights infringement.</p> <p>The European Observatory on Infringements of Intellectual Property Rights was entrusted fully to the EUIPO on 5 June 2012 and covers matters relating to the enforcement of intellectual property rights, fighting against piracy and counterfeiting and aims to help businesses, especially small businesses, access and use intellectual property rights more effectively.</p>

Decision	Date	Mission / Tasks / Functions
Directive 2012/28/EU of the European Parliament and of the Council of 25 October 2012 on certain permitted uses of orphan works	OJ L 299, 27.10.2012, p. 5–12	<p>The Office manages the Orphan Works Database designed to make provision for the creation of a single online database for the Union containing such information and for making it available to the public at large in a transparent manner and thus allowing Europe's cultural heritage to be more accessible.</p> <p>Since the Observatory's tasks include providing mechanisms which help to improve the online exchange of relevant information between the Member States' authorities concerned and fostering cooperation between those authorities, it is therefore appropriate to rely on the Office to establish and manage the European database containing information related to orphan works referred to in this Directive.</p>

Decision	Date	Mission / Tasks / Functions
Directive (EU) 2016/943 of the European Parliament and of the Council of 8 June 2016	OJ L 157, 15.6.2016 p. 1-18	By 9 June 2021, the EUIPO, in the context of the activities of the European Observatory on Infringements of Intellectual Property Rights, shall prepare

on the protection of undisclosed know-how and business information (trade secrets) against their unlawful acquisition, use and disclosure		an initial report on the litigation trends regarding the unlawful acquisition, use or disclosure of trade secrets pursuant to the application of the Directive (EU) 2016/943. In addition, in order to review whether those measures fulfil their intended objective, the EUIPO will assist the Commission in examining the application of this Directive and the effectiveness of the national measures taken.
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Decision	Date	Mission / Tasks / Functions
Directive (EU) 2019/790 of the European Parliament and of the Council of 17 April 2019 on copyright and related rights in the Digital Single Market and amending Directives 96/9/EC and 2001/29/EC	OJ L 130, 17.05.2019, p. 92–125	The EUIPO is responsible for establishing and managing a public single online portal for the out-of-commerce works. The portal shall be made available to the public by the deadline of transposition of the Directive into the national legislation, which is 7 June 2021. Once established, the portal shall be used for mass digitisation projects implemented by the cultural heritage institutions and will become the central European transparency (publicity) measure for the out-of-commerce works.

1.2 Seat

Alicante, Spain

1.3 Budget Line

Not applicable

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	268	321	119,78%	268	268
Assistants (AST)	507	508	100,20%	506	506
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	775	829	106,97%	774	774
Contract Agents (CA)	193	199	103,11%	193	193
Seconded National Experts (SNE)	74	65	87,84%	74	74
TOTAL STAFF	1042	1093	104,89%	1041	1041

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
TOTAL REVENUES	267 293 085	279 782 751

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast

TOTAL REVENUES	p.m.	p.m.
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1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	129 302 809	129 302 809	133 641 774	133 641 774
Title 2 - Infrastructure and operating expenditure	58 260 530	58 260 530	56 488 155	56 488 155
Title 3 - Operational expenditure	56 556 903	56 556 903	55 042 554	55 042 554
Title 4 - EU Funded Projects	3 738 558	3 738 558	4 116 089	4 116 089
Title 5 - Offsetting to Member States	11 973 647	11 973 647	12 601 882	12 601 882
Title 10 - Other expenditure	205 005 836	205 005 836	217 425 089	217 425 089
TOTAL EXPENDITURE	464 838 283	464 838 283	479 315 543	479 315 543

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16		1				1		1		1
AD 15		3		2		3	1	3		3
AD 14	22	25	13	3	22	25	19	6	22	25
AD 13	22	10	22	3	22	10	24	12	22	10
AD 12	20	19	23	19	20	19	25	20	20	19
AD 11	8	19	4	8	8	19	10	14	8	19
AD 10	9	7	11	8	9	7	18	13	9	7
AD 9	11	8	9	10	11	8	23	15	11	8
AD 8	9	5	24	13	9	5	29	17	9	5
AD 7	12	1	16	8	12	1	44	12	12	1
AD 6	51	6	63	59	51	6	40	58	51	6
AD 5			3							
AD TOTAL	164	104	188	133	164	104	233	171	164	104
AST 11	37	9	3		37	9	8		37	9
AST 10	23	8	21		23	8	20	1	23	8
AST 9	59	23	56	6	59	23	71	11	59	23
AST 8	49	16	38	3	49	16	57	10	49	16
AST 7	52	27	72	8	52	27	64	17	52	27
AST 6	56	51	53	17	56	51	44	26	56	51
AST 5	22	28	28	28	22	28	36	27	22	28

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 4	13	6	26	22	13	6	47	23	13	6
AST 3	23	5	73	46	22	5	39	20	22	5
AST 2			1	7						
AST 1										
AST TOTAL	334	173	371	137	333	173	386	135	333	173
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL	498	277	559	270	497	277	619	306	497	277
GRAND TOTAL	775		829		774		925		774	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	87	79	87	87
Function Group III	87	108	87	87
Function Group II	14	7	14	14
Function Group I	5	5	5	5
TOTAL	193	199	193	193

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	74	65	74	74

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES	254 632 111	267 293 085	279 782 751	279 782 751	4,67%
2 EU CONTRIBUTION					
- <i>Of which assigned revenues deriving from previous years' surpluses</i>					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)					
- <i>Of which EEA/EFTA (excl. Switzerland)</i>					
- <i>Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
- <i>Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	254 632 111	267 293 085	279 782 751	279 782 751	4,67%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)	2 532 290	p.m.	p.m.	p.m.	
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL	2 532 290	p.m.	p.m.	p.m.	

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	123 041 652	129 302 809	133 641 774	133 641 774	3,36%
Salaries & allowances	95 662 673	99 189 389	103 051 485	103 051 485	3,89%
- <i>Of which establishment plan posts</i>	90 012 742	92 561 297	96 413 409	96 413 409	4,16%
- <i>Of which external personnel</i>	5 649 931	6 628 092	6 638 076	6 638 076	0,15%
Expenditure relating to Staff recruitment	1 139 629	1 221 362	1 242 293	1 242 293	1,71%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Employer's pension contributions	14 797 087	15 423 559	16 047 506	16 047 506	4,05%
Mission expenses	1 458 135	1 794 073	1 399 176	1 399 176	-22,01%
Socio-medical infrastructure	342 516	394 840	403 504	403 504	2,19%
Training	959 158	972 000	1 055 280	1 055 280	8,57%
External Services					
Receptions, events and representation	18 000	23 000	17 700	17 700	-23,04%
Social welfare	7 491 953	8 960 666	9 119 547	9 119 547	1,77%
Other Staff related expenditure	1 172 501	1 323 920	1 305 283	1 305 283	-1,41%
Title 2 - Infrastructure and operating expenditure	63 483 677	58 260 530	56 488 155	56 488 155	-3,04%
Rental of buildings and associated costs	15 294 621	11 043 720	10 362 140	10 362 140	-6,17%
Information, communication technology and data processing	29 071 919	28 155 843	27 760 623	27 760 623	-1,40%
Movable property and associated costs	3 228 315	2 557 900	2 632 621	2 632 621	2,92%
Current administrative expenditure	6 708 313	7 513 667	7 176 263	7 176 263	-4,49%
Postage / Telecommunications	1 489 235	1 781 714	1 757 197	1 757 197	-1,38%
Meeting expenses	4 199 284	3 524 098	3 633 664	3 633 664	3,11%
Running costs in connection with operational activities					
Information and publishing					
Studies	3 491 990	3 683 588	3 165 647	3 165 647	-14,06%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	52 410 229	56 556 903	55 042 554	55 042 554	-2,68%
Communication, promotion and integration	902 520	1 125 500	987 100	987 100	-12,30%
Expenditure regarding the community trademark and design registration procedure	17 184 537	16 430 667	16 052 165	16 052 165	-2,30%
Expenditure resulting from special functions carried out by the office	4 983 673	7 810 595	6 741 136	6 741 136	-13,69%
EU Cooperation	29 339 499	31 190 141	31 262 153	31 262 153	0,23%
Title 4 - EU Funded Projects		3 738 558	4 116 089	4 116 089	10,10%
Title 5 - Offsetting to Member States		11 973 647	12 601 882	12 601 882	5,25%
Title 10 - Other expenditure		205 005 836	217 425 089	217 425 089	6,06%
TOTAL	238 935 558	464 838 283	479 315 543	479 315 543	3,11%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	123 041 652	129 302 809	133 641 774	133 641 774	3,36%
Salaries & allowances	95 662 673	99 189 389	103 051 485	103 051 485	3,89%
<i>- Of which establishment plan posts</i>	<i>90 012 742</i>	<i>92 561 297</i>	<i>96 413 409</i>	<i>96 413 409</i>	<i>4,16%</i>

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
<i>- Of which external personnel</i>	5 649 931	6 628 092	6 638 076	6 638 076	0,15%
Expenditure relating to Staff recruitment	1 139 629	1 221 362	1 242 293	1 242 293	1,71%
Employer's pension contributions	14 797 087	15 423 559	16 047 506	16 047 506	4,05%
Mission expenses	1 458 135	1 794 073	1 399 176	1 399 176	-22,01%
Socio-medical infrastructure	342 516	394 840	403 504	403 504	2,19%
Training	959 158	972 000	1 055 280	1 055 280	8,57%
External Services					
Receptions, events and representation	18 000	23 000	17 700	17 700	-23,04%
Social welfare	7 491 953	8 960 666	9 119 547	9 119 547	1,77%
Other Staff related expenditure	1 172 501	1 323 920	1 305 283	1 305 283	-1,41%
Title 2 - Infrastructure and operating expenditure	63 483 677	58 260 530	56 488 155	56 488 155	-3,04%
Rental of buildings and associated costs	15 294 621	11 043 720	10 362 140	10 362 140	-6,17%
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Movable property and associated costs	3 228 315	2 557 900	2 632 621	2 632 621	2,92%
Current administrative expenditure	6 708 313	7 513 667	7 176 263	7 176 263	-4,49%
Postage / Telecommunications	1 489 235	1 781 714	1 757 197	1 757 197	-1,38%
Meeting expenses	4 199 284	3 524 098	3 633 664	3 633 664	3,11%
Running costs in connection with operational activities					
Information and publishing					
Studies	3 491 990	3 683 588	3 165 647	3 165 647	-14,06%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	52 410 229	56 556 903	55 042 554	55 042 554	-2,68%
Communication, promotion and integration	902 520	1 125 500	987 100	987 100	-12,30%
Expenditure regarding the community trademark and design registration procedure	17 184 537	16 430 667	16 052 165	16 052 165	-2,30%
Expenditure resulting from special functions carried out by the office	4 983 673	7 810 595	6 741 136	6 741 136	-13,69%
EU Cooperation	29 339 499	31 190 141	31 262 153	31 262 153	0,23%
Title 4 - EU Funded Projects		3 738 558	4 116 089	4 116 089	10,10%
Title 5 - Offsetting to Member States		11 973 647	12 601 882	12 601 882	5,25%
Title 10 - Other expenditure		205 005 836	217 425 089	217 425 089	6,06%
TOTAL	238 935 558	464 838 283	479 315 543	479 315 543	3,11%

3.3 Budget Outturn

First estimate of the 2019 surplus that should be reimbursed to the EU budget (as assigned revenue): EUR

4 Justification of needs

Commission assessment

Human Resources and Financial Resources

The Commission takes note and welcomes EUIPO's staff forecast of 774 temporary agents, 193 contractual agents and 74 seconded national experts.

The Commission takes note of EUIPO's revenue forecast of EUR 279 782 751.

4.1 Human Resources - Agency Request

4.1.1 Number of staff requested

4.1.2 Vacancy rate as of end 2019

4.1.3 Standard abatement ('abatement forfaitaire') applied

4.1.4 Salary assumption for calculating salary line (% applied)

4.1.5 Correction coefficient used

4.1.6 Exchange rate used (if applicable)

4.2 Financial Resources - Agency request

4.2.1 Title 1

4.2.2 Title 2

4.2.3 Title 3

4.3 Ad hoc grants and delegation agreements

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
TOTAL										

5.1.2 Current building(s) Other comments

5.1.3 *Building projects in the planning phase*

5.1.4 *Building projects submitted to the European Parliament and the Council*

5.2 *European Schools*

5.3 *Evaluation*

5.4 *Privileges and immunities*

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care

PART II – BODIES CREATED UNDER RESEARCH AND INNOVATION

1 MAIN BUDGETARY TRENDS

Chapter 1.1. presents the 'main budgetary trends' for bodies created in the field of research and innovation under the articles of the Treaty on the Functioning of the European Union.

Section 1.1.1 presents the budgetary and staffing highlights for 2021 for the EIT, including as well a table on Commission budget implementation for EIT in 2019, which is followed by a table on staffing (establishment plan posts, contract agents and seconded national experts actually filled by year-end 2019).

Section 1.1.2 presents the budgetary and staffing highlights for 2021 for the current two joint undertakings (JU's) and seven joint technology initiatives JU's (JTI JU's) created under TFEU. Furthermore, this section presents an overview table on Commission budget implementation these bodies in 2019, which is followed by an overview table on staffing (establishment plan posts, contract agents and seconded national experts actually filled by year-end 2019).

Chapter 1.2. presents the budgetary and staffing highlights for F4E, the Joint Undertaking created under Euratom for the ITER project.

1.1 Bodies having legal personality created in the field of research and innovation under Article 173 and 187/188 TFEU

1.1.1 *European Institute of Innovation and Technology (EIT)*

The draft budget request for the EIT is in line with the Commission proposal for a Regulation on the EIT, extending its mandate to 2021-2027³¹, taking account of the new MFF proposal submitted on 29 May 2020. The foreseen EU contribution to EIT decreases from EUR 496,8 million in 2020 to EUR 380,4 million in the 2021 DB. Nevertheless, the staffing level of EIT is stable in 2021 compared to 2020, taking account of the overall MFF profile proposed for the body.

The EU contribution to the EIT relates largely to operational expenditure, principally through the Knowledge and Innovation Communities (KICs), set up to promote and integrate higher education, research and innovation of the highest standards. Under Horizon 2020, six KICs became operational in 2016, focused on sustainable energy (KIC InnoEnergy), climate change mitigation and adaptation (Climate KIC), information and communication technologies (EIT Digital), healthy living and active ageing (EIT Health), sustainable exploration, extraction, processing, recycling and substitution (EIT Raw Materials), Food4Future – sustainable supply chain from resources to consumers (EIT Food). Two KICs in the fields of added-value manufacturing (EIT Manufacturing) and urban mobility were added in 2018. Which should be operational in 2020. More details can be found in its budgetary statement in section 2, reflecting the ambitions of the Commission proposal for the EIT 2021-2027 and its Strategic Innovation Agenda.

³¹ COM(2019)331, 11.07.2019

EIT overview table 2021 / 2020

(in million EUR)

European Institute of Innovation and Technology (EIT)	Budget line	Location	Year of creation	Budget		Draft Budget (DB)		Variation EU contribution 2021/2020
				2020		2021		
				Total revenues of the EIT	Of which EU contribution	Revenues estimated by the EIT	Of which EU contribution	
European Institute of Innovation and Technology — integrating the knowledge triangle of higher education, research and innovation <i>Authorised establishment plan</i>	01 02 03 03	Budapest	2008	573,900	496,678	450,689	380,445	-23,4%
	(15 03 05 15 03 53)							

EIT Table Commission budget implementation 2019

(in million EUR)

European Institute of Innovation and Technology (EIT)	Authorised appropriations 2019			Commitments made 2019			Payments made 2019			Carry-over of assigned revenue to 2020		Appropriations cancelled 2019		
	Budget line	Up to 2020	Commitments	Payments	Total	Of which voted budget	Of which assigned revenues	Total	Of which voted budget	Of which assigned revenues	Commitments	Payments	Commitments	Payments
European Institute of Innovation and Technology (EIT) — integrating the knowledge triangle of higher education, research and innovation	15 03 05		512,636	483,643	495,101	456,149	38,952	415,989	396,016	19,973	17,535	67,654	0,000	0,000
Completion line European Institute of Innovation and Technology	15 03 53		0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000
Total EIT			512,636	483,643	495,101	456,149	38,952	415,989	396,016	19,973	17,535	67,654	0,000	0,000

EIT Table staffing overview 2019

European Institute of Innovation and Technology (EIT)	Year of creation	Establishment Plan Posts		Contract Agents		Seconded National Experts (END)		Total personnel	
		Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Budget 2019	Actually filled 31/12/2019
European Institute of Innovation and Technology (EIT)	2008	45	44	23	22	2	0	70	66
Total EIT		45	44	23	22	2	0	70	66

1.1.2 Budgetary and staffing highlights 2021: Joint Undertakings under TFEU

At the time of presenting the Draft Budget, the legal bases of the current (Horizon 2020) seven joint undertakings created on the basis of the Treaty on the Functioning of the European Union (Art. 187, 188) provides for the completion of the activities launched under Horizon 2020 as from 2021.

Work is ongoing to assess their continuation adapted to the needs and priorities of Horizon Europe and in line with the streamlined policy for the creation of institutionalised partnerships.

Hence, the budgetary statements of SESAR, S2R, IMI2, BBI, CleanSKy2, FCH2, ECSEL and the EuroHPC do not include an EU contribution in commitments appropriations in the Draft Budget, subject to the ongoing revision of their mandates, the result of which will be presented in a separate Commission proposal and incorporated in an amendment to the Draft Budget.

The only exception is the new Cyber Security Center JU (Cyber), proposed by the Commission in 2018 (COM(2018)630), and accordingly included in the Draft Budget.

As presented in more detail in the individual budgetary statements (section 2.1), the total staffing of the joint undertakings at the time of presenting the DB 2021 would be as follows:

Authorised establishment plan (posts)		Contract Agents		Secoded National Experts		Total Staff (FTE)	
2020	2021	2020	2021	2020	2021	2020	2021
174	183	76	105	14	14	264	302

Overview – TFEU Joint Undertakings 2021 / 2020

(in million EUR)

Joint Undertakings	Draft budget 2021		Budget 2020		Difference 2021 / 2020
	Total revenues ¹	Of which EU contribution	Total revenues	Of which EU contribution	
Single European Sky Air Traffic Management Research Joint Undertaking (SESAR)			135,0	120,8	
<i>establishment plan posts</i>		38		39	
Shift2Rail Joint Undertaking (S2R)/ JTI JU			89,7	79,9	
<i>establishment plan posts</i>		5		5	
Innovative Medicines Initiative 2 Joint Undertaking (IMI2)/ JTI JU			289,1	270,7	
<i>establishment plan posts</i>		39		39	
Bio-Based Industries Joint Undertaking (BBI)/ JTI JU			124,4	73,9	
<i>establishment plan posts</i>		13		13	
Clean Sky 2 Joint Undertaking (Clean Sky 2)/ JTI JU			323,9	304,1	
<i>establishment plan posts</i>		36		36	
Fuel Cells and Hydrogen 2 Joint Undertaking (FCH2)/ JTI JU			110,6	92,0	
<i>establishment plan posts</i>		24		24	
Electronic Components and Systems for European Leadership Joint Undertaking (ECSEL)/ JTI JU			209,0	201,3	
<i>establishment plan posts</i>		14		14	
European High Performance Computing Joint Undertaking (EuroHPC)²/ JTI JU			509,6	274,8	
<i>establishment plan posts</i>		4		4	
Cyber Security Center joint undertaking (CYBER)³³	291,8	285,0			
<i>establishment plan posts</i>		10			
Total	291,8	285,0	2 357,4	1 914,3	-80,1%
<i>establishment plan posts</i>		183		174	

1. The total revenues include the contribution from the Union's budget and other sources of revenue. This does not include payment appropriations needed for the closure of Horizon 2020 projects, which have been requested on the respective budget line.

2. The EuroHPC received appropriations from Horizon 2020 and the Connecting Europe Facility.

3. The CYBER JU receives appropriations from the Digital Europe Programme. The Horizon Europe contribution is to be determined.

Table Commission budget implementation for TFEU bodies 2019

(in million EUR)

Joint Undertakings TFEU	Budget line	Authorised appropriations 2019		Commitments made 2019			Payments made 2019			Carry-over of assigned revenue to 2020		Appropriations cancelled 2019	
	Up to 2020	Commitments	Payments	Total	Of which voted budget	Of which assigned revenues	Total	Of which voted budget	Of which assigned revenues	Commitments	Payments	Commitments	Payments
Single European Sky Air Traffic Management Research Joint Undertaking (SESAR)													
Support expenditure	06 03 07 31	3,330	3,330	3,330	3,252	0,077	3,330	3,252	0,077	0,000	0,000	0,000	0,000
Operational expenditure	06 03 07 32	109,288	110,404	109,288	106,748	2,541	110,404	107,837	2,567	0,000	0,000	0,000	0,000
Total SESAR		112,618	113,734	112,618	110,000	2,618	113,734	111,090	2,644	0,000	0,000	0,000	0,000
Shift2Rail Joint Undertaking (S2R)													
Support expenditure	06 03 07 33	1,662	1,662	1,662	1,623	0,039	1,662	1,623	0,039	0,000	0,000	0,000	0,000
Operational expenditure	06 03 07 34	78,361	61,245	78,185	76,364	1,821	61,070	59,647	1,423	0,040	0,040	0,136	0,136
Total S2R		80,022	62,907	79,847	77,987	1,859	62,731	61,270	1,461	0,040	0,040	0,136	0,136
Innovative Medicines Initiative Joint Undertaking (IMI2)													
Support expenditure	08 02 07 31	5,510	5,510	5,510	5,382	0,128	5,510	5,382	0,128	0,000	0,000	0,000	0,000
Operational expenditure	08 02 07 32	123,112	176,366	123,112	117,016	6,096	176,366	173,235	3,130	0,000	0,000	0,000	0,000
Total IMI2		128,622	181,876	128,622	122,398	6,224	181,876	178,617	3,259	0,000	0,000	0,000	0,000
Bio-Based Industries Joint Undertaking (BBI)													
Support expenditure	08 02 07 33	1,213	1,213	1,213	1,185	0,028	1,213	1,185	0,028	0,000	0,000	0,000	0,000
Operational expenditure	08 02 07 34	135,576	148,520	135,576	132,424	3,152	148,520	144,649	3,871	0,000	0,000	0,000	0,000
Total BBI		136,789	149,733	136,789	133,609	3,180	149,733	145,834	3,899	0,000	0,000	0,000	0,000
Clean Sky 2 Joint Undertaking (Clean Sky2)													
Support expenditure	08 02 07 35	4,760	4,760	4,760	4,650	0,111	4,760	4,650	0,111	0,000	0,000	0,000	0,000
Operational expenditure	08 02 07 36	285,354	318,245	285,354	278,720	6,634	318,245	310,847	7,398	0,000	0,000	0,000	0,000
Total Clean Sky2		290,114	323,005	290,114	283,370	6,744	323,005	315,496	7,509	0,000	0,000	0,000	0,000
Fuel Cells and Hydrogen 2 Joint Undertaking (FCH2)													
Support expenditure	08 02 07 37	2,685	2,685	2,685	2,622	0,062	2,685	2,622	0,062	0,000	0,000	0,000	0,000
Operational expenditure	08 02 07 38	81,723	94,118	81,723	79,823	1,900	94,118	91,663	2,455	0,000	0,000	0,000	0,000
Total FCH2		84,408	96,803	84,408	82,446	1,962	96,803	94,285	2,518	0,000	0,000	0,000	0,000
Electronic Components and Systems for European Leadership Joint Undertaking (ECSEL)													
Support expenditure	09 04 07 31	2,058	2,058	2,058	2,010	0,048	2,058	2,010	0,048	0,000	0,000	0,000	0,000
Operational expenditure	09 04 07 32	192,474	163,080	192,474	188,000	4,474	163,080	159,289	3,791	0,000	0,000	0,000	0,000
Total ECSEL		194,532	165,138	194,532	190,010	4,522	165,138	161,299	3,839	0,000	0,000	0,000	0,000
European High Performance Computing Joint Undertaking (EuroHPC)													
Support expenditure	09 04 07 33	0,690	0,377	0,690	0,637	0,053	0,377	0,323	0,053	0,000	0,000	0,000	0,000
Operational expenditure	09 03 05 31	40,020	0,000	40,020	39,089	0,930	0,000	0,000	0,000	0,000	0,000	0,000	0,000
Operational expenditure	09 04 07 34	157,682	4,120	157,682	154,054	3,628	4,120	2,483	1,637	0,000	0,000	0,000	0,000
Total EuroHPC		198,392	4,497	198,392	193,780	4,612	4,497	2,806	1,691	0,000	0,000	0,000	0,000
Total Joint undertakings TFEU		1 225,497	1 097,692	1 225,321	1 193,600	31,722	1 097,516	1 070,696	26,819	0,040	0,040	0,136	0,136

Table TFEU Joint Undertakings staffing overview 2019

Joint undertakings TFEU	Year of creation	Establishment Plan Posts		Contract Agents		Seconded National Experts (END)		Total personnel	
		2 020	2 021	2 020	2 021	2 020	2 021	2 020	2 021
Single European Sky Air Traffic Management Research Joint Undertaking (SESAR)	2014	39	38	0	1	3	3	42	42
Shift2Rail Joint Undertaking (S2R)	2014	5	5	16	17	3	2	24	24
Innovative Medicines Initiative Joint Undertaking (IMI2)	2014	39	39	15	15	2	2	56	56
Bio-Based Industries Joint Undertaking (BBI)	2014	13	13	10	10	0	0	23	23
Clean Sky 2 Joint Undertaking (Clean Sky2)	2014	36	36	6	6	2	2	44	44
Fuel Cells and Hydrogen 2 Joint Undertaking (FCH2)	2014	24	24	3	3	2	2	29	29
Electronic Components and Systems for European Leadership Joint Undertaking (ECSEL)	2014	14	14	16	16	1	1	31	31
European High Performance Computing Joint Undertaking (EuroHPC)	2019	4	4	10	11	1	1	15	16
CYBER		0	10	0	26	0	1	0	37
Total Joint undertakings TFEU		174	183	76	105	14	14	264	302

1.2 Fusion for energy (F4E)

This section on 'main budgetary trends' presents the budgetary and staffing highlights for 2020 for F4E in text and tables. Furthermore, this section presents a table on Commission budget implementation for F4E in 2019, which is followed by a table on staffing issues (establishment plan posts, contract agents and seconded national experts actually filled by year-end 2019.).

Budgetary and staffing highlights 2021: F4E

The foreseen EU contribution to F4E very significantly increases from EUR 359,4 million in 2020 to EUR 857,6 million in the 2021 DB. The staffing level of F4E is stable compared to 2020. This is a result of combination of both: much higher financial needs of the project under MFF 2021-2027 and its non-linear profile.

As presented in more detail in the individual budgetary financial statement (section 2.2), the total staffing of F4E foreseen for 2021 would be as follows:

<i>Authorised establishment plan (posts)</i>		<i>Contract Agents</i>		<i>Seconded National Experts</i>		<i>Total Staff (FTE)</i>	
2020	2021	2020	2021	2020	2021	2020	2021
280	280	170	170	3	3	453	453

F4E overview table 2021 / 2020

(in million EUR)

Name	Draft budget 2021		Budget 2020		Difference 2021 / 2020
	Total revenues	Of which EU contribution	Total revenues	Of which EU contribution	
European Joint Undertaking for ITER - Fusion for Energy (F4E)	1 078,6	857,6	873,4	359,4	138,6 %
<i>establishment plan posts</i>		280		280	

Table Commission budget implementation for F4E 2019

(in million EUR)

European Joint Undertaking for ITER – Fusion for Energy (F4E)	Budget line	Authorised appropriations 2019		Commitments made 2019			Payments made 2019			Carry-over of assigned revenue to 2020		Appropriations cancelled 2019	
	Up to 2020	Commitments	Payments	Total	Of which voted budget	Of which assigned revenues	Total	Of which voted budget	Of which assigned revenues	Commitments	Payments	Commitments	Payments
Support expenditure	32 05 01 01	51,545	51,545	50,480	49,517	0,963	50,480	49,517	0,963	1,064	1,064	0,000	0,000
Operational expenditure	32 05 01 02	369,584	321,721	369,331	353,058	16,273	321,469	305,196	16,273	0,252	0,252	0,000	0,000
Completion expenditure	32 05 51	0,000	197,304	0,000	0,000	0,000	197,304	197,304	0,000	0,000	0,000	0,000	0,000
Total F4E		421,128	570,570	419,811	402,575	17,236	569,254	552,018	17,236	1,317	1,317	0,000	0,000

Table F4E staffing overview 2019

Name	Year of creation	Establishment Plan Posts		Contract Agents		Seconded National Experts (END)		Total personnel	
		Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Authorised 2019	Actually filled 31/12/2019	Budget 2019	Actually filled 31/12/2019
European Joint Undertaking for ITER – Fusion for Energy (F4E)	2007	283	273	178	165	3	2	464	440

2 INDIVIDUAL BUDGETARY FINANCIAL STATEMENTS

2.1 Bodies having legal personality created in the field of research and innovation under Article 173 and 187/188 TFEU

2.1.1 European Institute of Innovation and Technology – EIT

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
REGULATION (EC) No 294/2008 establishing the European Institute of Innovation and Technology REGULATION (EU) No 1292/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL amending Regulation (EC) No 294/2008 establishing the European Institute of Innovation and Technology	11 March 2008 11 December 2013	The EIT's mission is to contribute to sustainable European economic growth and competitiveness by reinforcing the innovation capacity of the Member States and the Union in order to address major challenges faced by European society. It shall do this by promoting synergies and cooperation among, and integrating, higher education, research and innovation of the highest standards, including by fostering entrepreneurship.
DECISION No 1312/2013/EU OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL on the Strategic Innovation Agenda of the European Institute of Innovation and Technology (EIT): the contribution of the EIT to a more innovative Europe	11 December 2013	The SIA (Strategic Innovation Agenda) defines the priority fields and the long-term strategy of the EIT and include an assessment of its economic impact and capacity to generate best innovation added-value.
REGULATION (EU) No 1291/2013 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL establishing Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020) and repealing Decision No 1982/2006/EC	11 December 2013	The financial contribution from Horizon 2020 to the EIT is implemented in accordance with the Regulation of the European Parliament and of the Council establishing the Horizon 2020 as well as the Regulation laying down the rules for the participation and dissemination in "Horizon 2020". The EIT funding to the KICs will cover "KIC added value activities".
Proposal for a REGULATION of the European Parliament and of the Council establishing Horizon Europe – the Framework Programme for Research and Innovation, laying down its rules for participation and dissemination. COM(2018) 435 final	7 June 2018	Horizon Europe will strengthen the Union's scientific and technological bases in order to help tackle the major global challenges of our time and contribute to achieving the Sustainable Development Goals (SDGs). At the same time, the programme will boost the Union's competitiveness, including that of its industries. Horizon Europe will help deliver on the Union's strategic priorities and support the development and implementation of Union policies. In a swiftly changing world, Europe's success increasingly depends on its ability to transform excellent scientific results into innovation that have a real beneficial impact on our economy and quality of life, and create new markets with more skilled jobs
Proposal for a REGULATION of the European Parliament and of the Council on the European Institute of Innovation and Technology (recast) COM(2019)331 final	11 July 2019	See "reasons for and objectives" of the proposal : The overall mission of the European Institute of Innovation and Technology (EIT) is to boost sustainable European economic growth and competitiveness by reinforcing the innovation capacity of the Member States and the Union. In particular, the EIT reinforces the Union's innovation capacity and addresses societal challenges through the integration of the knowledge triangle of higher education, research and innovation. The EIT operates through its Knowledge and Innovation Communities (KICs): large-scale European partnerships which address specific societal challenges by bringing together education, research and business organisations. The EIT provides grants to the KICs, monitors their activities, supports cross-KIC collaboration and disseminates results and good practices.

Proposal for a DECISION of the European Parliament and of the Council on the Strategic Innovation Agenda of the European Institute of Innovation and Technology (EIT) 2021-2027: Boosting the Innovation Talent and Capacity of Europe COM(2019) 330 final	11 July 2019	The Strategic Innovation Agenda (SIA) lays down the priority fields and the long-term strategy and financial needs for the EIT. For the period 2021-2027, the SIA should ensure alignment with the objectives of Horizon Europe as well as the strategic multiannual planning, monitoring and other requirements of that programme, and foster synergies with other relevant programmes. It also outlines the planned higher education, research and innovation activities and the respective budget breakdown. It sets the time schedule for the selection and designation of new KICs for the next programming period.

1.2 Seat

Budapest, Hungary

1.3 Budget Line

01 02 03 03: European Institute of Innovation and Technology (EIT)

01 02 99 01: Completion of previous research programmes (prior to 2021)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	40	39	97,50%	40	40
Assistants (AST)	5	5	100,00%	5	5
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	45	44	97,78%	45	45
Contract Agents (CA)	23	22	95,65%	23	23
Seconded National Experts (SNE)	2		0,00%	2	2
TOTAL STAFF	70	66	94,29%	70	70

1.5 Financial Resources Overview

1.5.1 Revenues Overview

1.5.1.1 General revenues

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	496 793 764	380 570 176
Other Revenue	77 105 975	58 058 708
TOTAL REVENUES	573 899 739	438 628 884

1.5.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	2020	2021
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	Revenues estimated by the agency	Budget Forecast
Additional EU funding stemming from grant agreements (FFR Art.7)		
Additional EU funding stemming from contribution agreements (FFR Art.7)		
Additional EU funding stemming from service level agreements (FFR Art. 43.2)		
TOTAL REVENUES		

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	6 362 136	6 362 136	5 413 000	5 413 000
Title 2 - Infrastructure and operating expenditure	1 004 822	1 004 822	1 309 000	1 309 000
Title 3 - Operational expenditure	566 532 782	515 285 378	431 906 884	410 653 763
Title 4 - Unused Appropriations not required in current Year	33 682 291	p.m.		
TOTAL EXPENDITURE	607 582 031	522 652 336	438 628 884	417 375 763¹

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1		1		1		1		1
AD 13										
AD 12		1				1		1		1
AD 11						2		2		2
AD 10		7		2		7		9		9
AD 9		7		11		9		9		9
AD 8		10		10		10		10		10
AD 7		9		8		7		7		7
AD 6		5		7		3		1		1
AD 5										
AD TOTAL		40		39		40		40		40
AST 11										

¹ The payment appropriations mentioned here are distributed between two budget lines as follows : 270.453.506 EUR on 01.020303 and 146.922.257 EUR on 01.029901

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 10										
AST 9										
AST 8										
AST 7										
AST 6										
AST 5		2		2		3		3		3
AST 4		1		1		1		1		1
AST 3		2		2		1		1		1
AST 2										
AST 1										
AST TOTAL		5		5		5		5		5
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		45		44		45		45		45
GRAND TOTAL	45		44		45		45		45	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	10	8	10	10
Function Group III	7	11	7	13
Function Group II	6	3	6	
Function Group I				
TOTAL	23	22	23	23

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	2		2	2

3 Financial Resources

3.1 Revenues

3.1.1 General revenues

REVENUES	General revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	456 245 052	496 793 764	380 570 176	380 570 176	-23,39%
- Of which assigned revenues deriving from previous years' surpluses	95 721	115 416	124 972	124 972	8,28%
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	38 856 354	49 556 403	10 272 021	10 272 021	-79,27%
- Of which EEA/EFTA (excl. Switzerland)	10 856 354	11 969 948	10 272 021	10 272 021	-14,18%
- Of which candidate countries	28 000 000	37 586 455	<i>p.m.</i>	<i>p.m.</i>	-100%
4 OTHER CONTRIBUTIONS	129 782	34 040			-100%
5 ADMINISTRATIVE OPERATIONS	9 894	1 336			-100%
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES	62 655 900	27 514 196	47 786 687	47 786 687	73,68%
TOTAL	557 896 982	573 899 739	438 628 884	438 628 884	-23,57%

3.1.2 Additional EU funding: contribution, grant and service level agreements

REVENUES	Additional EU funding: contribution, grant and service level agreements				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Additional EU funding stemming from grant agreements (FFR Art.7)					
Additional EU funding stemming from contribution agreements (FFR Art.7)					
Additional EU funding stemming from service level agreements (FFR Art. 43.2)					
TOTAL					

3.2 Expenditure

3.2.1 Commitment appropriations

EXPENDITURE	Commitment appropriations
-------------	---------------------------

² The additional revenues arising from the Third Countries contribution to EIT for 2021 are not included. The Participation Agreements to the Horizon Europe framework programme will be signed subsequently.

	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	5 966 729	6 362 136	5 413 000	5 413 000	-14,92%
Salaries & allowances	4 897 997	5 106 315	5 100 000	5 100 000	-0,12%
<i>- Of which establishment plan posts</i>	4 042 997	4 206 315	4 200 000	4 200 000	-0,15%
<i>- Of which external personnel</i>	855 000	900 000	900 000	900 000	0,00%
Expenditure relating to Staff recruitment	23 000	24 000	10 000	10 000	-58,33%
Mission expenses	270 422	221 021	190 000	190 000	-14,04%
Socio-medical infrastructure	131 150	136 800	61 000	61 000	-55,41%
Training	57 000	60 000	50 000	50 000	-16,67%
External Services	585 660	812 000	p.m.	p.m.	-100%
Receptions, events and representation	1 500	2 000	2 000	2 000	0,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 116 472	1 004 822	1 309 000	1 309 000	30,27%
Rental of buildings and associated costs	137 702	183 102	260 000	260 000	42,00%
Information, communication technology and data processing	385 500	354 920	400 000	400 000	12,70%
Movable property and associated costs	30 600	78 800	69 000	69 000	-12,44%
Current administrative expenditure	380 000	211 000	350 000	350 000	65,88%
Postage / Telecommunications					
Meeting expenses	162 170	175 000	200 000	200 000	14,29%
Running costs in connection with operational activities					
Information and publishing	20 500	2 000	30 000	30 000	1400,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	489 617 005	566 532 782	431 906 884	431 906 884	-23,76%
KICs and knowledge triangle integration	487 598 005	563 366 282	416 706 884	416 706 884	-26,03%
EIT cross-cutting activities	2 019 000	3 166 500	3 200 000	3 200 000	1,06%
Supporting the innovation capacity of higher education			12 000 000	12 000 000	
Title 4 - Unused Appropriations not required in current Year	61 196 776	33 682 291			-100%
TOTAL	557 896 982	607 582 031	438 628 884	438 628 884	-27,81%

3.2.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	5 966 729	6 362 136	5 413 000	5 413 000	-14,92%
Salaries & allowances	4 897 997	5 106 315	5 100 000	5 100 000	-0,12%
<i>- Of which establishment plan posts</i>	4 042 997	4 206 315	4 200 000	4 200 000	-0,15%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
<i>- Of which external personnel</i>	855 000	900 000	900 000	900 000	0,00%
Expenditure relating to Staff recruitment	23 000	24 000	10 000	10 000	-58,33%
Mission expenses	270 422	221 021	190 000	190 000	-14,04%
Socio-medical infrastructure	131 150	136 800	61 000	61 000	-55,41%
Training	57 000	60 000	50 000	50 000	-16,67%
External Services	585 660	812 000			-100%
Receptions, events and representation	1 500	2 000	2 000	2 000	0,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 116 472	1 004 822	1 309 000	1 309 000	30,27%
Rental of buildings and associated costs	137 702	183 102	260 000	260 000	42,00%
Information, communication technology and data processing	385 500	354 920	400 000	400 000	12,70%
Movable property and associated costs	30 600	78 800	69 000	69 000	-12,44%
Current administrative expenditure	380 000	211 000	350 000	350 000	65,88%
Postage / Telecommunications					
Meeting expenses	162 170	175 000	200 000	200 000	14,29%
Running costs in connection with operational activities					
Information and publishing	20 500	2 000	30 000	30 000	1400,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	417 510 751	515 285 378	410 653 763	410 653 763	-20,30%
KICs and knowledge triangle integration	415 346 521	511 402 878	403 549 237	403 549 237	-21,09%
EIT cross-cutting activities	2 164 230	3 882 500	1 344 526	1 344 526	-65,37%
Supporting the innovation capacity of higher education			5 760 000	5 760 000	
Title 4 - Unused Appropriations not required in current Year	11 818	p.m.			
TOTAL	424 605 770	522 652 336	417 375 763	417 375 763³	-20,14%

3.3 Budget Outturn

First estimate of the 2019 surplus that remains within the EIT: EUR 9,636,514.85 (9,761,487.13 EUR – 124,972.28 EUR)

4 Justification of needs

³ The payment appropriations mentioned here are distributed between two budget lines as follows : 270.453.506 EUR on 01.020303 and 146.922.257 EUR on 01.029901

Commission assessment

Human Resources

Contrary to some claims in the chapter 4.1 of the Agency working statement prepared by the EIT, the LFS accompanying the recast Regulation of the EIT, to be in force in 2021, does not allow an increase of the EIT staff. Consequently, the EIT should ensure its legal obligations with the human resources allowed.

Financial Resources

4.1 Human Resources - EIT request

4.1.1 Number of staff requested

The EIT's mission to increase European sustainable growth and competitiveness, by reinforcing the innovation capacity of the EU and Member States, can strongly contribute to the top priorities of European Commission President Ursula von der Leyen, for "A Union that strives for more", by strengthening Europe's growth, competitiveness and stimulating investment for the purpose of job creation.

However, structural problems surrounding the EIT's human resources limit the EIT's potential to fully deliver on its mission. Without additional resources the EIT cannot implement the new tasks allocated to it and exploit opportunities for new innovative activities that derive from the Commission proposal for Horizon Europe foresees an increased role for the EIT coupled with an increase in the multi-annual budget of the EIT to 3 billion euros for the 2021-2027 financial framework.

The EIT's tasks have been growing significantly over the past years. While the EIT managed three Knowledge and Innovation Communities (KICs) from 2010 to 2014, two new KICs started their operations in 2014, a further one has been designated in 2016 and two new ones in 2018. The amount of grant managed by the EIT has increased from 26 million euros (2010) to 560.4 million euros (2020), while the number of beneficiaries (KIC Partners) has increased from 73 (2010) to more than 1500 (2019). This has naturally led to additional work to ensure legality and regularity of transactions and compliance with the principles of sound financial management. In addition, the EIT has taken on board new activities to develop its strong innovation potential, to support KICs' Financial Sustainability and attract funding for the EIT and its KICs under the European Fund for Strategic Investments (EFSI) and invest further into innovative companies, the EIT Regional Innovation Scheme for areas in Europe with lower innovation capacity and outreach and synergies with other programmes and bodies such as the EIT's cooperation with the Joint Research Centre and Copernicus programme. Following its education review, the EIT also has identified further potential for it to lead the transformation of human capital in Europe and contribute to the skills agenda in the areas of entrepreneurship and innovation.

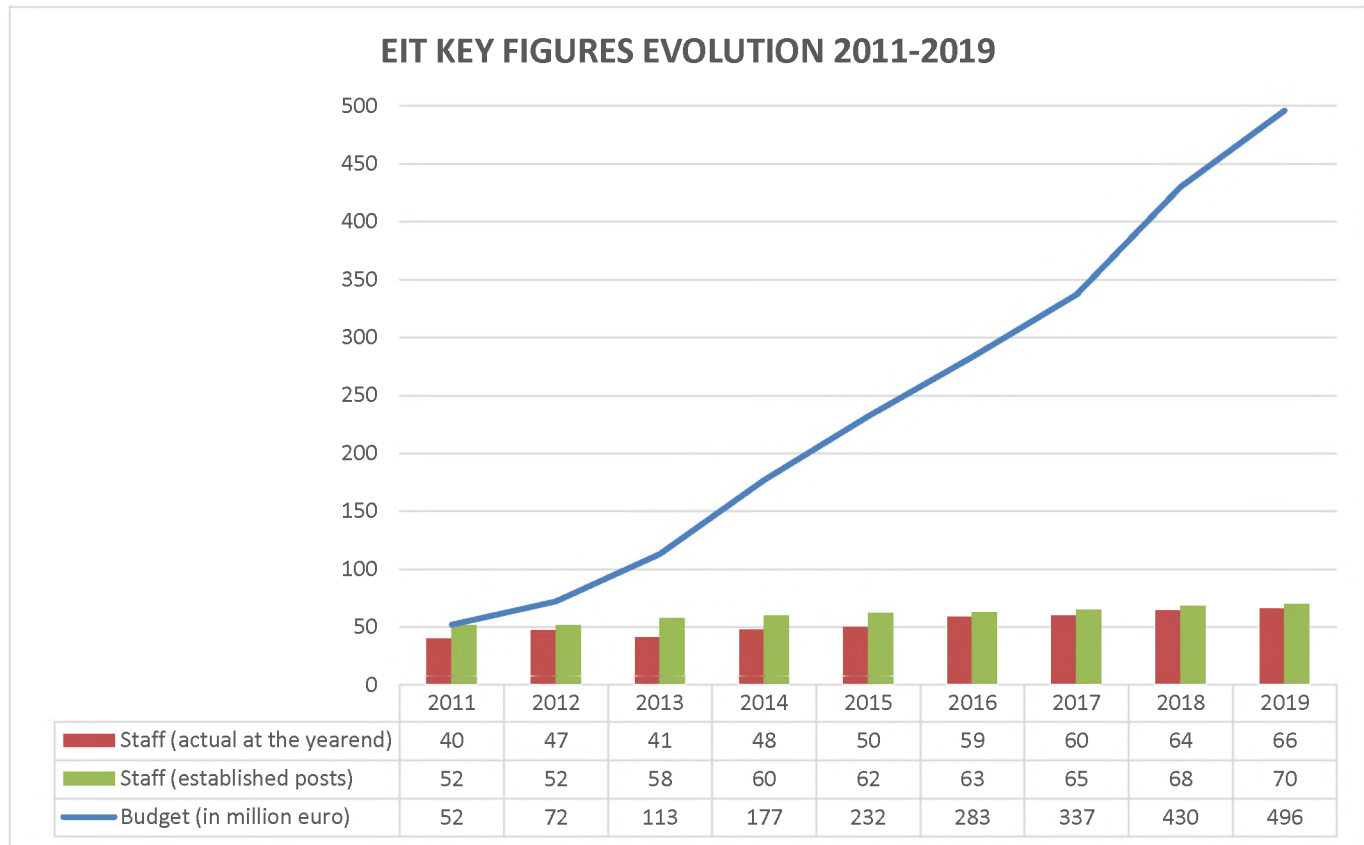
Any further increase in the EIT's budget (i.e. to 3 BEUR or beyond for 2021-2027) or enhancement of mandate of the EIT (new KICs, new education activities or a stronger role in EIT RIS) should see an increase of the current staffing capacity based on a proper staffing needs analysis supporting the Commission's Proposal for the EIT Strategic Innovation Agenda 2021-2027

The EIT will not be able to take further new tasks, which were not foreseen in the initial establishment plan of the EIT, without additional resources. This means that the potential for innovation and the contribution to growth and competitiveness that could be provided by the EIT across the EU will not be fully exploited.

The European Court of Auditors pointed out in their annual audit report⁴ on EIT that, despite the increase in the budget from 309 million euro (2008-2013) to 2.4 billion euro (2014-2020) and in the number of KICs from three to six at the end

⁴ https://www.eca.europa.eu/Lists/ECADocuments/EIT_2016/EIT_2016_EN.pdf

of 2016, the Institute’s authorised number of posts did not change significantly. According to the Court, “this gives rise to a clear risk that the Institute will not have sufficient capacity to deal with the expanded workload”. The report of the European Court of Auditors illustrated the risk as follows (updated with data for 2017-2019, showing that the trend of growing budget and stagnant staff figures continued):



In order to address the structural problems identified above, and to be able to effectively carry out the new tasks described above and to manage the growth of existing tasks, the EIT has requested the approval of seven additional posts as from 2020. However, this request has not been granted.

Replacement of three FGII posts by FGIII posts

The European Parliament called on the EIT „to effectively address its staffing policies to avoid the high turnover of staff” in its discharge decision for year 2013. This message has been repeated in the more recent discharge processes as well. Furthermore, the European Parliament noted that „the lack of a clear career perspective, a difficult work environment and an unattractive salary package related to the correction coefficient for Hungary as the main reasons for the high staff turnover”.

As indicated in the analysis above, the posts at the EIT are structurally „under-graded” compared to other EU agencies or institutions. Besides the examples provided above, there is another remarkable difference between the types of posts and grades offered for administrative staff by EIT and other EU agencies.

Other EU Agencies regularly recruit AST 3 temporary agents for the job of „administrative assistant”. In comparison, administrative assistants at the EIT are graded as FGII contract agents. As of 2018, the net salaries in Budapest for entry-level AST 3 and FGII staff are EUR 2,239 and EUR 1,361, respectively. It is obvious that the EIT is unable to retain administrative staff offering a 60% lower salary for the same job at the same location. In fact, several staff members have left the EIT in the past years in order to accept job offers at another EU Agency based in Budapest.

Furthermore, the EIT has several FGIII contract agents working in specialised jobs such as Finance Assistant or Policy Assistant. As a comparison, the net salary for FGIII contract agents is still 28% lower (at EUR 1,741 per month) than

what another EU Agency would offer in Budapest for AST 3 administrative assistants, i.e. for jobs of less specialised nature and with less responsibility.

In addition, contract agents in EU agencies and Joint Undertakings account, on average, for 20% of total staff. This ratio is 32% in the case of the EIT for 2018, which contributes to the staff turnover and leads to difficulties in retaining staff due to lower salaries and worse contractual conditions.

Therefore, in order to be able to implement the recommendations of the European Parliament, while also avoiding an increase in the number of AST positions, the EIT intends to gradually close this gap by requesting the replacement of three FGII contract agent posts by FGIII contract agent posts as from 2021. The replacement of these three posts will not affect the total number of staff envisaged for 2021.

4.1.2 Vacancy rate as of end 2019

At the end of 2019, 66 posts (44 temporary agents and 22 contract agents) were filled. Altogether 6 new staff members took up duty at the EIT and 3 left in 2019, taking the total number of staff to 66. Compared to the 64 at the end of 2018, this means an increase of 3.13% from 2018 to 2019.

4.1.3 Standard abatement ('abatement forfaitaire') applied

The salary costs are estimated based on the assumption that all the employees will be recruited by the end of 2020. The standard abatement applied is 2%

4.1.4 Salary assumption for calculating salary line (% applied)

The estimation of the cost of human resources is based on the actual staff costs at the EIT and the salary categories defined by the Staff Regulation. To ensure adequacy to the cost of life in the host country, the correction coefficient in force in Hungary applies to the salaries. The budget appropriations covering staff expenditure for year 2020 are based on the estimate of a total of 45 temporary agents (40 AD and 5 AST) and 23 contract agents and 2 SNEs.

The results of the appraisal and promotion for Temporary Agents and Contractual Agents have been taken also into account, in the assumption that the necessary steps are implemented by the EIT.

4.1.5 Correction coefficient used

The correction coefficient rate applied is the one established for year 2019, namely 75.3%.

4.1.6 Exchange rate used (if applicable)

4.2 Financial Resources - EIT Request

4.2.1 Title 1

The estimation of staff expenditure was based on the figures indicated in the Proposal for a Regulation of the European Parliament and of the Council on the European Institute of Innovation and Technology (COM(2019)331). This resulted in a significant decrease, 14.9% (from EUR 6.4 mio to EUR 5.4 mio) in the total staff expenditure compared to 2020.

The resources proposed for staff expenditure in the new EIT Regulation will jeopardize the effective carry out of the new tasks described above and the management of the growth of existing tasks. In addition EIT will not be able to contract interim agents to fill the gap in human resources needed to implement tasks described above.

4.2.2 Title 2

The overall Title 2 infrastructure and operating expenditure is foreseen to increase by 30.3%.

No major expenditures are foreseen in 2020 for IT-related investments due to replacement of end-of-life IT hardware and change in technology in 2019-2020.

Since EIT finalized major works and refurbishment of its current office premises within the year 2019, presumably there will be predominantly rental, maintenance and running cost in the year 2021, and the acquisition- or refurbishment- cost will be kept down to the minimum.

4.2.3 Title 3

Operational expenditures will significantly decrease (by 23.8%) based on the Proposal for the new EIT Regulation

Increasing the impact of KICs and knowledge triangle integration

The EIT will continue to enhance its role as a smart investor in innovation by refining and implementing its strategic planning and performance evaluation framework, maintaining rigorous good governance and increasingly focusing attention to financial sustainability of its innovation communities and their gradual transition to financial independence from the EIT. The EIT will facilitate shared services towards the KICs and exchanges of experiences and good practices between KICs and foster collaboration between them (cross-KIC activities) on both thematic and horizontal topics, such as the reinforcement of the EIT Label.

The EIT will further increase its regional impact through an enhanced openness towards potential partners and stakeholders and a better articulated regional strategy of KICs, including links to the relevant Smart Specialisation Strategies.

In order to contribute to addressing new and emerging global challenges, the EIT will launch and implement the Call for Proposals for the new KIC in the field of Cultural and Creative Industries.

The budget for increasing impact of KICs and knowledge triangle integration will significantly decrease (26.0%). It affects mainly the amount of grants that is estimated to cut to 413.7 mio EUR compared to 2020 (560.4 mio EUR).

EIT continues to award annual grant to the eight designated KICs in 2021 and start to prepare the upcoming multi-annual grant cycle as of 2022. The EIT provides a pre-financing rate of 70% for the grants. The current Proposal grants only appr. 402.0 mio EUR for covering pre-financing of 2021 grants and payment of the final balance of 2020 grants. This could result in a very low pre-financing (appr. 52%) that could cause a major impact in the implementation of KICs objectives.

KICs and knowledge triangle integration	CA pre-2021 mio EUR	CA 2021 mio EUR	PA 2021 mio EUR
grants awarded in 2020	560.4		187.1
grants to be awarded in 2021		413.7	214.8

actions related to KICs and knowledge triangle integration	3.0	3.0	1.6
TOTAL	563.4	416.7	403.5

EIT crosscutting activities

Building on its broad scope of action and distinctive role, the EIT will create synergies and provide complementarities with other EU programmes and instruments, such as the European Innovation Council, by reinforcing its support to KICs in their planning and implementing activities.

To further increase its visibility, the EIT will focus its communications activities in 2021 on one overarching objective, namely increasing the level of awareness of the EIT Community's activities and achievements among external stakeholders by implementing the EIT's Communications Strategy, increasing transparency and openness of the EIT. For example, the 2021 Stakeholder Forum and EIT Awards will be organised to increase opportunities for targeted communication opportunities and interaction and exchange of ideas with the broader innovation ecosystems in Europe and other stakeholders, showcasing EIT success.

The EIT will also continue to support the development of the EIT Alumni Community, as the growing number of EIT alumni, which are the future innovators and entrepreneurs of Europe are a major multiplier to achieve EIT impact and visibility.

In 2021, the EIT will continue putting into practice its overall strategy and processes to analyse and assess results and impacts of all EIT Community activities continuing the EIT's culture of lessons learnt and evaluation, which leads to constant improvements. As flagship initiative, the EIT will launch its Impact Framework (2021 – 2027) through developing an impact-led planning, data collection and impact assessment methodology. In addition, EIT will aim to improve gender balance in diverse EIT governance bodies and among beneficiaries. This work will be performed in close collaboration with the KICs and key EIT stakeholders.

The budget to cover these expenses kept as the same level as in 2020.

Supporting the innovation capacity of higher education

The EIT will implement activities through the KICs in an open and targeted way, which will aim at increasing the innovation capacity in higher education in order to integrate a wider number of Higher Education Institutions in innovation value chains and ecosystems. These activities will complement the intervention of the EIT on education as core part of the Knowledge Triangle Integration activities of KICs, in particular through making them more open and accessible to non-partners of the KICs. The specific details of the implementation and delivery mechanism process will be developed and fine-tuned in 2021-2023.

Budget is estimated based on the plan mentioned in the EIT's Strategic Innovation Agenda.

4.2.4 Title 4

2021 is the last year of re-entry of cancelled appropriations according to the EIT Financial Regulation. The purpose of Title 4 is to collect those cancelled appropriations that are not needed in the financial year. Since the re-entry mechanism is ended in 2021, Title 4 is not applicable.

4.3 Ad hoc grants and delegation agreements

Not applicable

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Infopark, Building E	Budapest	2 309	497	2 806		20 years (30.11.2029)		The Hungarian Government covers the rental fee of the EIT premises during 20 years (Host Agreement)	
2	Infopark, Building E	Budapest	114	35	149	31 154	6 years but can be extended until 11.30.2029		N/A	
3	EIT Liaison Office	Brussels	59	11	70	24 800	9 years until 30.09.2027		N/A	
TOTAL			2 482	543	3 025	55 954				

5.1.2 Current building(s) Other comments

Not applicable.

5.1.3 Building projects in the planning phase

Not applicable.

5.1.4 Building projects submitted to the European Parliament and the Council

Not applicable.

5.2 European schools

Not applicable.

5.3 Evaluation

An evaluation of the EIT was completed by the Commission in 2017.

In its Opinion, the Commission clearly recognises the achievements of the EIT and its Innovation Communities highlighted in the EIT Mid-term Evaluation Report (https://ec.europa.eu/education/sites/education/files/2017-eit-interim-evaluation_en.pdf), namely:

- The EIT/KICs model is highly relevant and now starts to deliver concrete results
- The EIT and its Innovation Communities add value beyond national initiatives, building new types of cooperation links and facilitating cross-border interactions
- The EIT educational programmes attract high calibre students
- The co-location centre model has been instrumental for widening the Innovation Communities' geographical scope to EU's moderate innovation performers
- The EIT and its Innovation Communities fit well within the EU innovation landscape by providing support to innovation through the Knowledge Triangle Integration
- The EIT Innovation Communities adopted diversified efforts and strategies to achieve financial sustainability

The Commission also recognised the importance of the role of the EIT in supporting the Innovation Communities to implement their innovation model.

At the same time, the document indicates certain areas where there is room for improvement, e.g.:

- Integration of the EIT graduates in innovation and entrepreneurship activities of the Innovation Communities is under-exploited: education activities did not generate so far a significant number of student-led start-ups
- Further efforts are needed for the Innovation Communities to become fully integrated into the local innovation ecosystems
- Impact is mainly limited to the partners, graduates and start-ups that have directly cooperated with the EIT Innovation Communities, and less clear evidence is found on the systemic impacts of the EIT
- The potential of the EIT and its Innovation Communities to contribute to EU policy-making in specific fields has not been utilised at its best
- Synergies existing at implementation level between the EIT and other EU innovation policy initiatives and instruments are not sufficiently reflected at programming level; the EIT should work in close coordination with research and innovation activities and the financial instruments of H2020 and COSME
- Achieving fully self-financing after 15 years may be challenging for the EIT Innovation Communities

The Commission's review of the EIT acknowledges the uniqueness of the EIT model among the EU and Member States' innovation support initiatives in tackling relevant societal challenges through the Knowledge Triangle Integration. The Commission also highlights the following:

- The EIT and its Innovation Communities contributed to H2020 objectives on "societal challenges" and on "Leadership in enabling and industrial technologies"
- EIT Innovation Communities brought solutions closer to the market and paved the way for industrial and commercial implementation in areas of societal challenges
- The EIT Innovation Communities have been successful in involving the diversity of actors in the knowledge triangle, thus contributing to reduce the fragmentation in their sectoral ecosystems
- The flexibility of the EIT model is suitable and allows for testing potential new initiatives in the area of innovation support
- The EIT Innovation Communities' management costs have been significantly lowered over time, following the EIT's efforts to limit their weight on the respective accounts
- The cross-innovation community interactions, through the active support of the EIT, have been steadily increasing

Finally, the Opinion re-affirms the recommendations of the independent evaluation and commits the Commission, together with EIT and its Innovation Communities to:

- Measure and report more extensively on activities and achievements related to EU policy priorities in thematic areas
- Further improve and review the system for monitoring to better measure and capture results and impact
- Reduce the administrative burden for the EIT and its EIT Innovation Communities
- Explore way to further extent the multi-annuity of the EIT grant agreements

5.4 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
According to the Host Agreement ratified by the Hungarian Parliament on 20 December 2010 (publication reference 2010éviCLXVI.törvény, MagyarKözlöny, 2010évi197szám), which enters in force on 22 January 2011	According to the Host Agreement ratified by the Hungarian Parliament on 20 December 2010 (publication reference 2010éviCLXVI.törvény, MagyarKözlöny, 2010évi197szám) , which enters in force on 22 January 2011	The EIT has signed cooperation agreements with international schools and kindergartens in Budapest

6 Budget Outturn

6.1 Calculation budget outturn

Budget outturn	2017	2018	2019
Revenue actually received (+)			416 030 924
Payments made (-)			-405 987 745
Carryover of appropriations (-)			-519 806
Cancellation of appropriations carried over (+)			136 790
Adjustment for carryover assigned revenue appropriations from previous year (+)			97 348
Exchange rate differences (+/-)			3 976
Adjustment for negative balance from previous year (-)			
TOTAL			9 761 487

6.2 Cancellation of appropriations

6.2.1 Cancellation of commitment appropriations

Commitment appr., EUR	Amount cancelled of appr. (all fund sources)	Amount of cancelled appropriations that can be re-entered/carried over	Automatically carried over to 2020	Carried over to 2020 on decision	Re-enter in 2020	Re-enter in 2021
Title 1	576,178.51	-	-	-	-	-
Title 2	421,634.58	-	-	-	-	-
Title 3	50,028,685.67	14,138,434.03	34,037.71	-		14,104,396.32
Title 4	61,196,487.38	61,196,487.38-	-	-	27,514,196.51	33,682,290.87-
Total	112,222,986.14	75,334,921.41	34,037.71	-	27,514,196.51	47,786,687.19
Total						47,786,687.19

6.2.2 Cancellation of payment appropriations for the year

Payment appr., EUR	Amount of cancelled appr. (all fund sources)	Amount of cancelled appropriations that can be re-entered/carried over	Automatically carried over to 2020	Carried over to 2020 on decision	Re-enter in 2020	Re-enter in 2021
Title 1	422,351.27	370,885.16	234,551.02	-	136,334.14	
Title 2	479,454.00	405,947.83	285,255.64	-	120,692.19	
Title 3	9,338,981.74	9,338,981.74		-	9,338,981.74	
Title 4	11,818.44	11,818.44		-	11,818.44	
Total	10,252,605.45	10,127,633.17	519,806.66	-	9,607,826.51	-

6.2.3 Cancellation of payment appropriations carried over

A total amount of EUR 124,972.28 (16.5%) resulting from the carry-over of payment appropriations from 2018 have been cancelled.

Budget Title	Fund Source	Appropriations, EUR	Payment execution, EUR	Cancelled, EUR
1 Staff expenditure	C8	438,508.03	387,041.92	51,466.11
2 Infrastructure and operating expenditure	C8	295,179.64	227,433.80	67,745.84
	C2	25,000.00	19,239.67	5,760.33
TOTAL		758,687.67	633,715.39	124,972.28

Payment appropriation of EUR 8,465,392.02 resulting from re-entering of payment appropriations unused in 2016 and 2018 has been fully consumed.

Budget Title	Fund Source	Appropriations, EUR	Payment execution, EUR	Cancelled, EUR
3 Operational expenditure	C2	8,465,392.02	8,465,392.02	0

6.3 Justification

6.3.1 Budget outturn

The total revenue received for the year 2019 amounts to EUR 416,030,924.15 including the EU subsidy, EFTA/EEA and third parties (H2020) contribution, repayment related to administrative expense and recovery of grants as a result of an ex-post audit.

The total payments made against 2019 payment appropriations was EUR 405,987,745.47.

Carry over to 2020 amounts to EUR 519,806.66.

The payment appropriations carried over from 2018 to 2019 that have not been used (C2 and C8 credits) for an amount of EUR 124,972.28, will be reimbursed to the European Commission in 2020.

In 2018, the exchange rate difference of EUR 3,976.28 resulted in gain.

The balance of the outturn for the financial year 2019 is EUR 9,761,487.13.

6.3.2 Cancellation of appropriations

97.1% of the available commitment appropriations (on C1 and C4 credits) was committed and 97.6% of the available payment appropriations was executed in 2019.

Appropriations, which have not been used at the end of 2019 shall be cancelled according to Article 14 of the EIT Financial Regulation will be re-entered in the following three financial years. The derogation will end in 2021 that means that 2021 will be the last year when appropriations unused previous years can be re-entered. Please consult details under point 6.2.1 and 6.2.2.

2.1.2 SESAR Joint Undertaking – SESAR

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Council Regulation (EC) 219/2007 on the establishment of a Joint Undertaking to develop the new generation European air traffic management system (SESAR) (OJ L 64/1, 2.3.2007)	27/02/2007	<p>Established under Article 171 of the Treaty, the Joint Undertaking's aim is to ensure the modernisation of the European air traffic management system by coordinating and concentrating all relevant research and development efforts in the Union. It shall be responsible for the execution of the ATM Master Plan and in particular for carrying out the following tasks:</p> <ul style="list-style-type: none"> - organising and coordinating the activities of the development phase of the SESAR project in accordance with the ATM Master Plan, by combining and managing under a single structure public and private sector funding, - ensuring the necessary funding for the activities of the Development phase of the SESAR Project in accordance with the ATM Master Plan, - ensuring the involvement of the stakeholders of the air traffic management sector in Europe, in particular: air navigation service providers, airspace users, professional staff associations, airports, and manufacturing industry; as well as the relevant scientific institutions or the relevant scientific community, - organising the technical work of research and development, validation and study, to be carried out under its authority while avoiding fragmentation of such activities, - ensuring the supervision of activities related to the development of common products duly identified in the ATM Master Plan and if necessary, to organise specific invitations to tender.
Council Regulation (EC) 1361/2008 amending Regulation (EC) No 219/2007 on the establishment of a joint undertaking to develop the new generation European air traffic management system (SESAR) (OJ L 352/12, 31.12.2008)	16/12/2008	The main changes introduced by this regulation concern the alignment of the SESAR Joint Undertaking (SESAR JU) to the new legal model of the other Joint Undertaking. In particular as of 01.01.2009 the SESAR JU is under the Protocol of Privileges and Immunities of the Community; this implies that the SESAR JU will be VAT exempted as of 16.02.2008 with an important positive effect on the resources available for the research programme
Council Regulation Council Regulation (EU) No 721/2014 of 16 June 2014 amending Regulation (EC) No 219/2007 on the establishment of a Joint Undertaking to develop the new generation European air traffic management system (SESAR) as regards the extension of the Joint Undertaking until 2024.	16/06/2014	<p>Established under Article 187 of the Treaty on the Functioning of the European Union, the Council Regulation 721/2014 extends the SESAR JU to the 2024 and defines the Union contribution within the EU “Horizon 2020” Framework Programme, entrusts it to launch a new programme to address the remaining elements of Master Plan step 2, those of step 3 and with Exploratory Research to go beyond this timeframe and concept.</p> <p>The proposal (COM (2013) 503) for the extension of the SESAR JU beyond 2016 was adopted on 16 June 2014.</p>

1.2 Seat

Brussels, Belgium

1.3 Budget line

01 02 99 01 : Completion of previous research programmes (prior to 2021)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	33	32	96,97%	33	32
Assistants (AST)	6	5	83,33%	6	6
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	39	37	94,87%	39	38
Contract Agents (CA)		2			1
Seconded National Experts (SNE)	3	3	100,00%	3	3
TOTAL STAFF	42	42	100,00%	42	42

1.5 Financial Resources Overview

1.5.1 Revenues Overview

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	120 759 815	
Other Revenue	14 233 688	11 213 679
TOTAL REVENUES	134 993 503	11 213 679

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	6 157 360	6 157 360	6 280 507	6 280 507
Title 2 - Infrastructure and operating expenditure	3 417 079	3 417 079	3 465 671	3 465 671
Title 3 - Operational expenditure	112 035 660	88 972 260	1 467 501	70 560 908
Title 4 - Unused Appropriations not required in current Year	13 383 404	28 721 003		
TOTAL EXPENDITURE	134 993 503	127 267 702	11 213 679	80 307 086

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1		1		1		1		1
AD 14										
AD 13								1		1
AD 12		4		4		5		5		5
AD 11		3		1		3		3		3
AD 10		2		3		2		2		2
AD 9		4		5		5		6		6
AD 8		6		6		7		7		7
AD 7		7		5		6		4		4
AD 6		6		7		4		3		3
AD 5										
AD TOTAL		33		32		33		32		32
AST 11										
AST 10										
AST 9		1		1		1		1		1
AST 8										
AST 7		1				1		1		1
AST 6										
AST 5						1		2		2
AST 4		2		3		2		1		1
AST 3		1				1		1		1
AST 2		1		1						
AST 1										
AST TOTAL		6		5		6		6		6
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		39		37		39		38		38
GRAND TOTAL		39		37		39		38		38

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV		2		1
Function Group III				
Function Group II				
Function Group I				
TOTAL		2		1

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	3	3	3	3

3 Financial Resources

3.1 Revenues

REVENUES	Revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	110 000 000	120 759 815			-100%
- Of which Administrative (Title 1 and Title 2)	3 252 411	16 335 451			-100%
- Of which Operational (Title 3)	106 747 589	104 424 364			-100%
- Of which funding of European schools Type 2					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	2 618 000	2 911 185			-100%
- Of which EEA/EFTA (excl. Switzerland)	2 618 000	2 911 185			-100%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS	10 641 589	4 770 556	6 954 762	6 954 762	45,79%
5 ADMINISTRATIVE OPERATIONS					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
8 INTERESTS GENERATED					
9 UNUSED APPROPRIATIONS FROM PREVIOUS YEARS	24 400 220	6 551 947	4 258 917	4 258 917	-35,00%
From year N-1	17 244 090	6 551 947	4 258 917	4 258 917	-35,00%
- Of which Administrative			3 345 851	3 345 851	100%
- Of which Operational	17 244 090	6 551 947	913 066	913 066	-86,06%
From year N-2	7 156 130				

REVENUES	Revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
- Of which Administrative					
- Of which Operational	7 156 130				
From year N-3					
- Of which Administrative					
- Of which Operational					
TOTAL	147 659 809	134 993 503	11 213 679	11 213 679	-91,69%

3.2 Financial contributions from EU budget and the other partners and in kind contributions

FINANCIAL CONTRIBUTIONS OVERVIEW	2019	2020	2021
	Executed	Estimated by the Joint Undertaking	As requested by the Joint Undertaking
1. FINANCIAL CONTRIBUTION FROM EU (EFTA included) (1)	112.618.000	123.671.000	0
Assigned revenue			
H2020	112.618.000	123.671.000	
2. CONTRIBUTIONS FROM INDUSTRY	62.623.323	51.487.931	37.686.129
of which financial contribution	2.729.585	3.087.011	3.087.011
of which contribution in kind (2)	59.893.738	48.400.920	34.599.118
3 OTHER MEMBERS CONTRIBUTIONS	63.012.766	72.798.175	68.738.151
of which financial contribution	1.848.266	1.683.546	3.867.751
of which contribution in kind (3)	61.164.500	71.114.629	64.870.400
TOTAL CONTRIBUTIONS	238.254.089	247.957.105	106.424.279
of which to SESAR2020	238.254.089	247.957.105	106.424.279
of which Assigned revenue	0	0	0
(1) EFTA rate for 2019: 2,38% and for 2020: 2,41%			
(2) out of which EUR 6.590.765 not yet validated (2019 figure)			
(3) not yet validated (2019 figure)			

In accordance with Article 4 of the SESAR JU constituent act and the Statutes annexed to it, all revenue of the SESAR JU shall come from contributions from its Members and can be financial or in kind.

1. Financial Contribution from EU

As the last year to request the remaining EU entitlements (EUR 585 million less the funds already requested) was 2020 ⁽¹⁾, no additional EU Contribution is requested in 2021.

⁽¹⁾ Article 4(3) of the amended SESAR JU constituent act stipulates that 'All Union financial contributions to the Joint Undertaking shall cease upon expiry of the 2014-2020 financial framework unless otherwise decided by the Council on the basis of a Commission proposal'. The expiry of the 2014-2020 financial framework is the 31 December 2020.

2. Contributions from Industry (Members)

All SESAR JU Members other than the European Commission (representing the EU) and EUROCONTROL contribute to the SESAR JU as follows:

- Financial contributions: 5 % of each Member's contribution shall be in cash in order to finance the running costs of the Joint Undertaking (i.e. staff, infrastructure and operating expenditure),
- In-kind contributions, consisting of the operational activities carried out by the stakeholder Members for developing, both jointly and under the SESAR JU's supervision, the next generation of the ATM system in Europe.

3. Other Members Contribution (EUROCONTROL)

As a Founding Member, pursuant to Article 9.2 (b) of the SESAR JU Statutes and the SESAR JU-EUROCONTROL Agreement, EUROCONTROL shall contribute in-kind and in cash (cash transfers and "quasi" cash) to the SESAR JU running costs and work programme ⁽²⁾ through a set of activities under the authority of the SESAR JU, which may include the following:

- Through research, development and validation activities under the SESAR 2020 Programme, subject to the award of grants (in-kind contribution),
- Through external coordination and adaptation of the relevant EUROCONTROL consultation mechanisms (in-kind contribution),
- Through detachment of the Programme Management Unit (PMU) (in-kind contribution),
- Through the provision of ICT support to the SESAR JU in accordance with Schedule 4 of this agreement (in-kind and "quasi" cash contribution),
- Upon request of the SESAR JU, through the execution of other ATM-related studies necessary to support SESAR JU in the achievement of its objectives, complementary to the SESAR 2020 Programme (in-kind contribution),
- The cash contribution to the SESAR JU running costs should be transferred to the SJU according to a time schedule duly justified by the actual needs of the SJU.

Before the SESAR JU Administrative Board accepted the accession of 19 stakeholder Members other than the Union, the value and the utility of the in-kind contributions that were offered by each Candidate Member for carrying out the tasks of the JU were assessed. Following that assessment, the contribution of each Member was contractually established (as estimates) in a unique Membership Agreement signed by the SESAR JU and all Members (excluding EUROCONTROL which signed a specific SESAR JU-EUROCONTROL Agreement).

These are as follows:

⁽²⁾ In accordance with Schedule 2 of SESAR JU-EUROCONTROL Agreement, the EUROCONTROL financial contribution shall comprise: '(a) An estimated amount of EUR 25 million (corresponding to 5 % of the total contribution of EUROCONTROL), as a contribution for the SJU's running costs. This amount shall consist of: i) an estimated amount of EUR 10 million (ten-million-EURO) for IT support provided in accordance with the terms and conditions in Schedule 4, ii) the remaining estimated amount of EUR 15 million (fifteen-million-EURO) cash contribution to be transferred to the SESAR JU according to a time schedule duly justified by the actual needs of the SJU.' Therefore, the level of cash contribution is highly dependent on the level of actuals EUROCONTROL Gross In-Kind Contribution, and can fluctuate up or down.

(EUR)

Members	Estimated total net Contribution ⁽⁴⁾	of which financial contribution	of which net in-kind contribution
European Union	585.000.000,00	585.000.000,00	
EUROCONTROL	492.256.781,00	25.000.000,00	467.256.781,00
Other Members in total	325.838.461,65	18.466.058,00	307.372.403,65
AIRBUS	26.761.006,00	1.667.271,00	25.093.735,00
AT-ONE Consortium	12.495.693,00	627.887,00	11.867.806,00
B4 Consortium	2.382.455,00	397.076,00	1.985.379,00
COOPANS Consortium	9.275.779,00	599.718,00	8.676.061,00
DASSAULT Aviation	5.247.567,00	290.928,00	4.956.639,00
DFS	8.483.712,00	672.725,00	7.810.987,00

Members	Estimated total net Contribution ⁽⁴⁾	of which financial contribution	of which net in-kind contribution
DSNA	9.831.224,62	641.023,00	9.190.201,62
ENAIRE	16.452.269,00	834.917,00	15.617.352,00
ENAV	8.143.260,00	643.950,00	7.499.310,00
FREQUENTIS Consortium	6.885.998,00	475.866,00	6.410.132,00
HONEYWELL AEROSPACE	15.324.183,38	777.926,00	14.546.257,38
INDRA	21.534.500,00	1.656.500,00	19.878.000,00
Leonardo	48.127.619,53	2.291.791,00	45.835.828,53
NATMIG Consortium	10.472.227,00	511.804,00	9.960.423,00
NATS	9.363.535,00	655.208,00	8.708.327,00
SEAC2020 Consortium	3.485.625,00	222.625,00	3.263.000,00
SKYGUIDE	1.637.165,12	263.860,00	1.373.305,12
THALES AIR SYSTEMS	75.585.799,00	3.599.324,00	71.986.475,00
THALES AVIONICS	34.348.844,00	1.635.659,00	32.713.185,00
TOTAL	1.403.095.242,65	628.466.058,00	774.629.184,65

This overall budget was broken down into annual commitment and payment instalments over the lifetime of the SESAR 2020 Programme.

Outside these financial contributions included in table: "FINANCIAL CONTRIBUTIONS OVERVIEW", the SESAR JU has been provided:

- under delegation agreement EC/SESAR JU ref. MOVE/E3/DA/2016-669/SI2.743803 signed on 6 December 2016 ⁽³⁾, with EUR 500.000 in assigned revenue to organise a call for proposals for a geo-fencing demonstration,
- under delegation agreement EC/SESAR JU ref. MOVE/E3/DA/2017-477/SI2.766828 signed on 10 November 2017, with an additional EUR 800 000 in assigned revenue from the European Commission to procure a study to develop a proposal for the future architecture of European airspace,
- under delegation agreement EC/SESAR JU ref. MOVE/E3/DA/2017-564/si2.771010 signed on 13 December 2016, with an additional EUR 10 million in assigned revenue from the European Commission from the CEF funds to organise a call for proposals on U-space demonstrations.

⁽³⁾ In accordance with Articles 54(2)(a) and 58(1)(c)(iv) of the Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union (EU Financial Regulation) (OJ L 193, 30.7.2018, p. 1).

3.3 Expenditure

3.3.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	5 585 740	6 157 360	6 280 507	6 280 507	2,00%
Salaries & allowances	5 069 940	5 630 360	5 742 967	5 742 967	2,00%
- Of which establishment plan posts	4 280 862	4 819 764	4 916 159	4 916 159	2,00%
- Of which external personnel	789 078	810 596	826 808	826 808	2,00%
Expenditure relating to Staff recruitment	15 000	15 000	15 300	15 300	2,00%
Mission expenses	335 000	300 000	306 000	306 000	2,00%
Socio-medical infrastructure					
Training	50 000	85 000	86 700	86 700	2,00%
External Services	92 000	92 000	93 840	93 840	2,00%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure	23 800	35 000	35 700	35 700	2,00%
Title 2 - Infrastructure and operating expenditure	3 161 028	3 417 079	3 465 671	3 465 671	1,42%
Rental of buildings and associated costs	964 888	900 944	918 963	918 963	2,00%
Information, communication technology and data processing	1 545 269	1 564 948	1 570 747	1 570 747	0,37%
Movable property and associated costs	10 000	10 200	10 404	10 404	2,00%
Current administrative expenditure	234 956	530 987	547 357	547 357	3,08%
Postage / Telecommunications					
Meeting expenses	10 000	10 000	10 200	10 200	2,00%
Running costs in connection with operational activities					
Information and publishing	395 915	400 000	408 000	408 000	2,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	138 913 041	112 035 660	1 467 501	1 467 501	-98,69%
Studies/Development conducted by the SJU	43 908 913	23 149 245	567 501	567 501	-97,55%
Studies/Development conducted by the Members	95 004 128	88 886 415	900 000	900 000	-98,99%
Title 4 - Unused Appropriations not required in current Year		13 383 404			-100%
- Of which Administrative		13 383 404			-100%
- Of which Operational					
TOTAL	147 659 809	134 993 503	11 213 679	11 213 679	-91,69%

3.3.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	5 325 094	6 157 360	6 280 507	6 280 507	2,00%
Salaries & allowances	4 935 639	5 630 360	5 742 967	5 742 967	2,00%
- Of which establishment plan posts	4 280 862	4 819 764	4 916 159	4 916 159	2,00%
- Of which external personnel	654 777	810 596	826 808	826 808	2,00%
Expenditure relating to Staff recruitment	1 388	15 000	15 300	15 300	2,00%
Mission expenses	255 762	300 000	306 000	306 000	2,00%
Socio-medical infrastructure					
Training	31 377	85 000	86 700	86 700	2,00%
External Services	82 720	92 000	93 840	93 840	2,00%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure	18 208	35 000	35 700	35 700	2,00%
Title 2 - Infrastructure and operating expenditure	2 447 436	3 417 079	3 465 671	3 465 671	1,42%
Rental of buildings and associated costs	799 769	900 944	918 963	918 963	2,00%
Information, communication technology and data processing	1 210 535	1 564 948	1 570 747	1 570 747	0,37%
Movable property and associated costs	25	10 200	10 404	10 404	2,00%
Current administrative expenditure	221 352	530 987	547 357	547 357	3,08%
Postage / Telecommunications					
Meeting expenses	6 595	10 000	10 200	10 200	2,00%
Running costs in connection with operational activities					
Information and publishing	209 160	400 000	408 000	408 000	2,00%
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	143 732 149	88 972 260	70 560 908	70 560 908	-20,69%
Studies/Development conducted by the SJU	16 177 444	17 391 759	5 761 448	5 761 448	-66,87%
Studies/Development conducted by the Members	127 554 705	71 580 501	64 799 460	64 799 460	-9,47%
Title 4 - Unused Appropriations not required in current Year		28 721 003			-100%
- Of which Administrative					
- Of which Operational		28 721 003			-100%
TOTAL	151 504 679	127 267 702	80 307 086	80 307 086	-36,90%

3.4 Budget Outturn

First estimate of the 2019 surplus that remains within the joint undertaking: EUR 50.510.125 (EUR 30.959.396 for SESAR1 and EUR 19.550.729 for SESAR2020). The EUR 19.550.729 is the cumulated budget surplus since the beginning of SESAR 2020 Programme. The situation has changed in 2019 when SESAR registered a deficit of EUR

26.757.136 which was covered by the existing surplus from the previous years. The SJU has taken additional measures (reinforced monitoring and planning of the payments) in order to avoid in the future the accumulation of budget surplus.

SESAR 1 + SESAR 2020

<i>all figures in EUR</i>	2019	2018
REVENUE RECEIVED FOR THE YEAR		
Contribution from the European Union SESAR1		
Contribution from the European Union SESAR2020	114.136.182	88.184.652
Contribution from Eurocontrol	1.848.266	5.189.144
Contributions from other Members	2.729.585	2.546.435
Other sources of contribution and revenue SESAR1	915.510	1.886.316
Other sources of contribution and revenue SESAR2020	5.148.227	80.633
TOTAL REVENUE (1)	124.777.771	97.887.180
TOTAL PAYMENTS MADE FOR THE YEAR		
Staff Expenditure SESAR2020	(5.325.094)	(5.219.663)
Administrative Expenditure SESAR1	0	(169.470)
Administrative Expenditure SESAR2020	(2.448.741)	(4.050.475)
Operating Expenditure SESAR1	(885.282)	(1.670.690)
Operating Expenditure SESAR2020	(142.845.562)	(67.515.373)
TOTAL EXPENDITURE (2)	(151.504.679)	(78.625.670)
BUDGET SURPLUS of the year (3)=(1)-(2) SESAR1	30.228	46.157
BUDGET SURPLUS of the year (3)=(1)-(2) SESAR2020	(26.757.136)	19.215.353
Total Budget Surplus previous year (4) SESAR1	30.929.169	30.883.012
Total Budget Surplus previous year (4) SESAR2020	46.307.865	27.092.512
NEW TOTAL BUDGET SURPLUS (5)=(3)+(4) SESAR1	30.959.396	30.929.169
NEW TOTAL BUDGET SURPLUS (6)=(3)+(4) SESAR2020	19.550.729	46.307.865
TOTAL BUDGET OUTTURN (7)=(5)+(6)	50.510.125	77.237.034

The repayment of SESAR1 Budget surplus to all SESAR1 Members will be made in 2020 based on an Administrative Board decision.

4 Justification of needs

Commission assessment

The budget request for the SESAR JU enables the JU to achieve its objectives and fulfil its legal mandate.

As coordinator for air traffic management research activities in the Union, the SESAR JU ensures that all key stakeholders in the sector (airlines, airports, manufacturing industry, air navigation service providers) cooperate to deliver

technical solutions that support the Union's Single European Sky priorities regarding safety, environment or operational capacity.

Building on an updated European ATM Master Plan adopted in December 2019, the research and demonstration activities planned by SESAR JU in 2021 will help transform Europe's ATM sector over the next decade, allowing the Union to deliver on the new ambitious goals of the European Green deal and on the digital transformation and integration of mobility objectives.

Human Resources

The Commission supports the SESAR JU request, which is in line with the programming and is stable compared to 2019. The Commission welcomes the reduced vacancy rate, down from 10% in 2017 to 0% in 2019.

The Commission acknowledges that the SJU employs one staff member under a FGIV contract-agent (a person recruited under an indefinite contract under the Belgian law before the SJU was a Union Body) and that throughout this period a TA AD7 position was vacant to preserve the maximum FTEs allowed.

For the sake of transparency, the staff establishment plan was modified from 39 to 38 TAs + 1 CA, in line with the current situation.

Financial Resources

The planned appropriations are adequate to cover the JU's work programme. All Horizon 2020 funds have been committed in the years leading to 2020. The 2021 Budget includes the relevant level of payment appropriations to cover the needs of currently on-going projects launched in 2019 and 2020, which are due to be finalised by 2022.

In line with Article 12(2) of the new SESAR JU Financial Rules adopted in October 2019, appropriations related to the administrative expenditure were entered in the estimates of revenue and expenditure for 2021 to ensure the continuity of the SESAR JU until its termination foreseen for 2024.

4.1 Human Resources - Joint Undertaking Request

4.1.1 Number of staff requested

Compared to the approved Budget for 2020, the 2021 Budget request does not include any temporary staff increase and is in line with the 2013 Programming forecast (38 positions in the staff establishment plan given the modification to reflect a replacement of 1 TA AD7 with 1 CA). Nevertheless, it is crucial for the SJU to maintain its level of staff in order to cope with the diversity and complexity of the legal frameworks applicable to the SJU activities.

The SJU has received funds from the EU of various origins in order to execute the SESAR 2020 programme. These funds have been delegated to the SJU under four different legal frameworks, namely Horizon 2020, CEF (Connecting Europe Facility) and two types of AR (Assigned Revenues), each referring to the execution of grants (following calls for proposals) or studies (following calls for tender). The diversity of the applicable legal frameworks under which the SJU operates, with each its own templates and obligations, also comes with a high degree of complexity due to the number of derogations to the legal frameworks.

4.1.2 Vacancy rate as of end 2019

The vacancy rate at the end of 2019 was of 0%, which represents a major improvement compared to 2017 and 2018 when the vacancy rates respectively 10.26% and 5.12%.

During the year 2019, there were 3 positions filled: Financial Assistant (TA/AST3), Grant Manager (TA/AD6) and Chief Financial Officer (TA/AD12).

4.1.3 Standard abatement ('abatement forfaitaire') applied

N/A

4.1.4 Salary assumption for calculating salary line (% applied)

The salaries are based on the 2019 actual salaries and assumptions concerning annual step increases, reclassifications, very low vacancy rate as well as an estimated increase related to the costs of life. A 4% increase was calculated in order to cover all these costs.

4.1.5 Correction coefficient used

N/A

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - joint Undertaking Request

4.2.1 Title 1

Title I expenditure is maintained at comparable levels to previous years for 2021.

The total amount foreseen for Title I in the 2021 budget is EUR 6,28 million.

Any costs for increase of salaries, reclassifications and contract changes are sufficiently covered by the requested budget.

The commitment and payment appropriations are allocated as follows:

STATEMENT OF EXPENDITURE

all figures in Euro

Title / Chapter	Commitment Appropriations		Payment Appropriations	
		Budget 2021		Budget 2021
1. Staff Expenditure		6.280.508		6.280.508
1.1. Staff Expenditure As Per Staff Establish. Plan		4.916.159		4.916.159
1.2. Contract Agents, Interim Staff		630.721		630.721
1.4. Seconded National Experts		196.087		196.087
1.5. Mission Costs		306.000		306.000
1.6. Other Staff Expenditure		231.541		231.541

4.2.2 Title 2

Title II expenditure is maintained at comparable levels to previous years for 2021.

The total amount foreseen for Title II in the 2020 budget is EUR 3,47 million. All Title II budget lines are kept at the same level of 2020.

The commitment and payment appropriations are allocated as follows:

STATEMENT OF EXPENDITURE

all figures in Euro

Title / Chapter	Commitment Appropriations	Payment Appropriations
	Budget 2021	Budget 2021
2. Administrative Expenditure	3.465.671	3.465.671
2.1. Rental Of Buildings And Associated Costs	918.963	918.963
2.2. Movable Property And Associated Costs	10.404	10.404
2.3. PR And Events	408.000	408.000
2.4. Postage		
2.5. Governance Expenditure	10.200	10.200
2.6. Current Administrative Expenditure	398.737	398.737
2.7. ICT and Unified Communications	1.570.747	1.570.747
2.8. Administrative Support Services	148.620	148.620

4.2.3 Title 3

Title III includes both operational activities conducted by the SESAR JU directly (“Studies/developments conducted by the SESAR JU”, i.e. non-Members related operations) and those conducted by its Members under SESAR JU supervision (“Studies/developments conducted by the Members”).

Expenditure within this title is significantly lower in 2021 in commitment appropriations comparing to previous years (EUR 1,47 million in 2021 and EUR 112,04 million in 2020) as a direct consequence of the phasing out of SESAR 2020 Programme activities. There will be no new calls for proposals for research activities in 2021. The remaining activities to be conducted in 2021 are detailed by Strategic Area of Operation below:

Strategic Steering activities (3.1): the SESAR JU will supervise the ongoing Transversal Activities projects launched in 2019 under the Wave 2 restricted call for proposals (H2020-SESAR-2019-1). These projects address the concept of operations, architecture, performance, and maintenance of the European ATM Master Plan.

Subject to the decision to be made by the EU on the future partnership for ATM research, the SESAR JU would benefit from support provided by ATM stakeholders such as airspace users, professional staff organisations and national aviation authorities.

Deliver Exploratory Research (3.2 – ‘ER’): the SESAR JU will supervise and ensure the delivery of results by the projects launched under the ER3 (H2020-SESAR-2016-2) and ER4 calls for proposals (H2020-SESAR-2019-2). Another ER activity is the organisation of the SESAR Innovation Days, including the Young Scientist Awards and the SESAR Digital Academy.

Deliver Industrial Research & Validation (3.3 – ‘IR’): the SESAR JU will supervise the IR projects launched in 2019-20 under the Wave 2 (H2020-SESAR-2019-1) and Wave 3 (H2020-SESAR-2020-2, if confirmed) restricted calls for proposals.

Deliver Very Large Scale Demonstration Activities (3.4 – ‘VLD’): the SESAR JU will supervise the VLD projects launched in 2019-2020 under the Wave 2 (H2020-SESAR-2019-1) and Wave 3 (H2020-SESAR-2020-2, if confirmed) restricted calls for proposals and the projects launched in 2020 under the open VLD-Open 2 call for proposals (H2020-SESAR-2020-1).

Deliver SESAR Outreach (3.5): the SESAR JU will support future policy orientations in Europe and in ICAO through communication activities (events, digital communication, press relations, publications), and European and international relationships with the variety of stakeholders of the Aviation sector.

The commitment and payment appropriations are allocated by Strategic areas of operations as shown in the table below that includes Title 3 direct expenditure only:

STATEMENT OF EXPENDITURE		
<i>all figures in Euro</i>	Commitment Appropriations	Payment Appropriations
<u>Title / Chapter</u>	Budget 2021	Budget 2021
3. Operating Expenditure	1.467.500	70.560.908
3.1. Providing Strategic Steering to the SESAR programme	1.212.500	2.158.727
3.2. Deliver Exploratory Research		17.400.000
3.3. Deliver Industrial Research and Validation		41.541.945
3.4. Deliver Very Large-Scale Demonstration activities		7.775.236
3.5. Deliver SESAR Outreach	255.000	1.685.000

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Cortenbergh 100	Avenue de Cortenbergh 100 B - 1000 Bruxelles	1 765	63	1 828	427 925	9 years lease contract, started 01.03.2016			
TOTAL			1 765	63	1 828	427 925				

5.1.2 Current building(s) Other comments

N/A

5.1.3 Building projects in the planning phase

N/A

5.1.4 Building projects submitted to the European Parliament and the Council

N/A

5.2 Evaluation

The last two evaluations of the SESAR Joint Undertaking took place in 2017. One concerned the closure of the SESAR 1 Programme (Final Evaluation of SESAR 1: 2007-2016), while the second focused on the ongoing research activities under the SESAR 2020 Programme (Interim Evaluation of SESAR 2020: 2014-2020).

5.3 Privileges and immunities

Joint undertaking privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
VAT exemption as of 16.10.2008, Administrative Agreement with the Belgian Authorities since 30.03.2009	Protocol of Privileges and Immunities applicable to staff with regard to VAT.	

2.1.3 Shift 2 rail Joint Undertaking - S2R

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Council Regulation No 642/2014 of 16 June 2014 establishing the Shift2Rail Joint Undertaking	16/06/2014	<p>The S2R Joint Undertaking shall have the following as general objectives:</p> <p>(a) to contribute to the implementation of Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing the Horizon 2020 Framework Programme and in particular part of the Smart, Green and Integrated Transport Challenge under the Societal Challenges pillar of Decision No 743/2013 EU of the Council of 03 December 2013 establishing the Horizon 2020 Specific Programme.</p> <p>(b) to contribute to the achievement of the Single European Railway Area, to a faster and cheaper transition to a more attractive, competitive, efficient and sustainable European rail system, and to a modal shift from road and air to rail, through a comprehensive and co-ordinated approach addressing the research and innovation needs of the rail system and its users. This approach shall cover rolling stock, infrastructure and traffic management for the market segments of freight and of long-distance, regional, local and urban passenger traffic, as well as intermodal links between rail and other modes, providing users with an integrated end-to-end solution for their rail travel and transport needs – from transaction support to en-route assistance.</p> <p>(c) to develop – and ensure the effective and efficient implementation of – a strategic Master Plan (the "S2R Master Plan"), as referred to in clause 1(4) of The Statutes contained in Annex I.</p> <p>(d) to act as a central reference point on rail-related research and innovation actions funded at Union level, ensuring coordination among projects and providing all stakeholders with relevant information.</p> <p>(e) to actively promote the participation and close involvement of all relevant stakeholders from the full rail value chain and from outside the traditional rail industry, in particular: manufacturers of railway equipment (both rolling stock and train control systems) and their supply chain, infrastructure managers, railway operators (both passenger and freight), rail vehicle leasing companies, certifying agencies, professional staff associations, user associations (both passenger and freight), as well as the relevant scientific institutions or the relevant scientific community. The involvement of small and medium sized enterprises (SMEs), as defined in Commission Recommendation 2003/361/EC20, shall be encouraged.</p> <p>2. More specifically, the S2R Joint Undertaking shall seek to develop, integrate, demonstrate and validate innovative technologies and solutions that uphold the strictest safety standards and the value of which can be measured against the following key performance indicators, inter alia:</p> <p>(a) a 50% reduction of the life-cycle cost of the railway transport system, through a reduction of the costs of developing, maintaining, operating and renewing infrastructure and rolling stock, as well as through increased energy efficiency;</p> <p>(b) a 100% increase in the capacity of the railway transport system, to meet increased demand for passenger and freight railway services;</p> <p>(c) a 50% increase in the reliability and punctuality of rail services;</p> <p>(d) the removal of remaining technical obstacles holding back the rail sector in terms of interoperability and efficiency, in particular by endeavouring to close points which remain open in Technical Specifications for Interoperability (TSIs) due to lack of technological solutions and by ensuring that all systems and solutions developed by the S2R Joint Undertaking are fully interoperable;</p> <p>(e) the reduction of negative externalities linked to railway transport, in particular noise, vibrations, emissions and other environmental impacts.</p>

1.2 Seat

Brussels

1.3 Budget line

01 02 99 01 : Completion of previous research programmes (prior to 2021)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	5	5	100,00%	5	5
Assistants (AST)					
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	5	5	100,00%	5	5
Contract Agents (CA)	16	17	106,25%	16	17
Seconded National Experts (SNE)	2	3	150,00%	3	2
TOTAL STAFF	23	25	108,70%	24	24

1.5 Financial Resources Overview

1.5.1 Revenues Overview

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	79 913 101	
Other Revenue	9 763 860	8 535 424
TOTAL REVENUES	89 676 961	8 535 424

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	2 477 000	2 477 000	2 609 000	2 609 000
Title 2 - Infrastructure and operating expenditure	1 065 000	1 065 000	1 075 000	1 075 000
Title 3 - Operational expenditure	80 833 819	76 203 187	2 000 000	44 000 000
Title 4 - Unused Appropriations not required in current Year	5 301 142	509 699	2 851 424	4 305 432
TOTAL EXPENDITURE	89 676 961	80 254 886	8 535 424	51 989 432

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15								1		
AD 14		1		1		1				1
AD 13										
AD 12										
AD 11										
AD 10								2		2
AD 9		2		2		2				
AD 8		1		1		1		1		1
AD 7		1		1		1		1		1
AD 6										
AD 5										
AD TOTAL		5		5		5		5		5
AST 11										
AST 10										
AST 9										
AST 8										
AST 7										
AST 6										
AST 5										
AST 4										
AST 3										
AST 2										
AST 1										
AST TOTAL										
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		5		5		5		5		5
GRAND TOTAL	5		5		5		5		5	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	12	13	12	13
Function Group III	3	3	3	3
Function Group II	1	1	1	1
Function Group I				
TOTAL	16	17	16	17

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	2	3	3	2

3 Financial Resources

3.1 Revenues

REVENUES	Revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	78 123 000	79 913 101			-100%
- Of which Administrative (Title 1 and Title 2)	1 623 000	5 192 446			-100%
- Of which Operational (Title 3)	76 500 000	74 720 655			-100%
- Of which funding of European schools Type 2					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	1 859 327	1 926 483			-100%
- Of which EEA/EFTA (excl. Switzerland)	1 859 327	1 926 483			-100%
- Of which candidate countries					
4 MISCELLANEOUS REVENUE	1 661 627	1 706 000	1 234 282	1 234 282	-27,65%
5 ADMINISTRATIVE OPERATIONS					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
8 INTERESTS GENERATED					
9 UNUSED APPROPRIATIONS FROM PREVIOUS YEARS	1 121 332	6 131 377	7 301 142	7 301 142	19,08%
From year N-1	1 121 332	6 131 377	7 301 142	7 301 142	19,08%
- Of which Administrative	688 899	519 521	5 301 142	5 301 142	920,39%
- Of which Operational	432 433	5 611 856	2 000 000	2 000 000	-64,36%
From year N-2					

REVENUES	Revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
- Of which Administrative					
- Of which Operational					
From year N-3					
- Of which Administrative					
- Of which Operational					
TOTAL	82 765 286	89 676 961	8 535 424	8 535 424	-90,48%

3.2 Financial contributions from EU budget and the other partners and in kind contributions

CONTRIBUTIONS OVERVIEW	2019	2020	2021
CONTRIBUTIONS FROM THE UNION (incl EFTA)	79,982,327	81,839,584	0
Title 1 and Title 2 (financial)	1,661,627	5,317,621	0
Title 3 (financial)	78,320,700	76,521,963	0
CONTRIBUTIONS FROM MEMBERS OTHER THAN THE UNION	97,878,403	72,885,468	1,234,282
Title 1 and Title 2 (financial)	1,661,627	1,706,000	1,234,282
Title 3 (in-kind)	96,216,776	71,179,468	0
TOTAL CONTRIBUTIONS	177,860,730	154,725,052	1,234,282

3.3 Expenditure

3.3.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	2 277 000	2 477 000	2 609 000	2 609 000	5,33%
Salaries & allowances	1 985 186	2 180 000	2 289 000	2 289 000	5,00%
- Of which establishment plan posts	703 858	740 000	777 000	777 000	5,00%
- Of which external personnel	1 281 328	1 440 000	1 512 000	1 512 000	5,00%
Expenditure relating to Staff recruitment					
Mission expenses	105 000	80 000	90 000	90 000	12,50%
Socio-medical infrastructure					
Training	4 000	20 000	20 000	20 000	0,00%
External Services					

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Receptions, events and representation					
Social welfare					
Other Staff related expenditure	182 814	197 000	210 000	210 000	6,60%
Title 2 - Infrastructure and operating expenditure	1 215 632	1 065 000	1 075 000	1 075 000	0,94%
Rental of buildings and associated costs	308 480	330 000	335 000	335 000	1,52%
Information, communication technology and data processing	175 500	145 000	150 000	150 000	3,45%
Movable property and associated costs	1 050	15 000	10 000	10 000	-33,33%
Current administrative expenditure	17 422	20 000	15 000	15 000	-25,00%
Postage / Telecommunications	14 000	20 000	15 000	15 000	-25,00%
Meeting expenses	41 286	50 000	50 000	50 000	0,00%
Running costs in connection with operational activities	32 630	85 000	50 000	50 000	-41,18%
Information and publishing	528 386	300 000	300 000	300 000	0,00%
Studies					
Other infrastructure and operating expenditure	96 878	100 000	150 000	150 000	50,00%
Title 3 - Operational expenditure	76 704 777	80 833 819	2 000 000	2 000 000	-97,53%
Title 4 - Unused Appropriations not required in current Year	2 567 877	5 301 142	2 851 424	2 851 424	-46,21%
- Of which Administrative	519 521	5 301 142	2 851 424	2 851 424	-46,21%
- Of which Operational	2 048 356				
TOTAL	82 765 286	89 676 961	8 535 424	8 535 424	-90,48%

3.3.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	2 336 117	2 477 000	2 609 000	2 609 000	5,33%
Salaries & allowances	2 007 887	2 180 000	2 289 000	2 289 000	5,00%
- Of which establishment plan posts	703 858	740 000	777 000	777 000	5,00%
- Of which external personnel	1 304 029	1 440 000	1 512 000	1 512 000	5,00%
Expenditure relating to Staff recruitment					
Mission expenses	98 154	80 000	90 000	90 000	12,50%
Socio-medical infrastructure					
Training	23 769	20 000	20 000	20 000	0,00%
External Services					
Receptions, events and representation					
Social welfare					

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Other Staff related expenditure	206 307	197 000	210 000	210 000	6,60%
Title 2 - Infrastructure and operating expenditure	1 236 436	1 065 000	1 075 000	1 075 000	0,94%
Rental of buildings and associated costs	311 020	330 000	335 000	335 000	1,52%
Information, communication technology and data processing	230 804	145 000	150 000	150 000	3,45%
Movable property and associated costs	1 047	15 000	10 000	10 000	-33,33%
Current administrative expenditure	17 929	20 000	15 000	15 000	-25,00%
Postage / Telecommunications	10 564	20 000	15 000	15 000	-25,00%
Meeting expenses	40 760	50 000	50 000	50 000	0,00%
Running costs in connection with operational activities	13 226	85 000	50 000	50 000	-41,18%
Information and publishing	482 687	300 000	300 000	300 000	0,00%
Studies					
Other infrastructure and operating expenditure	128 399	100 000	150 000	150 000	50,00%
Title 3 - Operational expenditure	66 309 554	76 203 187	44 000 000	44 000 000	-42,26%
Title 4 - Unused Appropriations not required in current Year	11 374 920	509 699	4 305 432	4 305 432	744,70%
- Of which Administrative	784 326	509 699			-100%
- Of which Operational	10 590 594		4 305 432	4 305 432	100%
TOTAL	81 257 027	80 254 886	51 989 432	51 989 432	-35,22%

3.4 Budget Outturn

First estimate of the 2019 outturn of the joint undertaking: EUR - 3 845 107. Such a large decrease compared to 2018 (19.9m€) means that there was not anymore delay in the grant award and grant signature outside the control of the JU and its members/beneficiaries.

For more information about the outturn of the year, please refer to the S2R JU Annual Accounts 2019 and Budget Implementation Reports chapter 2 and chapter 3 (Ares(2020)1241698).

4 Justification of needs

Commission assessment

The 2021 S2R request is necessary for the JU to deliver on its legal mandate. The JU's research activities will help rail rapidly benefit from the opportunities offered by new technologies and digitalisation. They will contribute to increased capacity, flexibility, de-carbonization, reducing costs and hence, providing better and more attractive services for passengers and businesses alike. This will lead to a more competitive rail sector and to modal shift, delivering on the Commission's top political priorities.

Human Resources

S2R JU requested an additional contract agent FG IV for an initial period of one year, with possible extension for one additional year, to replace a TA, on long-term sick leave due to a serious illness. This was made for a one-year contract and the JU requests its continuation for the budget year 2021. The Commission fully supports this request given that, in

line with the EU financial rules, the respective tasks cannot be wholly or partly performed by an external interim agent or consultant. Additionally, the number of external personnel remains stable in 2021; the SNE authorised for 2020 is not included in the 2021 request.

Financial Resources

The planned appropriations are adequate to cover the JU's work programme. All Horizon 2020 funds have been committed in the years leading to 2020. The 2021 Budget includes the relevant level of payment appropriations to cover the needs of currently on-going projects launched in 2019 and 2020, which are due to be finalised by 2022 – 2023.

In addition to covering the administrative expenses (such as salaries and allowances, housing, administrative and IT support), the requested financial resources will cover research and innovation activities that require a significant leverage in terms of Membership effort, such as demonstration with prototypes of new technologies into operation or test facilities, as well as activities based on new emerging concepts. The increase in the mission costs is justified by the need of presenting the achievements of the JU to a wide audience and, hence, increasing the impact demonstrating the added value of the JU's activities. This is of crucial importance for the preparation of the future rail partnership under Horizon Europe.

4.1 Human Resources - Joint Undertaking Request

4.1.1 Number of staff requested

1. Following the confirmation received in August 2019 that our Budget and Finance Officer will be absent for a long period following a serious sickness, the JU published a vacancy for a position of Accounting Correspondent (Contract Agent – FGIV). This was made for a 1-year contract and the JU is therefore requesting a regularisation of one additional Contractual Agent FGIV for the year 2020 and request its continuation for the budget year 2021.

Taking into account the importance and sensitive nature of the associated tasks for the S2R JU Administrative and Finance Unit and the continuation of services, the replacement by an interim staff could in no circumstances been considered.

- The interim staff have contract limited in duration up to 6 months and continuity of services cannot be guaranteed, and cannot perform the tasks of financial actors.

- In accordance with the revised S2R Financial Rules that entered into force on 01/01/2020 and which is based in the General EU Financial Regulation, only “statutory staff” (i.e.: persons covered by the EU Staff Regulations) can be financial actors. Interim staff, detached national experts and trainees cannot. Therefore applying by analogy the rules for Authorising officer to the Initiating Agents and Verifying Agents (Article 73 of EU FR), only S2R JU Temporary and Contractual agents can be financial actors.

- The European Court of Auditors, in its Annual Report on the EU JUs for the financial year 2018 (https://www.eca.europa.eu/Lists/ECADocuments/JUS_2018/JUS_2018_EN.pdf) stated “The JUs are encourage, in cooperation with the Commission, to find ways of avoiding the excessive use of interim staff services”, which is adding supplementary constraint to the S2R JU which is facing since its financial autonomy an important problematic of staff turnover, mainly due to the composition of its Establishment Plan. This has been confirmed by the European Parliament in the draft report on the S2R JU discharge for year 2018 (https://www.europarl.europa.eu/doceo/document/CONT-PR-639843_EN.pdf).

- Following the ECA visit for the S2R JU annual accounts 2019, the auditors confirmed that an interim agent could not perform the tasks and responsibilities involved.

2. As agreed in 2020, the number of SNEs for the budget year 2021 goes back to 2.

3. The grade for 3 Temporary Agents is increased in order to be able to consider their respective promotion from 2021.

4.1.2 Vacancy rate as of end 2019

0% Vacancy rate in terms of total number of staff

4.1.3 Standard abatement ('abatement forfaitaire') applied

n/a

4.1.4 Salary assumption for calculating salary line (% applied)

An increase of 2.5% to the salary cost for indexation and of 2.5% for promotions and other costs have been added for 5% increase compared to 2020.

4.1.5 Correction coefficient used

n/a

4.1.6 Exchange rate used (if applicable)

n/a

4.2 Financial Resources - joint Undertaking Request

4.2.1 Title 1

The estimated expenditure under Title 1 amounts to EUR 2,609,000. This represents 71 % of the S2R Administrative budget for 2020.

A majority of this amount covers the Salaries & allowances of the JU staff. The financial resources are covered through financial contributions divided equally between the Union (including EFTA contribution) and the Other Members. With particular regard to the salary, it was decided to keep the same total increase of 5% in 2021 than between 2019 and 2020 (indexation, promotions and other) but with less increase (5%, again compared to the 12% between 2019-2020) for Contract Agents, Interim staff, trainees and SNEs. This is due to the reduction of one SNE position (from 3 to 2) and the limitation of use of interim staff as requested by the ECA and EP.

The increase of other staff expenditure is considered mainly to face the indexation of central EC services.

4.2.2 Title 2

The estimated expenditure under Title 2 amounts to EUR 1,075,000. This represents 29% of the S2R Administrative budget for 2020.

The required budget resources are needed to cover the costs for the year 2021 on housing, administrative and IT support services, supplies, meetings' organization, communications and events activities, and audits supporting the JU operations. The financial resources are covered through financial contributions divided equally between the Union (including EFTA contribution) and the Other Members (this being valid for Title 1 as well).

4.2.3 Title 3

In accordance with its plans and recovering from the initial delay of its operational activities, the S2R JU has committed all its operational budget by the end of 2020 and it does not foresee the launch of a call under the current MFF in 2021. The EUR 2 000 000 in terms of commitment appropriations are mainly to be dedicated to the unused appropriations from previous years that the JU re-activated in accordance with the S2R Financial Rule Art 6§5; these appropriations are used to implement framework contracts and to contract experts to ensure the adequate implementation and monitoring of the R&I activities that are expected to run till the end of 2024.

The request of payment appropriations towards operational budget will allow S2R to meet its payment obligations, including the initial months in 2022. No Pre-financing payments are planned in 2021 which explains the 42% decrease of appropriations compared to 2020.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	White Atrium building, 2nd Floor	Avenue de la Toison d'Or 56-60 B1060 Brussels Belgium	918		918	223 150	Until 31.12.2024			
TOTAL			918		918	223 150				

5.1.2 Current building(s) Other comments

5.1.3 Building projects in the planning phase

n/a

5.1.4 Building projects submitted to the European Parliament and the Council

n/a

5.2 Evaluation

The Interim Evaluation of the JU included some recommendations that were implemented without delay, while few others were designed for consideration in view of the Union next Multi-Annual Financial Framework.

5.3 Privileges and immunities

Joint undertaking privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
The Shift2Rail JU is granted with the benefit of the provisions listed in the Protocol on the Privileges and Immunities of the European Communities	As stated in the article 8 of the Council Regulation setting up the Shift2Rail JU (642/2014 of 16 June 2014), the Protocol on the Privileges and Immunities of the European Union, annexed to the Treaty on European Union the TFEU shall apply to the S2R Joint Undertaking and its staff.	

2.1.4 Innovative Medicines Initiative Joint Undertaking - IMI2

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Approval by Council Regulation N° 73/2008 of 20/12/2007 setting up the Joint Undertaking for the implementation of the Joint Technology Initiative on Innovative Medicines(OJ L 30/38)	20/12/207	<p>The IMI Joint Undertaking shall contribute to the implementation of the Seventh Framework Programme and in particular the Theme 'Health' of the Specific Programme Cooperation implementing the Seventh Framework Programme. It shall have the objective of significantly improving the efficiency and effectiveness of the drug development process with the long-term aim that the pharmaceutical sector produces more effective and safer innovative medicines. In particular it shall: support 'pre-competitive pharmaceutical research and development' in the Member States and countries associated with the Seventh Framework Programme via a coordinated approach to overcome the identified research bottlenecks in the drug development process; support the implementation of the research priorities as set out by the Research Agenda of the Joint Technology Initiative on Innovative Medicines (hereinafter referred to as 'Research Activities'), notably by awarding grants following competitive calls for proposals;</p> <p>ensure complementarity with other activities of the Seventh Framework Programme; be a public-private partnership aiming at increasing the research investment in the biopharmaceutical sector in the Members States and countries associated to the Seventh Framework Programme by pooling resources and fostering collaboration between the public and private sectors; promote the involvement of small and medium-sized enterprises (SME) in its activities, in line with the objectives of the Seventh Framework Programme.</p>
Council Regulation N° 557/2014 of 6 May 2014 establishing the Innovative Medicines Initiative 2 Joint Undertaking (OJ L 169/54)	06/05/2014	<p>For IMI2 as presented in the Commission proposal:</p> <p>The IMI 2 Joint Undertaking shall have the following objectives:</p> <p>to contribute to the implementation of Regulation (EU) No .../2013/EU the Horizon 2020 Framework Programme, in particular part ... of Decision (EU) No .../2013/EU the Specific Programme implementing the Horizon 2020 Framework Programme, and in particular to improving European citizens' health and wellbeing.</p> <p>to contribute to the objectives of the Joint Technology Initiative on Innovative Medicines, in particular to:</p> <ul style="list-style-type: none"> i) increase the success rate in clinical trials of priority medicines identified by the World Health Organisation; ii) reduce the time to reach clinical proof of concept in medicine development, such as for immunological, respiratory, neurological and neurodegenerative diseases; iii) develop new therapies for diseases for which there is a high unmet need, such as Alzheimer's disease and limited market incentives, such as antimicrobial resistance; iv) develop diagnostic and treatment biomarkers for diseases clearly linked to clinical relevance and approved by regulators; v) reduce the failure rate of vaccine candidates in phase III clinical trials through new biomarkers for initial efficacy and safety checks; vi) improve the current drug development process by providing support for the development of tools, standards and approaches to assess efficacy, safety and quality of regulated health products.

1.2 Seat

Brussels, Belgium

1.3 Budget line

01 02 99 01 : Completion of previous research programmes (prior to 2021)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	33	32	96,97%	33	33
Assistants (AST)	6	6	100,00%	6	6
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	39	38	97,44%	39	39
Contract Agents (CA)	15	14	93,33%	15	15
Seconded National Experts (SNE)	2	1	50,00%	2	2
TOTAL STAFF	56	53	94,64%	56	56

1.5 Financial Resources Overview

1.5.1 Revenues Overview

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	270 659 753	
Other Revenue	18 413 729	5 572 837
TOTAL REVENUES	289 073 482	5 572 837

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	6 579 673	6 579 673	6 564 153	6 564 153
Title 2 - Infrastructure and operating expenditure	4 572 809	4 572 809	4 581 521	4 581 521
Title 3 - Operational expenditure	249 315 066	165 146 635		180 000 000
TOTAL EXPENDITURE	260 467 548	176 299 117	11 145 674	191 145 674

2 Human Resources

2.1 Establishment plan posts

group and	2019	2020	2021
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	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1		1		1		1		1
AD 13										
AD 12		2		1		2		2		2
AD 11		2		2		2		2		2
AD 10						1		1		1
AD 9		6		5		7		7		7
AD 8		7		4		6		6		6
AD 7		3		6		2		2		2
AD 6		4		4		8		11		11
AD 5		8		9		4		1		1
AD TOTAL		33		32		33		33		33
AST 11										
AST 10										
AST 9										
AST 8		1		1		1		1		1
AST 7										
AST 6										
AST 5										
AST 4		4		2		4		4		4
AST 3				2				1		
AST 2						1				1
AST 1		1		1						
AST TOTAL		6		6		6		6		6
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		39		38		39		39		39
GRAND TOTAL	39		38		39		39		39	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	2	2	3	3
Function Group III	12	11	11	11
Function Group II	1	1	1	1
Function Group I				
TOTAL	15	14	15	15

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	2	1	2	2

3 Financial Resources

3.1 Revenues

REVENUES	Revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	124 785 762	270 659 753			-100%
- Of which Administrative (Title 1 and Title 2)	4 542 570	27 211 783			-100%
- Of which Operational (Title 3)	120 243 192	243 447 970			-100%
- Of which funding of European schools Type 2					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	2 976 869	6 522 900			-100%
- Of which EEA/EFTA (excl. Switzerland)	2 976 869	6 522 900			-100%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS	4 650 937	5 576 241	5 572 837	5 572 837	-0,06%
5 ADMINISTRATIVE OPERATIONS					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
8 INTERESTS GENERATED					
9 UNUSED APPROPRIATIONS FROM PREVIOUS YEARS	126 799 014	6 314 588			-100%
From year N-1	126 799 014	6 314 588			-100%
- Of which Administrative					
- Of which Operational	126 799 014	6 314 588			-100%
From year N-2					
- Of which Administrative					
- Of which Operational					

REVENUES	Revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
From year N-3					
- Of which Administrative					
- Of which Operational					
TOTAL	259 212 582	289 073 482	5 572 837	5 572 837	-98,07%

3.2 Financial contributions from EU budget and the other partners and in kind contributions

FINANCIAL CONTRIBUTIONS OVERVIEW	2008-2018 executed	2019	2020	2021	TOTAL
FINANCIAL CONTRIBUTIONS FROM EU (contribution to administrative costs and operational costs that includes cost claims and pre-financing)	1,157,920,795	190,575,842	200,631,535	5,572,837	1,554,701,009
FINANCIAL CONTRIBUTIONS FROM INDUSTRY (contribution to administrative costs)	30,557,525	3,694,921	5,576,241	5,572,837	45,401,524
FINANCIAL CONTRIBUTIONS FROM ASSOCIATED PARTNERS AND OTHER MEMBERS (contribution to operational costs)	4,868,596.00	3,993,846	2,500,000	0	11,362,442
MISCELLANEOUS (recoveries of administrative and operational costs, ex post audits)	2,684,644.98	602,749	50,000	50,000	3,387,394
IN KIND CONTRIBUTIONS FROM INDUSTRY (validated)	763,900,405	135,480,688	200,000,000	200,000,000	1,299,381,093

Information on the amount of EU contribution frontloaded in 2020 for the running costs related to the completion of the IMI2 JU activities funded from commitments 2014-2020 in years 2021-2024:

*The amount frontloaded in 2020 for years 2021-2024 is EUR 21 766 767 (EUR 27 211 783 – EUR 5 445 016).

*The EFTA calculated on the frontloaded amount is EUR 524 579.

*The amount of EU contribution needed for 2021 running cost is EUR 5 441 692 C1 credits and EUR 131 145 EFTA.

*The amount that will be used for years 2021-2024 is EUR 21 766 767 in C1 credits redistributed as follows:

2020	2021	2022	2023	2024
5,445,016	5,441,692	5,441,692	5,441,692	5,441,692

3.3 Expenditure

3.3.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	5 495 646	6 579 673	6 564 153	6 564 153	-0,24%
Salaries & allowances	4 856 865	5 972 049	5 956 529	5 956 529	-0,26%
- Of which establishment plan posts	4 038 505	5 052 049	4 936 529	4 936 529	-2,29%
- Of which external personnel	818 360	920 000	1 020 000	1 020 000	10,87%
Expenditure relating to Staff recruitment	15 383	19 538	20 000	20 000	2,36%
Mission expenses	132 269	185 608	190 000	190 000	2,37%
Socio-medical infrastructure	95 070	107 100	112 000	112 000	4,58%
Training	115 506	100 000	90 624	90 624	-9,38%
External Services	271 800	175 840	175 000	175 000	-0,48%
Receptions, events and representation	8 753	19 538	20 000	20 000	2,36%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	3 811 719	4 572 809	4 581 521	4 581 521	0,19%
Rental of buildings and associated costs	749 378	776 625	776 000	776 000	-0,08%
Information, communication technology and data processing	1 017 824	786 394	936 000	936 000	19,02%
Movable property and associated costs		154 348	154 000	154 000	-0,23%
Current administrative expenditure	158 115	122 111	137 000	137 000	12,19%
Postage / Telecommunications	44 368	78 151	78 000	78 000	-0,19%
Meeting expenses	135 000	156 302	156 000	156 000	-0,19%
Running costs in connection with operational activities	301 046	388 801	449 000	449 000	15,48%
Information and publishing	190 148	610 555	766 000	766 000	25,46%
Studies	449 433	522 635	523 000	523 000	0,07%
Other infrastructure and operating expenditure	766 407	976 887	606 521	606 521	-37,91%
Title 3 - Operational expenditure	249 905 217	249 315 066			-100%
TOTAL	259 212 582	260 467 548	11 145 674	11 145 674	-95,72%

3.3.2 Payment appropriations

EXPENDITURE	Payment appropriations
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	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	5 404 477	6 579 673	6 564 153	6 564 153	-0,24%
Salaries & allowances	4 856 865	5 972 049	5 956 529	5 956 529	-0,26%
- Of which establishment plan posts	4 038 505	5 052 049	4 936 529	4 936 529	-2,29%
- Of which external personnel	818 360	920 000	1 020 000	1 020 000	10,87%
Expenditure relating to Staff recruitment	15 946	19 538	20 000	20 000	2,36%
Mission expenses	124 105	185 608	190 000	190 000	2,37%
Socio-medical infrastructure	95 070	107 100	112 000	112 000	4,58%
Training	77 421	100 000	90 624	90 624	-9,38%
External Services	223 869	175 840	175 000	175 000	-0,48%
Receptions, events and representation	11 201	19 538	20 000	20 000	2,36%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	2 821 005	4 572 809	4 581 521	4 581 521	0,19%
Rental of buildings and associated costs	614 160	776 625	776 000	776 000	-0,08%
Information, communication technology and data processing	700 281	786 394	936 000	936 000	19,02%
Movable property and associated costs		154 348	154 000	154 000	-0,23%
Current administrative expenditure	92 902	122 111	137 000	137 000	12,19%
Postage / Telecommunications	22 484	78 151	78 000	78 000	-0,19%
Meeting expenses	96 577	156 302	156 000	156 000	-0,19%
Running costs in connection with operational activities	238 626	388 801	449 000	449 000	15,48%
Information and publishing	255 139	610 555	766 000	766 000	25,46%
Studies	332 277	522 635	523 000	523 000	0,07%
Other infrastructure and operating expenditure	468 559	976 887	606 521	606 521	-37,91%
Title 3 - Operational expenditure	214 595 775	165 146 635	180 000 000	180 000 000	8,99%
TOTAL	222 821 257	176 299 117	191 145 674	191 145 674	8,42%

3.4 Budget Outturn

First estimate of the 2019 surplus that remains within the joint undertaking: EUR 6,612,304 in payment appropriations, to be carried over to 2020, with the following breakdown:

EUR 4,537,406 unused payment appropriations of operational activities carried over from 2019 to 2020.

EUR 2,074,898 payment appropriations of administrative commitments of 2019 to be carried forward to 2020.

4 Justification of needs

Commission assessment

Human Resources

Financial Resources

4.1 Human Resources - Joint Undertaking Request

4.1.1 Number of staff requested

In 2021 the total number of staff will remain the same 54 (of which 39 temporary agents and 15 contract agents), as well as 2 additional Seconded National Experts (SNEs).

Nevertheless, with the winding-up of H2020 on 31 December 2020 and the ongoing preparatory work for a possible new European Partnership in Health within Horizon Europe, the Programme Office might be significantly affected in terms of human resources.

In order to be able to (i) provide a better service to IMI2 internal and external stakeholders (ii) to guarantee an adequate degree of flexibility to address the coverage of annual or multiannual project needs and future possible challenges and (iii) to align the reclassification exercise to the average career equivalence to recognise the performance of highly qualified staff, slight technical adaptations have been made to the Staff Establishment Plan. Those adaptations do not affect the total number of staff.

4.1.2 Vacancy rate as of end 2019

At the end of 2019, the vacancy rate was as follow:

Overall vacancy rate: 5.35 %

TAs: 2.56 %

CAs: 6.67 %

SNEs: 50 %

4.1.3 Standard abatement ('abatement forfaitaire') applied

4.1.4 Salary assumption for calculating salary line (% applied)

The Joint Undertaking applies the following average costs per year (in EUR):

Year	2020	2021
Temporary Agents (TA)	132,309	126,752
Contract Agents (CA)	65,179	68,000

4.1.5 Correction coefficient used

4.1.6 Exchange rate used (if applicable)

4.2 Financial Resources - joint Undertaking Request

4.2.1 Title 1

Title 1 will mostly cover salaries of staff, missions and socio-medical structure including training of staff. The budget of staff related expenditure is estimated to remain at the same level in 2021 compared to 2020. The budget has been

reallocated between chapters, in line with the operational needs of different areas. The costs of Title 1 are shared 50/50 between the EC and EFPIA.

4.2.2 Title 2

Title 2 will mostly cover building rent and associated costs, IT, office, communication, workshops, experts, meetings and audits related expenditure. The budget of Title 2 will remain at the same level in 2021 compared to 2020. The budget has been reallocated between chapters, in line with operational needs of different areas. IMI will continue to execute its budget applying principles of sound financial management; in case some areas will require additional budget, this will be covered by efficiency gains obtained in other areas within Title 2. The costs of Title 2 are shared 50/50 between EC and EFPIA.

4.2.3 Title 3

IMI2 JU will publish its last Call for proposals in 2020. As there are no new Calls to be launched on IMI2 JU in 2021, there are no foreseen operational commitment appropriations for 2021.

The payment appropriations will be consumed by intermediate and final payments for IMI1 (FP7) projects as well as pre-financing payments, intermediate and final payments for the IMI2 (H2020) projects.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	White Atrium	Brussels	1 421	206	1 627	518 000	The same as other JTI occupying the building.		none	
TOTAL			1 421	206	1 627	518 000				

5.1.2 Current building(s) Other comments

5.1.3 Building projects in the planning phase

The surface area indicated relates to the space currently occupied by the IMI JU office. In addition to the space to be used exclusively by IMI JU office, the IMI JU has access to 733,4 m² meeting room facilities. These facilities are shared with the other JUs (ESCEL, CleanSky, FCH and BBI) housed in the same building.

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 Evaluation

In 2017, the final evaluation of the first phase of IMI operating under FP7, as well as an interim evaluation of the ongoing IMI2 initiative (for the period 2014-2016) operating under Horizon 2020, were carried out. Two corresponding reports were published on 6 October 2017 (respectively ISBN 978-92-79-69295-6, <https://doi.org/10.2777/72723> and ISBN 978-92-79-69299-4, <https://doi.org/10.2777/173999>), as well as an overall interim assessment of the seven Joint

Undertakings (JUs) operating under Horizon 2020 (European Commission; 6.10.2017 SWD(2017) 339 final; Commission staff working document: Interim evaluation of the Joint Undertakings operating under Horizon 2020). The experts concluded that *"the reasons to create a public-private partnership to strengthen the European pharma industry were valid and the goals were justified"*, and that the partnership had *"realised a number of very promising results"*. The experts also concluded that the Joint Undertaking *"is operated and managed very well"*. The experts recommended that: (a) Stronger effort be made to attract and integrate other industries than pharma in the collaborative projects; (b) More efforts be deployed to attract more SMEs; (c) Access to project outcomes be broadened, and sustainability of project results be improved, to increase impact; (d) Better Key Performance Indicators of the initiative be developed; (e) IP policy be reviewed to make it more flexible, allowing negotiations on exclusive rights. In November 2017, the IMI2 Governing Board agreed on an Action Plan addressing these recommendations in IMI2 and the Board periodically reviews the progress made with the identified actions. In particular, a new framework of Key Performance Indicators was adopted end 2017, and activities designed specifically to engage more non-pharma companies and SMEs are on-going.

5.3 Privileges and immunities

Joint undertaking privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
A host agreement has been signed in 2012	As stated in article 8 of the Council Regulation setting up the IMI JU (73/2008 of 20/12/2007) the Protocol on the Privileges and Immunities of the European Communities shall apply to the IMI JU and its staff.	

2.1.5 Bio-Based Industries Joint Undertaking - BBI

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Council Regulation No 560/2014 of 6 May 2014 establishing the Bio-Based Industries Joint Undertaking (OJ 169/130)	06/05/2014	This Regulation sets up the Bio-based Industries Joint Undertaking (BBI JU) under Article 187 of the Treaty on the Functioning of the European Union (TFEU) for the implementation of the Joint Technology Initiative on Bio-based Industries (BBI JTI).

1.2 Seat

White atrium

1.3 Budget line

01 02 99 01 : Completion of previous research programmes (prior to 2021)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	10	10	100,00%	10	10
Assistants (AST)	3	2	66,67%	3	3
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	13	12	92,31%	13	13
Contract Agents (CA)	10	10	100,00%	10	10
Seconded National Experts (SNE)					
TOTAL STAFF	23	22	95,65%	23	23

1.5 Financial Resources Overview

1.5.1 Revenues Overview

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	73 931 857	
Other Revenue	50 452 531	
TOTAL REVENUES	124 384 388	

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	12 716 200	3 119 972		3 133 466
Title 2 - Infrastructure and operating expenditure	6 985 215	2 162 660		1 481 600

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 3 - Operational expenditure	104 682 973	185 886 755		148 646 575
TOTAL EXPENDITURE	124 384 388	191 169 387		153 261 641

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1		1		1		1		1
AD 13										
AD 12		1		1		2		1		1
AD 11		1		1				1		1
AD 10										
AD 9								2		2
AD 8		3		3		4		3		3
AD 7		4		4		3		2		2
AD 6										
AD 5										
AD TOTAL		10		10		10		10		10
AST 11										
AST 10										
AST 9										
AST 8										
AST 7										
AST 6										
AST 5		1				2		1		1
AST 4		1		1				1		1
AST 3						1		1		1
AST 2		1		1						
AST 1										
AST TOTAL		3		2		3		3		3
AST/SC 6										
AST/SC 5										
AST/SC 4										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		13		12		13		13		13
GRAND TOTAL	13		12		13		13		13	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	5	5	5	5
Function Group III	5	5	5	5
Function Group II				
Function Group I				
TOTAL	10	10	10	10

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL				

3 Financial Resources

3.1 Revenues

REVENUES	Revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	133 608 895	73 931 857			-100%
- Of which Administrative (Title 1 and Title 2)	1 184 579	8 613 816			-100%
- Of which Operational (Title 3)	132 424 316	65 318 041			-100%
- Of which funding of European schools Type 2					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	3 479 892	2 081 757			-100%

REVENUES	Revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
- Of which EEA/EFTA (excl. Switzerland)	3 179 892	1 781 757			-100%
- Of which candidate countries	300 000	300 000			-100%
4 OTHER CONTRIBUTIONS	5 234				
5 ADMINISTRATIVE OPERATIONS	1 512 772	9 121 409			-100%
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
8 INTERESTS GENERATED					
9 UNUSED APPROPRIATIONS FROM PREVIOUS YEARS	3 022 640	39 249 365			-100%
From year N-1	458 348	17 743 185			-100%
- Of which Administrative	458 348	396 000			-100%
- Of which Operational		17 347 185			-100%
From year N-2	2 564 292	20 903 306			-100%
- Of which Administrative	2 564 292	1 062 598			-100%
- Of which Operational		19 840 708			-100%
From year N-3		602 874			-100%
- Of which Administrative					
- Of which Operational		602 874			-100%
TOTAL	141 629 433	124 384 388			-100%

3.2 Financial contributions from EU budget and the other partners and in kind contributions

FINANCIAL CONTRIBUTIONS OVERVIEW (in €)	2019	2020 (3)	2021
	Executed	Estimated by the joint undertaking	As requested by the joint undertaking
1. FINANCIAL CONTRIBUTION FROM EU (1)(2)	137 088 787	75 991 434	
2. CONTRIBUTIONS FROM INDUSTRY (BIC)			
of which financial contribution to administration (cash)	1 512 772	9 121 409	
of which financial contribution to operational costs			
of which contribution (in kind and additional activities)	201 088 144*	196 772 079**	193 165 207**
3 OTHER MEMBERS CONTRIBUTIONS			

TOTAL CONTRIBUTIONS	339 689 703	281 884 922	193 165 207
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1) For 2019, 2020: with regard to the available financial revenue in a given year, the difference between this table and the table 3.1 is that table 3.1 also takes into account reactivations of unused appropriations from previous year as well as extra revenue of 5 234€. This explains the difference of total available revenue in table 3.1 and sub-total available revenue mentioned in this table 3.2 (=138 601 559€) when summing the financial contributions from EU and industry.

(2) For 2019, 2020: financial contribution from the EU includes EFTA as well as, for 2019 only, and concerning BBI JU support expenditure, the R0 (to be) transferred to REA, on BBI JU's behalf, for the payment of its experts-evaluators.

(3) For 2020 the BBI JU administrative budget includes the commitment appropriations from the EU and industry for 2020 to 2024, which is the last year of the BBII programme. As 2020 is the last year of the current MFF the EU will commit the total commitment appropriations for the last period in 2020. On the BBI side, for both the EC and industry partner the contributions will be received in its budget structure in ABAC on an annual basis in line with the annual budget voted by the BBI Governing Board.

* For 2019 the IKOP and IKAA amounts have been provided by the Bio-based Industries Consortium.

** For 2020 and 2021 the IKOP is calculated on a pro-rata basis by project, taking as a percentage of the total IKOP declared in each project the total project days divided by the number of days the project has been running within the respective financial year. For the IKAA, an estimate of 156 mio€ per annum has been used based on the total IKAA certified in prior years.

3.3 Expenditure

3.3.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	2 787 833	12 716 200			-100%
Salaries & allowances	2 454 464	11 468 600			-100%
- <i>Of which establishment plan posts</i>	2 110 964	9 690 900			-100%
- <i>Of which external personnel</i>	343 500	1 777 700			-100%
Expenditure relating to Staff recruitment	10 906	230 000			-100%
Mission expenses	73 026	200 000			-100%
Socio-medical infrastructure	13 950	51 000			-100%
Training	101 690	250 000			-100%
External Services					
Receptions, events and representation	16 670	10 000			-100%
Social welfare	117 127	466 600			-100%
Other Staff related expenditure		40 000			-100%
Title 2 - Infrastructure and operating expenditure	2 770 969	6 985 215			-100%
Rental of buildings and associated costs	314 087	1 753 501			-100%
Information, communication technology and data processing	293 221	824 160			-100%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Movable property and associated costs	4 172	25 000			-100%
Current administrative expenditure	21 156	58 000			-100%
Postage / Telecommunications	20 225	49 300			-100%
Meeting expenses	43 821	466 000			-100%
Running costs in connection with operational activities	998 140	700 000			-100%
Information and publishing	733 154	1 697 054			-100%
Studies	96 538	205 000			-100%
Other infrastructure and operating expenditure	246 455	1 207 200			-100%
Title 3 - Operational expenditure	118 229 683	104 682 973			-100%
Previous years' calls					
Addition to call 2015.2					
Call 2016					
Call 2017		602 874			-100%
Call 2018		19 840 708			-100%
Call 2019	118 229 683	17 347 185			-100%
Call 2020		66 892 206			-100%
TOTAL	123 788 485	124 384 388			-100%

3.3.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	2 575 348	3 119 972	3 133 466	3 133 466	0,43%
Salaries & allowances	2 294 334	2 692 372	2 587 966	2 587 966	-3,88%
- Of which establishment plan posts	2 036 299	2 326 000	2 257 000	2 257 000	-2,97%
- Of which external personnel	258 035	366 372	330 966	330 966	-9,66%
Expenditure relating to Staff recruitment	5 986	90 000	87 200	87 200	-3,11%
Mission expenses	67 490	80 000	80 000	80 000	0,00%
Socio-medical infrastructure	13 590	15 400	15 600	15 600	1,30%
Training	74 596	76 500	81 500	81 500	6,54%
External Services					
Receptions, events and representation	14 033	10 000	10 000	10 000	0,00%
Social welfare	105 319	144 500	153 200	153 200	6,02%
Other Staff related expenditure		11 200	118 000	118 000	953,57%
Title 2 - Infrastructure and operating expenditure	2 175 051	2 162 660	1 481 600	1 481 600	-31,49%
Rental of buildings and associated costs	325 772	325 000	339 500	339 500	4,46%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Information, communication technology and data processing	236 029	254 160	295 000	295 000	16,07%
Movable property and associated costs	7 329	5 000	5 000	5 000	0,00%
Current administrative expenditure	29 698	23 000	35 000	35 000	52,17%
Postage / Telecommunications	19 181	16 300	19 000	19 000	16,56%
Meeting expenses	43 560	113 000	113 000	113 000	0,00%
Running costs in connection with operational activities	998 140	700 000			-100%
Information and publishing	174 480	490 000	400 000	400 000	-18,37%
Studies	124 918	75 000	75 000	75 000	0,00%
Other infrastructure and operating expenditure	215 944	161 200	200 100	200 100	24,13%
Title 3 - Operational expenditure	133 417 722	185 886 755	148 646 575	148 646 575	-20,03%
Previous years' calls	133 417 722	185 886 755	132 293 150	132 293 150	-28,83%
Addition to call 2015.2					
Call 2016					
Call 2017					
Call 2018					
Call 2019			16 353 425	16 353 425	100%
Call 2020					
TOTAL	138 168 121	191 169 387	153 261 641	153 261 641	-19,83%

3.4 Budget Outturn

In €	Outturn 2019					
	Commitment appropriations (amended budget after transfers)	Committed	% committed	Payment appropriations (amended budget after transfers)	Paid	% paid
Title 1 - Staff expenditure	3 053 853	2 787 833	91,30%	3 154 013	2 575 348	81,70%
Title 2 - Other admin. exp. (1)	2 998 713	2 770 969	92,40%	2 957 334	2 175 052	73,60%
Title 3 - Operational costs	135 576 867	118 229 682	87,20%	176 007 474	133 417 721	75,80%
Totals	141 629 433	123 788 484	87,40%	182 118 821	138 168 121	75,90%

1) Of this total, 998 140€ in CA in PA (amount retained by RTD for co-delegation to REA) was deemed to be executed by the REA for the payment of expert-evaluators for the BBI JU's call for proposals. The actual execution was only communicated by REA in late December 2019 and came to 945 082€ with a possible further payment to be made of maximum 10 000€.

4 Justification of needs

Commission assessment

Human Resources

Financial Resources

4.1 Human Resources - Joint Undertaking Request

4.1.1 Number of staff requested

13 TAs and 10 CAs have been requested and approved.

4.1.2 Vacancy rate as of end 2019

At the end of 2019 12 TAs and 10 CAs were in place out of a total establishment plan of 13 TAs and 10 CAs.

4.1.3 Standard abatement ('abatement forfaitaire') applied

N/A

4.1.4 Salary assumption for calculating salary line (% applied)

1) For the HR expenditure for the single year 2021:

For the TAs the computation was made taking into account the respective grade/step of each TA. For the 13 TAs this gives a total of 1 604 400€ (which corresponds to an average cost per TA of 123 415€ per year). For the CAs the computation was made taking into account the respective grade/step of each CA. For the 10 CAs the total is 652 600€ (which corresponds to an average cost per CA of 65 260€ per year).

The salary budget line also includes an amount of 330 966€ for interim staff and interns (4 trainees and 2 interim staff).

Related to the salary, there are also the following costs:

- 45 000€ for the annual transportation of staff from home to the office and back
- 23 000€ for the annual administrative fee to PMO
- 28 000€ for the annual fee to DG BUDG for the services of the EC accounting officer

2) For the HR expenditure for the years beyond 2020 (2021-24):

Headcount:

Full SEP	2020	2021	2022	2023	2024
TAs	13	13	13	11	8
CAs	10	10	10	8	5

Title Chapter	Heading	Budget 2020 CA and PA (in €)	Budget 2021 CA and PA (in €)	Budget 2022 CA and PA (in €)	Budget 2023 CA and PA (in €)	Budget 2024 CA and PA (in €)
1	Staff Expenditure	3,118,600	2,886,000	2,776,000	2,286,400	1,649,200
1 1	Staff in active employment	2,691,000	2,606,000	2,546,000	2,106,400	1,519,200
1 2	Staff recruitment / Miscellaneous expenditure	90,000	60,000	50,000	20,000	10,000
1 3	Mission and duty travels	80,000	40,000	30,000	30,000	20,000
1 4	Other staff costs (socio-medical structure)	247,600	180,000	150,000	130,000	100,000
1 5	Entertainment and representation expenses	10,000				

4.1.5 Correction coefficient used

N/A

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - joint Undertaking Request

4.2.1 Title 1

4.2.1 Title 1

The main cost in Title 1 is staff in active employment. The budget for the single year 2021 assumes the full level of BBI staff as well as a certain number of promotions.

For the years beyond 2021: see details on the expected evolution of the staff resources and the related costs under point 4.1.4 above.

4.2.2 Title 2

The main costs under Title 2 are:

- building rental and associated charges (2021 estimated costs based on invoices received in late 2020 + indexation) : 339 500€

- communication costs (includes the Stakeholder Forum and other events, corporate website costs, PR/brochures, social media campaigns, newsletter tool etc.) : 400 000 €

- IT costs (includes ABAC Assets, Contracts and Workflow annual fees, hardware and software inventory purchases, maintenance contracts, troubleshooting, upgrades, the use of SYSPER and ARES tools) : 295 000 €

4.2.3 Title 3

Operational expenditure. There will be no more Calls for Proposals from 2021-2024. The requested payment appropriations will be used to pre-finance the call of 2020 as well as to pay the interim or final payments for the Calls of 2016 to 2019.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	White Atrium TO 56	Avenue de la Toison d'Or (56-60) B-1060 Brussels Belgium	892,5	250	1 142,5	339 500	2015-2024	"Uso fructo" rental	Belgium	
TOTAL			892,5	250	1 142,5	339 500				

5.1.2 Current building(s) Other comments

N/A

5.1.3 Building projects in the planning phase

N/A

5.1.4 Building projects submitted to the European Parliament and the Council

N/A

5.2 Evaluation

N/A

5.3 Privileges and immunities

5.3 Privileges and immunities

Joint undertaking privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
VAT Exemption	BE	

2.1.6 Clean Sky 2 Joint Undertaking - CLEANSKY2

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Approval by Council Regulation N°- 71/2008 of 20/12/2007- setting up the Clean Sky Joint Undertaking (OJ L 30/1, 04/02/2008)	20/12/2007	<p>The Clean Sky Joint Undertaking shall contribute to the implementation of the Seventh Framework Programme and in particular Theme 7, Transport (including Aeronautics) of the Specific Programme Cooperation. The objectives of the Clean Sky Joint Undertaking shall be the following:</p> <ul style="list-style-type: none"> - accelerating in the EU the development, validation and demonstration of clean Air Transport technologies for earliest possible deployment; - ensuring coherent implementation of European research efforts aiming at environmental improvements in the field of Air Transport; - creating a radically innovative Air Transport System based on the integration of advanced technologies and full scale demonstrators, with the target of reducing the environmental impact of air transport through significant reduction of noise and gaseous emissions, and improvement of the fuel economy of aircrafts; - accelerating the generation of new knowledge, innovation and the uptake of research proving the relevant technologies and fully integrated system of systems, in the appropriate operational environment, leading to strengthened industrial competitiveness.
Council Regulation N° 558/2014 of 6 May 2014 establishing the Clean Sky 2 Joint Undertaking (OJ L 169/77)	06/05/2014	<p>The Clean Sky 2 Joint Undertaking shall contribute to the implementation of the Framework Programme for Research and Innovation (2014-2020) ("Horizon 2020") , and in particular the Smart, Green and Integrated Transport Challenge under Part III — Societal Challenges.</p> <p>The Clean Sky 2 Joint Undertaking shall have the following objectives:</p> <ul style="list-style-type: none"> - to contribute to the finalisation of research activities initiated under Regulation (EC) No 71/2008; - to contribute to improving the environmental impact of aeronautical technologies, including those relating to small aviation, as well as to developing a strong and globally competitive aeronautical industry and supply chain in Europe. <p>This can be realised through speeding up the development of cleaner air transport technologies for earliest possible deployment, and in particular the integration, demonstration and validation of technologies capable of:</p> <ul style="list-style-type: none"> - increasing aircraft fuel efficiency, thus reducing CO 2 emissions by 20 to 30 % compared to 'state-of-the-art' aircraft entering into service as from 2014; - reducing aircraft NO x and noise emissions by 20 to 30 % compared to 'state-of-the-art' aircraft entering into service as from 2014.

1.2 Seat

Brussels, Belgium

1.3 Budget line

01 02 99 01 : Completion of previous research programmes (prior to 2021)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	32	30	93,75%	32	32

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Assistants (AST)	4	4	100,00%	4	4
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	36	34	94,44%	36	36
Contract Agents (CA)	6	6	100,00%	6	6
Seconded National Experts (SNE)	2	2	100,00%	2	2
TOTAL STAFF	44	42	95,45%	44	44

1.5 Financial Resources Overview

1.5.1 Revenues Overview

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	304 071 920	
Other Revenue	19 825 182	68 763 621
TOTAL REVENUES	323 897 102	68 763 621

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	5 528 900	5 762 590	5 751 967	5 751 967
Title 2 - Infrastructure and operating expenditure	2 995 000	4 780 936	2 915 000	2 915 000
Title 3 - Operational expenditure	246 525 000	307 024 821	44 379 057	80 632 981
TOTAL EXPENDITURE	255 048 900	317 568 347	53 046 024	89 299 948

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1		1		1		1		1
AD 13										
AD 12								2		2
AD 11		2		2		2		1		1
AD 10		4		3		4		3		3

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 9		10		6		10		10		10
AD 8		1		2		3		3		3
AD 7		5		5		3		3		3
AD 6		9		6		9		9		9
AD 5				5						
AD TOTAL		32		30		32		32		32
AST 11										
AST 10										
AST 9										
AST 8								1		1
AST 7		1		1		1				
AST 6								2		2
AST 5		3		2		3		1		1
AST 4				1						
AST 3										
AST 2										
AST 1										
AST TOTAL		4		4		4		4		4
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		36		34		36		36		36
GRAND TOTAL	36		34		36		36		36	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	1	1	1	1
Function Group III	5	4	5	5
Function Group II		1		

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group I				
TOTAL	6	6	6	6

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	2	2	2	2

3 Financial Resources

3.1 Revenues

REVENUES	Revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	283 369 903	304 071 920			-100%
- Of which Administrative (Title 1 and Title 2)	4 649 515	20 013 668			-100%
- Of which Operational (Title 3)	278 720 388	284 058 252			-100%
- Of which funding of European schools Type 2					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	6 744 204	7 328 133			-100%
- Of which EEA/EFTA (excl. Switzerland)	6 744 204	7 328 133			-100%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS	4 760 172	4 261 950	4 333 484	4 333 484	1,68%
5 ADMINISTRATIVE OPERATIONS					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
8 INTERESTS GENERATED					
9 UNUSED APPROPRIATIONS FROM PREVIOUS YEARS	9 920 408	8 235 099	64 430 137	64 430 137	682,38%
From year N-1	9 920 408	8 235 099	64 430 137	64 430 137	682,38%
- Of which Administrative	313 481	5 081 973	20 051 081	20 051 081	294,55%
- Of which Operational	9 606 927	3 153 126	44 379 056	44 379 056	1307,46%
From year N-2					
- Of which Administrative					
- Of which Operational					
From year N-3					
- Of which Administrative					
- Of which Operational					
TOTAL	304 794 687	323 897 102	68 763 621	68 763 621	-78,77%

3.2 Financial contributions from EU budget and the other partners and in kind contributions

In 2020, the JU will receive the last Commitment appropriations for the H2020 programme which will be used until the end of the programme.

The total amount of EU contribution (EFTA included) for 2020 is EUR 311.400.053, of which EUR 20.495.997 for administrative expenditures and EUR 290.904.056 for operational expenditures. The EFTA contribution is calculated with a rate of 2,41% for 2020 and 2021.

The Other contributions of EUR 4.261.950 represent the contribution of Members to the administrative budget of the CS2JU for the year 2020. This amount covers 50% of the administrative costs of the CSJU as included in Title 1 and 2.

The Commitment appropriations not consumed in 2020 will be used for the commitments of the periods 2021-2024 and are shown in 2021 under "Unused appropriations from the previous year".

In 2021, the JU will receive only contributions from Members (EUR 4.333.484).

The table below gives a detailed overview of the financial contributions.

FINANCIAL CONTRIBUTIONS OVERVIEW	2019	2020	2021
	Executed	Estimated by the joint undertaking	As requested by the joint undertaking
1. FINANCIAL CONTRIBUTION FROM EU	290.114.107	311.400.053	0
FP7	0	0	0
H2020	290.114.107	311.400.053	0
2. CONTRIBUTIONS FROM INDUSTRY	145.938.818	161.892.750	104.256.084
Of which financial contribution (in cash)	4.760.172	4.261.950	4.333.484
FP7	0	0	0
H2020	4.760.172	4.261.950	4.333.484
Of which contribution in kind (1)	141.178.646	157.630.800	99.922.600
FP7 (2)	0	0	0
H2020	141.178.646	157.630.800	99.922.600

(1): 2019 data based on members' declarations for IKOP only as per CSJU provisional financial accounts 2019; 2020 and 2021 data based on ratio of 85% (certified In-kind contributions as observed on cumulative figures to date / validated JU contribution).

(2): FP7 programme closed in 2016 with the final period of costs declaration; therefore, no in kind contribution will be recognized afterwards.

3.3 Expenditure

3.3.1 Commitment appropriations

EXPENDITURE	Commitment appropriations			
	Executed Budget	Budget 2020	Draft Budget 2021	VAR

	2019		Joint undertaking request	Budget forecast	2021/2020 (%)
Title 1 - Staff expenditure	4 982 665	5 528 900	5 751 967	5 751 967	4,03%
Salaries & allowances	4 168 809	4 610 400	4 850 000	4 850 000	5,20%
- <i>Of which establishment plan posts</i>	4 168 809	4 610 400	4 850 000	4 850 000	5,20%
- <i>Of which external personnel</i>					
Expenditure relating to Staff recruitment	494 899	100 000	100 000	100 000	0,00%
Mission expenses	240 000	300 000	300 000	300 000	0,00%
Socio-medical infrastructure	60 000	128 500	110 000	110 000	-14,40%
Training					
External Services		350 000	350 000	350 000	0,00%
Receptions, events and representation	18 957	40 000	41 967	41 967	4,92%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	2 405 879	2 995 000	2 915 000	2 915 000	-2,67%
Rental of buildings and associated costs	570 000	570 000	570 000	570 000	0,00%
Information, communication technology and data processing	488 910	450 000	450 000	450 000	0,00%
Movable property and associated costs	1 030	10 000	10 000	10 000	0,00%
Current administrative expenditure	65 000	60 000	60 000	60 000	0,00%
Postage / Telecommunications	25 000	50 000	50 000	50 000	0,00%
Meeting expenses	100 000	400 000	360 000	360 000	-10,00%
Running costs in connection with operational activities					
Information and publishing	755 939	600 000	600 000	600 000	0,00%
Studies	400 000	855 000	815 000	815 000	-4,68%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	291 325 743	246 525 000	44 379 057	44 379 057	-82,00%
Clean Sky 1					
Clean Sky 2	291 325 743	246 525 000	44 379 057	44 379 057	-82,00%
TOTAL	298 714 287	255 048 900	53 046 024	53 046 024	-79,20%

3.3.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	4 895 514	5 762 590	5 751 967	5 751 967	-0,18%
Salaries & allowances	4 168 809	4 610 400	4 850 000	4 850 000	5,20%
- <i>Of which establishment plan posts</i>	4 168 809	4 610 400	4 850 000	4 850 000	5,20%
- <i>Of which external personnel</i>					
Expenditure relating to Staff recruitment	475 577	157 043	100 000	100 000	-36,32%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Mission expenses	197 860	349 943	300 000	300 000	-14,27%
Socio-medical infrastructure	32 247	166 342	110 000	110 000	-33,87%
Training					
External Services		437 218	350 000	350 000	-19,95%
Receptions, events and representation	21 021	41 644	41 967	41 967	0,78%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	2 059 010	4 780 936	2 915 000	2 915 000	-39,03%
Rental of buildings and associated costs	552 512	585 171	570 000	570 000	-2,59%
Information, communication technology and data processing	366 461	856 222	450 000	450 000	-47,44%
Movable property and associated costs	1 030	10 000	10 000	10 000	0,00%
Current administrative expenditure	22 545	110 029	60 000	60 000	-45,47%
Postage / Telecommunications	20 643	71 188	50 000	50 000	-29,76%
Meeting expenses	84 148	419 767	360 000	360 000	-14,24%
Running costs in connection with operational activities					
Information and publishing	565 751	951 927	600 000	600 000	-36,97%
Studies	445 920	1 776 632	815 000	815 000	-54,13%
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	316 331 391	307 024 821	80 632 981	80 632 981	-73,74%
Clean Sky 1					
Clean Sky 2	316 331 391	307 024 821	80 632 981	80 632 981	-73,74%
TOTAL	323 285 915	317 568 347	89 299 948	89 299 948	-71,88%

3.4 Budget Outturn

First estimate of the 2019 surplus that remains within the joint undertaking: EUR 17.893.898

4 Justification of needs

Commission assessment

Human Resources

Financial Resources

4.1 Human Resources - Joint Undertaking Request

4.1.1 Number of staff requested

Justification for the requested changes:

The JU requests some changes in the Establishment Plan for 2021 in order to proceed with the reclassification exercise for 2021. The Establishment Plan of year 2020 did not allow the reclassifications of some staff who have a long career in Clean Sky and who deserve recognition of their effort and engagement.

The JU wishes to guarantee homogeneity in the grading of the middle management, without adding new TA posts.

In particular, the JU requests to move 2 AD11 to 2 AD12 and 1 AD10 to AD11 to have the possibility for reclassification of Heads of Unit, by keeping AD10 posts for reclassifications of lower grades.

In addition, the JU wishes also to move three AST5 to AST6 and one AST7 to AST8 to give the normal grade progression to the assistants group.

However, with regards to ASTs, the Clean Sky 2 JU finally agrees with the proposal of DG BUDG: 2 AST6 and 1 AST5

4.1.2 Vacancy rate as of end 2019

5% at the end of 2019 which represents 2 posts that will be recruited during the first quarter 2020.

4.1.3 Standard abatement ('abatement forfaitaire') applied

Not applicable

4.1.4 Salary assumption for calculating salary line (% applied)

The salary envelope for 2021 includes an estimated annual indexation of 1.5% compared to 2020.

4.1.5 Correction coefficient used

Belgium, 100%.

4.1.6 Exchange rate used (if applicable)

Not applicable.

4.2 Financial Resources - joint Undertaking Request

4.2.1 Title 1

The JU has 44 statutory staff planned in its establishment plan (see section 4.1) and allocated to complete the work plan. The increase of 2021 commitment appropriations compared to 2020 will be used to cover expenses related to staff such as reclassification exercise, schools fees and salary index.

4.2.2 Title 2

Title 2 expenses remain in total at the same level as in 2021 in order to cope with the high workload expected in the mature phase of the CS2 programme.

4.2.3 Title 3

The Title 3 corresponds to the operational expenditures of the Clean Sky 2 programme.

In 2021, the commitment appropriations will include an amount of EUR 44.379.057 to cover the GAM activities 2022. No commitment will be made for Calls for proposals (CfPs) since the last CfP 11 will be launched in 2020.

The payment appropriations for 2021 will amount to EUR 80.632.981 and will be used for the payment of the costs claims of the GAMs 2020 (EUR 45.8 million) and interim and final payments of the GAPs portfolio (EUR 34.8 million).

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	White Atrium	ToisonD'Or 56-60, 1060 Brussels	1 667,5		1 667,5	530 000	Until 2024		Belgium	
TOTAL			1 667,5		1 667,5	530 000				

5.1.2 Current building(s) Other comments

Not applicable

5.1.3 Building projects in the planning phase

Not applicable.

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 Evaluation

The Interim Evaluation report of the Clean Sky 2 Joint Undertaking (2014-2016) operating under Horizon 2020 published in 2017 concluded that Clean Sky has achieved widespread recognition around the world for the unprecedented level of collaboration of its research participants in a focused and coherent research programme that significantly reduces the fragmentation of other funding instruments. The Interim Evaluation main recommendations aimed at improving the current functioning of the JU have been fully addressed and implemented on the basis of the action plan which was adopted by the Governing Board in April 2018. The Commission shall conduct a final evaluation of the Clean Sky 2 Joint Undertaking after the closure of the Horizon 2020 programme, the results of which will be presented to the European Parliament and to the Council.

5.3 Privileges and immunities

Joint undertaking privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
The Clean Sky 2 Joint Undertaking signed with the Belgian authorities the host agreement on the 25th of July 2014; therefore the Protocol on the Privileges and Immunities applies directly.	As stated in the article 18 of the Council Regulation setting up the Clean Sky 2 Joint Undertaking (558/2014 of 06/05/2014) the Protocol on the Privileges and Immunities of the European Communities shall apply to the Clean Sky JU and its staff	The European Schools will provide for Clean Sky needs

2.1.7 Fuel Cells and Hydrogen Joint Undertaking - FCH2

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
<p>Council Regulation No 559/2014 of 6 May 2014 setting up the FCH 2 Joint Undertaking (OJL 169/108)</p> <p>Regulation repeals Council Regulation No 521/2008 of 30 May 2008 setting up the FCH Joint Undertaking under FP7 (OJ L 153/1, 12/06/2008). Ongoing actions were transferred to FCH 2 JU</p>	06/05/2014	<p>The FCH Joint Undertaking shall contribute to the objectives of the Joint Technology Initiative on Fuel Cells and Hydrogen, through the development of a strong, sustainable and globally competitive fuel cells and hydrogen sector in the Union.</p> <p>It shall, in particular:</p> <ul style="list-style-type: none"> -reduce the production cost of fuel cell systems to be used in transport applications, while increasing their lifetime to levels competitive with conventional technologies, -increase the electrical efficiency and the durability of the different fuel cells used for power production, while reducing costs, to levels competitive with conventional technologies, -increase the energy efficiency of production of hydrogen from water electrolysis while reducing capital costs, so that the combination of the hydrogen and the fuel cell system is competitive with the alternatives available in the marketplace, and -demonstrate on a large scale the feasibility of using hydrogen to support integration of renewable energy sources into the energy systems, including through its use as a competitive energy storage medium for electricity produced from renewable energy sources.

1.2 Seat

Brussels, Belgium

1.3 Budget line

01 02 99 01 : Completion of previous research programmes (prior to 2021)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	15	15	100,00%	15	15
Assistants (AST)	9	9	100,00%	9	9
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	24	24	100,00%	24	24
Contract Agents (CA)	3	3	100,00%	3	3
Seconded National Experts (SNE)	2	1	50,00%	2	2
TOTAL STAFF	29	28	96,55%	29	29

1.5 Financial Resources Overview

1.5.1 Revenues Overview

REVENUES	2020	2021
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	Revenues estimated by the agency	Budget Forecast
EU contribution	91 961 153	
Other Revenue	18 602 308	2 899 250
TOTAL REVENUES	110 563 461	2 899 250

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	3 786 100	3 786 100	3 889 500	3 889 500
Title 2 - Infrastructure and operating expenditure	1 944 400	1 944 400	1 659 000	1 659 000
Title 3 - Operational expenditure	94 547 523	90 892 795		61 965 958
TOTAL EXPENDITURE	100 278 023	96 623 295	5 548 500	67 514 458

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1		1		1		1		1
AD 13										
AD 12								2		2
AD 11		2		2		2				
AD 10										
AD 9		2		2		4		5		5
AD 8		6		6		4		3		3
AD 7						1		2		2
AD 6		4		4		3		2		2
AD 5										
AD TOTAL		15		15		15		15		15
AST 11										
AST 10										
AST 9						1		1		1
AST 8		2		2		1		1		1
AST 7		1		1		1		1		1
AST 6		1		1		1		1		1
AST 5		1		1		1		2		2

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 4		4		4		4		3		3
AST 3										
AST 2										
AST 1										
AST TOTAL		9		9		9		9		9
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		24		24		24		24		24
GRAND TOTAL	24		24		24		24		24	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	1	1	1	1
Function Group III	1	1	1	1
Function Group II	1	1	1	1
Function Group I				
TOTAL	3	3	3	3

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	2	1	2	2

3 Financial Resources

3.1 Revenues

REVENUES	Revenues			
	Executed Budget	Budget 2020	Draft Budget 2021	VAR

	2019		Joint undertaking request	Budget forecast	2021/2020 (%)
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	82 445 638	91 961 153			-100%
- Of which Administrative (Title 1 and Title 2)	2 622 363	12 369 076			-100%
- Of which Operational (Title 3)	79 823 275	79 592 077			-100%
- Of which funding of European schools Type 2					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	1 962 206	2 216 264			-100%
- Of which EEA/EFTA (excl. Switzerland)	1 962 206	2 216 264			-100%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS	2 684 776	2 381 733	2 649 250	2 649 250	11,23%
5 ADMINISTRATIVE OPERATIONS					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT	838 790				
7 CORRECTION OF BUDGETARY IMBALANCES					
8 INTERESTS GENERATED					
9 UNUSED APPROPRIATIONS FROM PREVIOUS YEARS	3 799 175	14 004 311	250 000	250 000	-98,21%
From year N-1	3 529 221	13 078 325	250 000	250 000	-98,09%
- Of which Administrative		304 655	250 000	250 000	-17,94%
- Of which Operational	3 529 221	12 773 670			-100%
From year N-2	269 954	925 986			-100%
- Of which Administrative	269 954	662 380			-100%
- Of which Operational		263 606			-100%
From year N-3					
- Of which Administrative					
- Of which Operational					
TOTAL	91 730 585	110 563 461	2 899 250	2 899 250	-97,38%

3.2 Financial contributions from EU budget and the other partners and in kind contributions

In accordance with Article 13(2) and point (b) of Article 13(3) of the Statutes of the FCH 2 JU founding Regulation¹, FCH 2 JU is jointly funded by the Union (through cash contributions to administrative and operational costs) and members other than the Union (Industry and Research) which contribute in cash to administrative and in-kind to projects (consisting of the costs incurred by them in implementing grants less than the contribution of the FCH 2 JU). This contribution is defined as IKOP (in-kind in operations).

In addition, according to Article 4 of the Regulation, Industry and Research contribute in-kind in the form of costs incurred by them in implementing additional activities outside the FCH 2 JU work plan. This contribution is defined as IKAA (in-kind additional activities).

The information for these financial and in-kind contributions for 2019, 2020 and 2021 are as follows:

FINANCIAL CONTRIBUTIONS	2019	2020	2021
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¹ Council Regulation (EU) No 559/2014 of 6 May 2014 (OJ L. 169/108, 7.6.2014)

AND IN-KIND CONTRIBUTIONS OVERVIEW	Executed	Estimated by the joint undertaking	As requested by the joint undertaking
1 FINANCIAL CONTRIBUTION FROM EU	101 552 857	82 444 866	64 615 208
2 CONTRIBUTIONS FROM INDUSTRY	193 479 060	254 148 290	2 278 355
of which financial contribution for administrative costs (in cash)	2 308 907	2 048 290	2 278 355
of which contribution in kind for operational activities (IKOP) ²	14 730 153	-	-
of which contribution in kind for additional activities (IKAA)	176 440 000	252 100 000	p.m.
3 CONTRIBUTIONS FROM RESEARCH	62 714 871	64 433 443	370 895
of which financial contribution (in cash)	375 869	333 443	370 895
of which contribution in kind for operational activities (IKOP) ²	519 002	-	-
of which contribution in kind for additional activities (IKAA)	61 820 000	64 100 000	p.m.
TOTAL CONTRIBUTIONS	357 746 789	401 026 599	67 264 458

2019 IKAA refers to preliminary report for the period January-December 2019, certification is expected by 30/06/2020
2020 IKAA refer to planned estimations.

Information on the amount of EU contribution frontloaded in 2020 for the administrative costs related to the completion of the JU's activities financed of the activities funded from commitments 2014-2020 in years 2020-2024.

The amount frontloaded in 2020 for years 2020-2024 is EUR 12 667 171 (EFTA included).

The EFTA calculated on the frontloaded amount is EUR 298 095.

The amount of EU contribution needed for 2020 running cost is EUR 2 381 733 C1 credits and EUR 294 470 EFTA, since EFTA credits should be used first.

The amount that will be used for years 2021-2024 is EUR 10 285 438 in C1 credits redistributed as follows:

2021	2022	2023	2024
2 649 250	2 743 800	2 600 800	2 291 588

The total amount presented in the table 3.3.1 revenue as a total budget forecast for 2020 is EUR 10 285 438 below the total amount presented in the table 3.1 as a total budget forecast due to the frontload.

² Refers to committed IKOP from call 2019

3.3 Expenditure

3.3.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	3 373 877	3 786 100	3 889 500	3 889 500	2,73%
Salaries & allowances	3 120 877	3 527 600	3 620 000	3 620 000	2,62%
- Of which establishment plan posts	2 975 249	3 296 000	3 451 000	3 451 000	4,70%
- Of which external personnel	145 628	231 600	169 000	169 000	-27,03%
Expenditure relating to Staff recruitment	1 129	5 000	30 000	30 000	500,00%
Mission expenses	180 000	175 000	160 000	160 000	-8,57%
Socio-medical infrastructure	11 657	11 500	11 500	11 500	0,00%
Training	27 876	33 000	33 000	33 000	0,00%
External Services	29 000	28 400	30 000	30 000	5,63%
Receptions, events and representation	3 338	5 600	5 000	5 000	-10,71%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 780 432	1 944 400	1 659 000	1 659 000	-14,68%
Rental of buildings and associated costs	353 563	370 000	377 000	377 000	1,89%
Information, communication technology and data processing	354 473	372 000	315 000	315 000	-15,32%
Movable property and associated costs		5 000	10 000	10 000	100,00%
Current administrative expenditure	3 322	11 000	11 000	11 000	0,00%
Postage / Telecommunications	10 660	13 000	14 000	14 000	7,69%
Meeting expenses	48 185	90 000	55 000	55 000	-38,89%
Running costs in connection with operational activities	85 800	222 000	225 000	225 000	1,35%
Information and publishing	569 720	500 000	500 000	500 000	0,00%
Studies	33 450		30 000	30 000	100%
Other infrastructure and operating expenditure	321 259	361 400	122 000	122 000	-66,24%
Title 3 - Operational expenditure	73 642 035	94 547 523			-100%
TOTAL	78 796 344	100 278 023	5 548 500	5 548 500	-94,47%

3.3.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	3 341 747	3 786 100	3 889 500	3 889 500	2,73%
Salaries & allowances	3 115 750	3 527 600	3 620 000	3 620 000	2,62%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
- Of which establishment plan posts	3 039 353	3 296 000	3 451 000	3 451 000	4,70%
- Of which external personnel	76 397	231 600	169 000	169 000	-27,03%
Expenditure relating to Staff recruitment	1 129	5 000	30 000	30 000	500,00%
Mission expenses	157 550	175 000	160 000	160 000	-8,57%
Socio-medical infrastructure	11 507	11 500	11 500	11 500	0,00%
Training	24 358	33 000	33 000	33 000	0,00%
External Services	28 115	28 400	30 000	30 000	5,63%
Receptions, events and representation	3 338	5 600	5 000	5 000	-10,71%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 601 255	1 944 400	1 659 000	1 659 000	-14,68%
Rental of buildings and associated costs	347 109	370 000	377 000	377 000	1,89%
Information, communication technology and data processing	291 123	372 000	315 000	315 000	-15,32%
Movable property and associated costs		5 000	10 000	10 000	100,00%
Current administrative expenditure	3 388	11 000	11 000	11 000	0,00%
Postage / Telecommunications	7 297	13 000	14 000	14 000	7,69%
Meeting expenses	46 431	90 000	55 000	55 000	-38,89%
Running costs in connection with operational activities	81 126	222 000	225 000	225 000	1,35%
Information and publishing	508 306	500 000	500 000	500 000	0,00%
Studies			30 000	30 000	100%
Other infrastructure and operating expenditure	316 475	361 400	122 000	122 000	-66,24%
Title 3 - Operational expenditure	107 068 882	90 892 795	61 965 958	61 965 958	-31,83%
TOTAL	112 011 884	96 623 295	67 514 458	67 514 458	-30,13%

3.4 Budget Outturn

First estimate of the 2019 surplus that remains within the joint undertaking: - EUR 6 927 000

4 Justification of needs

Commission assessment

Human Resources

Financial Resources

4.1 Human Resources - Joint Undertaking Request

4.1.1 Number of staff requested

The FCH 2 JU staff establishment plan approved for 2020 foresees a total number of 24 Temporary Agents (TA) and 3 Contract Agents (CA). In addition staff resources include 2 Seconded National Experts (SNE).

There will be no change for 2021.

4.1.2 Vacancy rate as of end 2019

0% based on the establishment plan posts (TA) and contract agents (CA)

4.1.3 Standard abatement ('abatement forfaitaire') applied

N/A

4.1.4 Salary assumption for calculating salary line (% applied)

The salary assumption was based on detailed computation of each employee step and grade in 2021 taking into account the step advancements, the provision for reclassifications as per the Staff Establishment Plan and applying annual increase rate of 2% to 2020 salary scale figures.

Grades and steps used for TAs and CAs reflect their expected situation in 2021.

4.1.5 Correction coefficient used

N/A

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - joint Undertaking Request

4.2.1 Title 1

The total appropriations for the Title will be increased by 2.7% compared to 2020. This is due to:

- Staff costs (comprising up to 94% of Title 1) will increase by 2.6% due to a 2% indexation to 2020 costs (in line with the Budget Circular) and step advancements and reclassifications, whose impact is 1.8%. On the other side, a decrease by 1 interim staff will have a 1.2% impact on the budget.

- An increase in recruitment related expenditure to the provision for installation and daily subsistence allowance related to selection processes foreseen in 2020 is partially offset with a decrease in mission expenses. Training, medical expenses and mobility costs will remain at the same level as in 2020, whereas representational costs will be lowered closer to the actual expenses of 2019.

4.2.2 Title 2

Appropriations for Title 2 will decrease by 14.7% compared to 2020 due mainly to the significant decrease (66%) in expert costs, justified by the absence of any evaluators in 2021.

IT related costs will also show a decrease (in 2020 one-time costs of new tools were included which is not foreseen in 2021).

Meetings in general will also be reduced to reflect actual 2019 execution. Regarding service contracts, the increase by 15% is due to more audits foreseen to be paid (13 in total). An agreement with CAS on this issue is expected in the course of 2020. The remaining budget lines will either remain at the 2020 level (communication, current administrative expenses, postage and telecommunication) or increase by 2% (rentals and building charges).

4.2.3 Title 3

Title 3, corresponds to the operational expenditure with the following breakdown:

FP7 Programme: The payment appropriations are decreased by 73% compared to 2020 budget, as only 2 payments are foreseen in 2021.

H2020 Programme: The requested payment appropriations will be decreased by 30%, as there will be no pre-financing payment (except a small amount under call 2020) as no more calls are foreseen under H2020. On the contrary payments for interim and final financial statements will increase compared to previous years, reflecting the maturity of the programme. 61 payments are currently estimated for 2021, along with payments for studies for which contracts were (and will be) signed in 2018, 2019 and 2020.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	White Atrium	Brussels, Belgium	1 136,36	17,98	1 154,34	241 964	End date: 16.11.2025	Long term lease	None	
TOTAL			1 136,36	17,98	1 154,34	241 964				

5.1.2 Current building(s) Other comments

Fuel Cells and Hydrogen Joint Undertaking moved to the current building on 13 January 2011.

The end date according to the lease contract is 16/11/2025 but with possibility to terminate it on 31/12/2024.

FCH JU is not the owner of the building.

5.1.3 Building projects in the planning phase

Not applicable

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 Evaluation

As stated in Article 11 of the Council Regulation setting up Fuel Cells and Hydrogen 2 Joint Undertaking (559/2014 of 06/05/2014), by 30 June 2017 the Commission shall carry out, with the assistance of independent experts, an interim evaluation of the FCH2 Joint Undertaking.

On 06 October 2017, the European Commission published the interim evaluation of the FCH 2 JU, according to which the FCH 2 JU continues to demonstrate the strengths commended in the Second Interim Evaluation of the Fuel Cell & Hydrogen Joint Undertaking; it has further reinforced a Community of industry and research bodies around a common long-term research agenda.

A significant progress against FCH 2 JU principle objectives is observed: contribute to the implementation of Horizon 2020 and contribute to the objectives of the Joint Technology Initiative on Fuel Cells and Hydrogen, through the development of a strong, sustainable and globally competitive fuel cells and hydrogen sector in the Union.

The JU has successfully adopted the procedures and tools of H2020 and the implementation of the PPP has been successful in most relevant aspects. FCH 2 JU has an explicit EU added value although the challenges of delivering improved coordination between Member States' FCH research and innovation support remain.

One of the biggest achievements is that the reported levels of IKAA already exceeded the threshold set in the Council Regulation.

5.3 Privileges and immunities

Joint undertaking privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
The FCH 2 JU signed with the Belgian authorities the host agreement on the 24th of April 2015; therefore the Protocol on the Privileges and Immunities applies directly.	As stated in the article 18 of the Council Regulation setting up the Fuel Cells and Hydrogen 2 Joint Undertaking (559/2014 of 06/05/2014) the Protocol on the Privileges and Immunities of the European Communities shall apply to the FCH JU and its staff	

2.1.8 European High Performance Computing Joint Undertaking - EUROHPC

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission / Tasks / Functions
<p>Council Regulation (EU) 2018/1488 of 28 September 2018 establishing the European High Performance Computing Joint Undertaking</p>	<p>28.09.2018</p>	<p>The Joint Undertaking shall have the following overall objectives:</p> <ul style="list-style-type: none"> (a) to provide scientists, industry and the public sector from the Union or an Associated Country to Horizon 2020 with latest High Performance Computing and Data Infrastructure and support the development of its technologies and its applications across a wide range of fields. (b) to provide a framework for acquisition of an integrated world-class pre-exascale supercomputing and data infrastructure in the Union; (c) to provide Union level coordination and adequate financial resources to support the development and acquisition of such infrastructure, which will be accessible to users from the public and private sector primarily for research and innovation purposes; (d) to support the development of an integrated High Performance Computing ecosystem in the Union covering all scientific and industrial value chain segments notably hardware, software, applications, services, engineering, interconnections, know-how and skills. <p>The Joint Undertaking shall have the following specific objectives:</p> <ul style="list-style-type: none"> (a) to contribute to the implementation of Regulation (EU) No 1291/2013 and Decision 2013/743/EU, in particular Part II thereof, and to the implementation of Regulation (EU) No 1316/2013 and (EU) No 283/2014; (b) to align strategies between Member States and the Union in a coordinated European High Performance Computing strategy and contribute to the effectiveness of public support by avoiding unnecessary duplication and fragmentation of efforts; (c) to pool Union resources, national resources and private investment and bring the investments in High Performance Computing to a level comparable with its global competitors; (d) to build and operate a leading-class integrated supercomputing and data infrastructure across the Union as an essential component for scientific excellence, and for the digitisation of industry, and the public sector, and for strengthening the innovation capabilities and global competitiveness for creating economic and employment growth in the Union; (e) to provide access to High Performance Computing-based infrastructures and services to a wide range of users from the research and scientific community as well as the industry including SMEs, and the public sector, for new and emerging data and compute-intensive applications and services; (f) to bridge the gap between research and development and the delivery of exascale High Performance Computing systems reinforcing the digital technology supply chain in the Union and enabling the acquisition by the Joint Undertaking of leadership-class supercomputers; (g) to achieve excellence in High Performance Computing applications for world-class performance through development and optimisation of codes and applications in a co-design approach, supporting Centres of Excellence in High Performance Computing applications and large-scale High Performance Computing-enabled pilot demonstrators and test-beds for big data applications and services in a wide range of scientific and industrial areas; (h) to interconnect and federate regional, national and European High Performance Computing supercomputers and other computing

	<p>systems, data centres and associated software and applications;</p> <p>(i) to increase the innovation potential of industry, and in particular of SMEs, using advanced High Performance Computing infrastructures and services;</p> <p>(j) to improve understanding of High Performance Computing and contribute to reducing skills gaps in the Union related to High Performance Computing;</p> <p>(k) to widen the scope of High Performance Computing usage.</p> <p>To reach its objectives, the Joint Undertaking shall carry out the following tasks:</p> <p>(a) mobilise public and private sector funds for financing the activities of the Joint Undertaking;</p> <p>(b) acquire at least two pre-exascale supercomputers that rank amongst the top ten world-wide, funded by the Union's budget stemming from the Horizon 2020, Connecting Europe Facility Programmes and contributions from the Participating States, in compliance with Joint Undertaking's rules;</p> <p>(c) initiate and manage the procedure for the acquisition of the pre-exascale supercomputers, evaluate the offers received, award of funding within the limits of available funds, monitor the implementation of the contract and manage the contracts;</p> <p>(d) select the hosting entity of the pre-exascale supercomputers, in accordance with its financial rules referred to in Article 11 of this Regulation;</p> <p>(e) establish a hosting agreement in accordance with its financial rules referred to in Article 11 of this Regulation with the hosting entity for the operation and maintenance of the pre-exascale supercomputers and monitor the contractual compliance with the hosting agreement, including the acceptance test of the acquired supercomputers;</p> <p>(f) provide financial support to the acquisition of at least two peta-scale supercomputers;</p> <p>(g) define general and specific access conditions to the supercomputers and monitor access to the supercomputers;</p> <p>(h) provide financial support, mainly in the form of grants, focusing on developing the next generation of key High Performance Computing technologies and systems towards exascale addressing the whole European technology spectrum from low-power microprocessors and related technologies to software, algorithms, programming models and tools, to novel architectures and their system integration through a co-design approach.</p> <p>(i) provide financial support, mainly in the form of grants, focusing on applications, outreach activities, awareness raising actions and professional development activities for attracting human resources to High Performance Computing, as well as increasing skills and engineering know-how of the ecosystem;</p> <p>(j) initiate open calls for proposals and award funding to research, development and innovation actions within the limits of available funds;</p> <p>(k) monitor the implementation of the actions and manage grant agreements;</p> <p>(l) ensure sustainable management of the Joint Undertaking;</p> <p>(m) monitor overall progress towards achieving the objectives of the Joint Undertaking;</p> <p>(n) develop close cooperation and ensure coordination with Union and national activities, bodies and stakeholders, creating synergies and improving exploitation of research and innovation results in the area of high performance computing;</p> <p>(o) define the multiannual strategic plan, draw up and implement the corresponding work plans for their execution and make any necessary adjustments to the multiannual strategic plan;</p>
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		(p) engage in information, communication, exploitation and dissemination activities by applying mutatis mutandis Article 28 of Regulation (EU) No 1291/2013, including making the detailed information on results from calls for proposals available and accessible in a common Horizon 2020 e-database;
		(q) any other task needed to achieve the objectives set out in Article 3 of this Regulation.

1.2 Seat

The seat of EuroHPC Joint Undertaking is Luxembourg.

1.3 Budget line

01 02 99 01 : Completion of previous research programmes (prior to 2021)

02 04 99 02 : Completion of the High-Performance Computing joint undertaking (EuroHPC) under the previous programme "Connecting Europe Facility (CEF) — ICT" (prior to 2021)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	4		0,00%	4	4
Assistants (AST)					
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	4		0,00%	4	4
Contract Agents (CA)	7		0,00%	10	11
Seconded National Experts (SNE)				1	1
TOTAL STAFF	11		0,00%	15	16

1.5 Financial Resources Overview

1.5.1 Revenues Overview

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	274 810 475	p.m.
Other Revenue	234 754 838	p.m.
TOTAL REVENUES	509 565 313	p.m.

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	1 460 000	1 460 000	1 529 880	1 529 880
Title 2 - Infrastructure and operating expenditure	1 715 931	1 715 931	1 554 600	1 554 600
Title 3 - Operational expenditure	506 389 382	179 905 784		250 900 725

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
TOTAL EXPENDITURE	509 565 313	183 081 715	3 084 480	253 985 205

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1				1		1		1
AD 13										
AD 12		1								
AD 11		1								
AD 10						1		1		1
AD 9										
AD 8						2		2		2
AD 7		1								
AD 6										
AD 5										
AD TOTAL		4				4		4		4
AST 11										
AST 10										
AST 9										
AST 8										
AST 7										
AST 6										
AST 5										
AST 4										
AST 3										
AST 2										
AST 1										
AST TOTAL										
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		4				4		4		4
GRAND TOTAL	4				4		4		4	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	1		4	5
Function Group III	4		4	4
Function Group II	2		2	2
Function Group I				
TOTAL	7		10	11

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL			1	1

3 Financial Resources

3.1 Revenues

REVENUES	Revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	193 779 927	274 810 475	3 011 893	p.m.	-100%
- Of which Administrative (Title 1 and Title 2)	636 670	3 101 192	3 011 893	p.m. (1)	-100%
- Of which Operational (Title 3)	193 143 257	271 709 283			-100%
- Of which funding of European schools Type 2					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	49 450 738	11 824 838	72 587	p.m.	-100%
- Of which EEA/EFTA (excl. Switzerland)	4 611 961	6 663 615	72 587	p.m.	-100%

REVENUES	Revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
- Of which candidate countries	44 838 777	5 161 223			-100%
4 OTHER CONTRIBUTIONS		222 930 000			-100%
5 ADMINISTRATIVE OPERATIONS					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
8 INTERESTS GENERATED					
9 UNUSED APPROPRIATIONS FROM PREVIOUS YEARS					
From year N-1					
- Of which Administrative					
- Of which Operational					
From year N-2					
- Of which Administrative					
- Of which Operational					
From year N-3					
- Of which Administrative					
- Of which Operational					
TOTAL	243 230 665	509 565 313	3 084 480	p.m.	-100%

(1) The EU contribution to the JU running costs related to the completion activities for the years 2021-2023 was included in the EU budget in 2020.

3.2 Financial contributions from EU budget and the other partners and in kind contributions

In accordance with the provisions of the legal framework applicable to the EuroHPC JU, the contributors to the budget of the JU are:

The European Union covering administrative and operational costs.

The Participating States shall contribute to the administrative and operational costs that will be commensurate to the Union's financial contribution set out in Article 4(1) of the JU Basic Act.

The Union budget will constitute a ceiling for the actual Union contribution, in accordance with Article 6 of Council Regulation (EU) 2018/1488. The Participating States' contributions are subject to the availability of the appropriations provided by Participating States.

3.3 Expenditure

3.3.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	77 830	1 460 000	1 529 880	1 529 880	4,79%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Salaries & allowances	40 000	1 330 000	1 404 880	1 404 880	5,63%
- Of which establishment plan posts	20 000	552 000	552 000	552 000 (1)	0,00%
- Of which external personnel	20 000	778 000	852 880	852 880	9,62%
Expenditure relating to Staff recruitment	37 830	40 000	5 000	5 000	-87,50%
Mission expenses		70 000	70 000	70 000	0,00%
Socio-medical infrastructure		10 000	40 000	40 000	300,00%
Training		10 000	10 000	10 000	0,00%
External Services					
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	612 217	1 715 931	1 554 600	1 554 600	-9,40%
Rental of buildings and associated costs		115 000	84 600	84 600	-26,43%
Information, communication technology and data processing	426 350	450 000	450 000	450 000	0,00%
Movable property and associated costs		80 000	20 000	20 000	-75,00%
Current administrative expenditure	1 000	150 000	150 000	150 000	0,00%
Postage / Telecommunications		10 000	10 000	10 000	0,00%
Meeting expenses	33 670	350 000	330 000	330 000	-5,71%
Running costs in connection with operational activities		150 931	150 000	150 000	-0,62%
Information and publishing	1 000	5 000	5 000	5 000	0,00%
Studies		5 000	5 000	5 000	0,00%
Other infrastructure and operating expenditure	150 197	400 000	350 000	350 000	-12,50%
Title 3 - Operational expenditure	242 540 618	506 389 382			-100%
TOTAL	243 230 665	509 565 313	3 084 480	3 084 480	-99,39%

(1) The amounts mentioned in the table shows the commitments on the JU side for 2021. The EU contribution to the JU running costs for 2021 was included in the EU budget in 2020.

3.3.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	77 830	1 460 000	1 529 880	1 529 880	4,79%
Salaries & allowances	40 000	1 330 000	1 404 880	1 404 880	5,63%
- Of which establishment plan posts	20 000	552 000	552 000	552 000	0,00%
- Of which external personnel	20 000	778 000	852 880	852 880	9,62%
Expenditure relating to Staff recruitment	37 830	40 000	5 000	5 000	-87,50%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Mission expenses		70 000	70 000	70 000	0,00%
Socio-medical infrastructure		10 000	40 000	40 000	300,00%
Training		10 000	10 000	10 000	0,00%
External Services					
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	612 217	1 715 931	1 554 600	1 554 600	-9,40%
Rental of buildings and associated costs		115 000	84 600	84 600	-26,43%
Information, communication technology and data processing	426 350	450 000	450 000	450 000	0,00%
Movable property and associated costs		80 000	20 000	20 000	-75,00%
Current administrative expenditure	1 000	150 000	150 000	150 000	0,00%
Postage / Telecommunications		10 000	10 000	10 000	0,00%
Meeting expenses	33 670	350 000	330 000	330 000	-5,71%
Running costs in connection with operational activities		150 931	150 000	150 000	-0,62%
Information and publishing	1 000	5 000	5 000	5 000	0,00%
Studies		5 000	5 000	5 000	0,00%
Other infrastructure and operating expenditure	150 197	400 000	350 000	350 000	-12,50%
Title 3 - Operational expenditure	4 120 000	179 905 784	250 900 725	250 900 725	39,46%
TOTAL	4 810 047	183 081 715	253 985 205	253 985 205	38,73%

3.4 Budget Outturn

First estimate of the 2019 surplus that remains within the joint undertaking: EUR

N/A, as the JU is not autonomous.

4 Justification of needs

Commission assessment

Human Resources

The human resources requested are in line with the 2020 approved budget.

As mentioned last year, there is a difference from the LFS in the structure of the authorised number of staff due to the fact that two functions – Legal and Accounting Officers – were downgraded from the TA AD to FG IV (Accounting and Audits Assistant; Legal Officer and HR Assistant).

Financial Resources

The payment appropriations requested to cover the operational expenditure in 2021 amount to 250 900 725 EUR. This increase in the amount compared to the LFS comes from the final schedule of the activities established by the Work Plan 2020.

4.1 Human Resources - Joint Undertaking Request

4.1.1 Number of staff requested

16 posts in total. 2 posts were employed in 2019, 12 additional posts are planned – for a gradual set-up of the JU – in 2020. The last 1 post is foreseen to be filled-up in 2021.

4.1.2 Vacancy rate as of end 2019

DG CNECT is due to return 2 posts and 6 contract agents due to the compensation related to the creation of the EuroHPC JU. The posts and contract agents to be returned from the Research budget will be deducted from the relevant budget lines of DG CNECT.

4.1.3 Standard abatement ('abatement forfaitaire') applied

DG CNECT is due to return 2 posts and 6 contract agents due to the compensation related to the creation of the EuroHPC JU. The posts and contract agents to be returned from the Research budget will be deducted from the relevant budget lines of DG CNECT.

4.1.4 Salary assumption for calculating salary line (% applied)

The estimation of the cost of human resources is based on the total average cost.

As the EuroHPC Joint Undertaking still being set-up and that the recruitment of the staff is progressive over the first years, additional 1 full-time equivalent post is for foreseen for 2021.

4.1.5 Correction coefficient used

N/A

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - joint Undertaking Request

4.2.1 Title 1

With the establishment of its workforce, the Joint Undertaking (JU) will have to organise the recruitment of new staff and cover the salaries, social security and other related allowances. As new staff will be employed gradually, the JU will have to cover the expenditure arising from the search for suitable candidates (publishing vacancies) and subsequent administration costs of the recruitment of new staff members (installation, resettlement and daily subsistence allowances, removal and travel expenses). As part of its duties, the JU staff will have to travel to various conferences, meetings and workshops related to the activities of the JU and to the actions funded. Finally, the JU will have to cover the costs of the annual medical check-up of staff and associated analyses required, complementary health insurance, schooling allowances and trainings.

4.2.2 Title 2

The JU will have to ensure that the working conditions of its staff comply with the standards of the EU institutions. To allow its staff to perform its work, the JU will need to be equipped with state-of-the-art office equipment and networking facilities, allowing using the standard IT toolchain of the EU programmes and institutions. As part of the activities of the JU, some meetings (like community workshops) are likely to require big rooms that will have to be rented. There will be also the costs of office supplies, correspondence and telecommunications, as well as the running costs related to the

operational activities – auditing, legal assistance, communication; the costs related to the evaluation, selection and review of projects.

4.2.3 Title 3

The main purpose of the Joint Undertaking is the indirect implementation of EU budget in the field of High Performance Computing.

In 2021, the EuroHPC Joint Undertaking will implement the R&I actions in the context of Horizon 2020, and in particular in the area of Information and Communication Technologies: the Extreme Scale Technologies and Applications; Advanced pilots towards the European supercomputers; Pilot on quantum simulator; European Processor Initiative; Training and Education on High Performance Computing.

The JU will also acquire the pre-exascale and petascale supercomputers. The acquisition process was launched in 2019 and will be concluded in 2020. After the acceptance testing, the JU will also cover the operating costs of the pre-exascale supercomputers.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
TOTAL										

5.1.2 Current building(s) Other comments

5.1.3 Building projects in the planning phase

The Drosbach building [situated 12E Rue Guillaume Kroll, LU-1882 Luxembourg] has been proposed by Luxembourg authorities. Negotiations with the hosting country are ongoing. There will be no lease charges until 2026.

5.1.4 Building projects submitted to the European Parliament and the Council

As stated in the article 1 of the Council Regulation (EU) 2018/1488, the seat of the EuroHPC Joint Undertaking shall be located in Luxembourg. Negotiations with the hosting country on the building for the EuroHPC JU are ongoing.

5.2 Evaluation

5.3 Privileges and immunities

Joint undertaking privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
	As stated in the article 18 of the Council Regulation (EU) 2018/1488 setting up the EuroHPC Joint Undertaking, the Protocol on the Privileges and Immunities of the European Communities applies to the EuroHPC Joint Undertaking and its staff.	

6 Budget Outturn

6.1 Calculation budget outturn

Budget outturn	2017	2018	2019
Revenue actually received (+)			
Payments made (-)			
Carryover of appropriations (-)			
Cancellation of appropriations carried over (+)			
Exchange rate differences (+/-)			
TOTAL			

6.2 Cancellation of appropriations

6.2.1 Cancellation of commitment appropriations

6.2.2 Cancellation of payment appropriations for the year

6.2.3 Cancellation of payment appropriations carried over

6.3 Justification

6.3.1 Budget outturn

6.3.2 Cancellation appropriations

1 Overview**1.1 Creation/modification (legal base)**

Decision	Date	Mission/ Tasks / Functions
<p>Council Regulation (EC) No. 74/2008 on the establishment of ARTEMIS Joint Undertaking to implement a Joint Technology Initiative in Embedded Computing Systems (OJ L 30/52, 04/02/2008).</p> <p>Council Regulation 72/2008 setting up the ENIAC Joint Undertaking (OJ L 30/21, 04/02/2008)</p>	<p>20/12/2007</p> <p>20/12/2007</p>	<p>The ARTEMIS JTI on Embedded Computing Systems will contribute to the implementation of the Seventh Framework Programme and the Theme "Information and Communication Technologies" of the Specific Programme "Cooperation". In particular, the ARTEMIS JTI will define and implement a "Research Agenda" for the development of key technologies for embedded computing systems across different application areas in order to strengthen European competitiveness and allow the emergence of new markets and societal applications. The ARTEMIS JTI will address the design, development and deployment of ubiquitous, interoperable and cost-effective, powerful, safe and secure electronic and software systems, delivering reference designs and architectures that offer common architectural approaches for given ranges of applications, middleware that allows seamless connectivity and interoperability and integrated system design methods and tools for rapid development and prototyping. The JTI also increases the leverage effect of the EU's contribution on R&D effort (national and private) and provides a more efficient and reliable R&D and innovation framework that removes the budget uncertainty, streamlines procedures and shortens time-to-contract.</p> <p>The ENIAC JTI on Nanoelectronics contributes to the implementation of the Seventh Framework Programme and the Theme "Information and Communication Technologies" of the Specific Programme "Cooperation". In particular, the ENIAC JTI defines and implements a "Research Agenda" for the development of key technologies for nanoelectronics based systems across different application areas in order to strengthen European competitiveness and allow the emergence of new markets and societal applications. The ENIAC JTI addresses the design, development and deployment of nanoelectronics components in key lead markets as well as addresses all supporting technologies, processes, design tools, equipment, materials and manufacturing along the whole food chain to produce and design these components and integrate them in larger systems. The JTI also increases the leverage effect of the EU's contribution on R&D effort (national and private) and provides a more efficient and reliable R&D and innovation framework that removes the budget uncertainty, streamlines procedures and shortens time-to-contract.</p>
<p>Council Regulation 561/2014 of 6 May 2014 setting up the ECSEL Joint Undertaking (OJ L 169/152)</p>	<p>06/05/2014</p>	<p>The ECSEL Joint Undertaking shall have the following objectives:</p> <p>(a) to contribute to the implementation of Regulation (EU) No 1291/2013 establishing the Horizon 2020 — The Framework Programme for Research and Innovation (2014-2020) and in particular part II of Decision No 2013/743/EU of the Council of 3 December 2013 establishing the Specific Programme implementing Horizon 2020 (2014-2020);</p> <p>(b) to contribute to the development of a strong and globally competitive electronics components and systems industry in the Union;</p> <p>(c) to ensure the availability of electronic components and systems for key markets and for addressing societal challenges, aiming at keeping Europe at the forefront of technology development, bridging the gap between research and exploitation, strengthening innovation capabilities and creating economic and employment growth in the Union;</p> <p>(d) to align strategies with Member States to attract private investment and contribute to the effectiveness of public support by avoiding unnecessary duplication and fragmentation of efforts, and easing participation for actors involved in research and innovation;</p> <p>(e) to maintain and grow semiconductor and smart system manufacturing capability in Europe, including leadership in manufacturing equipment and materials processing;</p> <p>(f) to secure and strengthen a commanding position in design and systems engineering including embedded technologies;</p> <p>(g) to provide access for all stakeholders to a world-class infrastructure for</p>

		the design and manufacture of electronic components and embedded/cyber-physical and smart systems; (h) to build a dynamic ecosystem involving Small and Medium-Sized Enterprises (SMEs), thereby strengthening existing clusters and nurturing the creation of new clusters in promising new areas.
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1.2 Seat

Brussels

1.3 Budget line

01 02 99 01 : Completion of previous research programmes (prior to 2021)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	14	14	100,00%	14	14
Assistants (AST)					
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS	14	14	100,00%	14	14
Contract Agents (CA)	16	16	100,00%	16	16
Seconded National Experts (SNE)	1		0,00%	1	1
TOTAL STAFF	31	30	96,77%	31	31

1.5 Financial Resources Overview

1.5.1 Revenues Overview

REVENUES	2020	2021
	Revenues estimated by the agency	Budget Forecast
EU contribution	201 342 169	p.m.
Other Revenue	7 703 242	2 996 963
TOTAL REVENUES	209 045 411	2 996 963

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	3 520 000	3 520 000	3 476 000	3 476 000
Title 2 - Infrastructure and operating expenditure	1 630 000	1 630 000	1 371 000	1 371 000
Title 3 - Operational expenditure	203 895 411	217 958 500		200 004 038
TOTAL EXPENDITURE	209 045 411	223 108 500	4 847 000	204 851 038

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15								1		
AD 14		1		1		1				1
AD 13						1		2		1
AD 12		2 (1)		3		3		2		3
AD 11		2 (2)		1		1		2		1
AD 10		(3)		1		2		3		3
AD 9		6		6		5		4		5
AD 8		3 (4)		2		1				
AD 7										
AD 6										
AD 5										
AD TOTAL		14		14		14		14		14
AST 11										
AST 10										
AST 9										
AST 8										
AST 7										
AST 6										
AST 5										
AST 4										
AST 3										
AST 2										
AST 1										
AST TOTAL										
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		14		14		14		14		14
GRAND		14		14		14		14		14

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
TOTAL										

- (1) As per second amending budget 2019 (GB Decision 2019.130), 3 AD 12 authorised
(2) As per second amending budget 2019 (GB Decision 2019.130), 1 AD 11 authorised
(3) As per second amending budget 2019 (GB Decision 2019.130), 1 AD 10 authorised
(4) As per second amending budget 2019 (GB Decision 2019.130), 2 AD 8 authorised

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	5 (1)	2	5	5
Function Group III	10 (2)	9	10	10
Function Group II	1 (3)	5	1	1
Function Group I				
TOTAL	16	16	16	16

- (1) As per second amending budget 2019 (GB Decision 2019.130), 4 FG IV authorised
(2) As per second amending budget 2019 (GB Decision 2019.130), 8 FG III authorised
(3) As per second amending budget 2019 (GB Decision 2019.130), 4 FG II authorised

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	1		1	1

3 Financial Resources

3.1 Revenues

REVENUES	Revenues				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	190 010 000	201 342 169	1 806 500	p.m.	-100%
- Of which Administrative (Title 1 and Title 2)	2 010 000	2 245 000	1 806 500	p.m. (1)	-100%
- Of which Operational (Title 3)	188 000 000	199 097 169			-100%
- Of which funding of European schools Type 2					
3 THIRD COUNTRIES CONTRIBUTION	4 522 238	4 844 635	43 537	p.m.	-100%

REVENUES	Revenues		
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CONTRIBUTIONS	2019 (executed)	2020	2021
EU budget (including EFTA)(1)	194 532 238	206 186 804 00	1 850 037
Private members	3 142 162	2 858 607	2 996 963
In kind contributions(2)	273 624 477	273 624 477	273 624 477

	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
(incl. EEA/EFTA and candidate countries)					
<i>- Of which EEA/EFTA (excl. Switzerland)</i>	4 522 238	4 844 635	43 537	<i>p.m.</i>	-100%
<i>- Of which candidate countries</i>					
4 OTHER CONTRIBUTIONS	3 142 162	2 858 607	2 996 963	2 996 963	4,84%
5 ADMINISTRATIVE OPERATIONS					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
8 INTERESTS GENERATED					
9 UNUSED APPROPRIATIONS FROM PREVIOUS YEARS	5 858 519				
From year N-1	5 858 519				
<i>- Of which Administrative</i>	125 000				
<i>- Of which Operational</i>	5 733 519				
From year N-2					
<i>- Of which Administrative</i>					
<i>- Of which Operational</i>					
From year N-3					
<i>- Of which Administrative</i>					
<i>- Of which Operational</i>					
TOTAL	203 532 919	209 045 411	4 847 000	2 996 963	-98,57%

(1) The EU contribution to the JU running costs related to the completion activities for the years 2021-2024 was included in the EU budget in 2020.

3.2 Financial contributions from EU budget and the other partners and in kind contributions

(1) The 2020 EU contribution for administrative costs includes a cash frontloading of EUR 320 000 paid to the JU on December 2018, as per ECSEL GB Decision 2018.113 on amending the JU's budget for year 2018 for the second time. This cash frontloading refers to a prepayment of EUR 1 000 000 (EUR 320 000.00 from EU and EUR 680 000.00 from private members/Industry Associations) cashed by ECSEL JU on December 2018 which has not however been entered in ECSEL JU budget for year 2018 neither as revenue, nor as expenditure, not increasing thus the administrative budget for year 2018. This prepayment of EUR 1 000 000 has been included in the 2018 Annual Accounts as deferred income (p.20 of the Annual Accounts of ECSEL JU for the financial year 2018). As far as the Industry Associations cash frontloading of EUR 680 000 is concerned, this amount was regularised in financial year 2019. As far as the EU cash frontloading of EUR 320 000 is concerned, this amount was a cash frontloading from the EU Budget 2020 and shall be regularised in financial year 2020. As a consequence, in 2020, ECSEL JU will recover from EU only the amount of EUR 1 971 393.

(2) Indicative amounts for 2020 and 2021.

3.3 Expenditure

3.3.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	3 428 000	3 520 000	3 476 000	3 476 000	-1,25%
Salaries & allowances	3 255 000	3 330 000	3 330 000	3 330 000	0,00%
- Of which establishment plan posts	2 000 000	2 030 000	2 030 000	2 030 000 (1)	0,00%
- Of which external personnel	1 255 000	1 300 000	1 300 000	1 300 000	0,00%
Expenditure relating to Staff recruitment	3 500	10 000			-100%
Mission expenses	89 000	105 000	80 000	80 000	-23,81%
Socio-medical infrastructure	80 500	75 000	66 000	66 000	-12,00%
Training					
External Services					
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 897 000	1 630 000	1 371 000	1 371 000	-15,89%
Rental of buildings and associated costs	505 500	510 000	510 000	510 000	0,00%
Information, communication technology and data processing	326 000	310 000	300 000	300 000	-3,23%
Movable property and associated costs	2 000	3 000			-100%
Current administrative expenditure	70 000	72 000	72 000	72 000	0,00%
Postage / Telecommunications	15 000	15 000	15 000	15 000	0,00%
Meeting expenses	36 200	40 000	38 000	38 000	-5,00%
Running costs in connection with operational activities	523 600	500 000	270 000	270 000	-46,00%
Information and publishing	354 000	114 000	100 000	100 000	-12,28%
Studies					
Other infrastructure and operating expenditure	64 700	66 000	66 000	66 000	0,00%
Title 3 - Operational expenditure	198 207 919	203 895 411			-100%
TOTAL	203 532 919	209 045 411	4 847 000	4 847 000	-97,68%

(1) The amounts mentioned in the table shows the commitments on the JU side for 2021. The EU contribution to the JU running costs for 2021 was included in the EU budget in 2020.

3.3.2 Payment appropriations

EXPENDITURE	Payment appropriations			
	Executed Budget	Budget 2020	Draft Budget 2021	VAR

	2019		Joint undertaking request	Budget forecast	2021/2020 (%)
Title 1 - Staff expenditure	3 436 457	3 520 000	3 476 000	3 476 000	-1,25%
Salaries & allowances	3 260 151	3 330 000	3 330 000	3 330 000	0,00%
- Of which establishment plan posts	1 994 851	2 030 000	2 030 000	2 030 000	0,00%
- Of which external personnel	1 265 300	1 300 000	1 300 000	1 300 000	0,00%
Expenditure relating to Staff recruitment	5 651	10 000			-100%
Mission expenses	95 969	105 000	80 000	80 000	-23,81%
Socio-medical infrastructure	74 686	75 000	66 000	66 000	-12,00%
Training					
External Services					
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	1 683 837	1 630 000	1 371 000	1 371 000	-15,89%
Rental of buildings and associated costs	501 779	510 000	510 000	510 000	0,00%
Information, communication technology and data processing	253 443	310 000	300 000	300 000	-3,23%
Movable property and associated costs	1 444	3 000			-100%
Current administrative expenditure	62 683	72 000	72 000	72 000	0,00%
Postage / Telecommunications	12 077	15 000	15 000	15 000	0,00%
Meeting expenses	49 531	40 000	38 000	38 000	-5,00%
Running costs in connection with operational activities	506 983	500 000	270 000	270 000	-46,00%
Information and publishing	256 252	114 000	100 000	100 000	-12,28%
Studies					
Other infrastructure and operating expenditure	39 645	66 000	66 000	66 000	0,00%
Title 3 - Operational expenditure	181 988 692	217 958 500 (1)	200 004 038 (2)	200 004 038 (3)	-8,24%
TOTAL	187 108 986	223 108 500	204 851 038	204 851 038	-8,18%

(1) H2020: EU contribution EUR 189 458 500 ECSEL unused appropriations EUR 0 FP7: EU contribution EUR 0 ECSEL unused appropriations EUR 28 500 000

(2) H2020: EU contribution EUR 120 004 038 ECSEL unused appropriations EUR 70 000 000 FP7: EU contribution EUR 0 ECSEL unused appropriations EUR 10 000 000

(3) This amount includes an EU contribution for 2021 of 120 004 038 EUR. The additional 80 000 000 EUR are unused appropriations from previous years.

3.4 Budget Outturn

First estimate of the 2019 surplus that remains within the joint undertaking: EUR - 14 192 000

(As provided by BUDG.DGA1.C.6 in the context of the preparation of the Annual Accounts 2019).

4 Justification of needs

Commission assessment

Human Resources

The resources proposed are in line with the resources authorised in 2020. The proposed number of CA's is kept the same as in 2020.

Financial Resources

The requested payment appropriations are inferior to the amount proposed in the LFS (Proposal COM (2013)0501) because the JU will use additional 80 M EUR of unused appropriations to cover the totality of the needs for 2021.

4.1 Human Resources - Joint Undertaking Request

4.1.1 Number of staff requested

ECSEL JU is not requesting any new post.

The change from CA FGII to FGIII is justified by the fact that within ECSEL JU no FGII staff member is currently assigned secretarial tasks exclusively. All FG II and FG III contract agents are currently assigned equivalent tasks.

4.1.2 Vacancy rate as of end 2019

The vacancy rate at the end of 2019 is 6,25% [2 out of 31: 1 SNE (non-successful recruitment) and 1 CA (retirement)].

4.1.3 Standard abatement ('abatement forfaitaire') applied

N/A

4.1.4 Salary assumption for calculating salary line (% applied)

The estimation of the cost of human resources is based on the actual staff costs at ECSEL JU. The budget appropriations covering staff expenditure for year 2021 are based on the estimate (average Full Time Equivalents on a yearly basis) of 14 temporary agents, 16 contract agents and 1 SNE. Remuneration and social costs are estimated in accordance with the EU staff regulations and rules applicable, including pension rights.

4.1.5 Correction coefficient used

N/A

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - joint Undertaking Request

4.2.1 Title 1

STAFF

A-1100 – Salaries and allowances

This appropriation is intended to cover the cost of remuneration of temporary and contract staff in accordance with the Staff Regulations. It also covers the costs of the employer's social security contributions in accordance with the applicable Staff Regulations, as well the cost of non-statutory staff like interim and trainees who are contracted for a short period. The increase entered already in budget 2020 was for the one part justified by the new contribution agreement signed with DG HR concerning the financing by ECSEL JU of the schooling fees of its staff's children attending European Schools and for the other part by the staff seniority.

A-1200 – Recruitment & transfer

This chapter covers the recruitment costs for new staff as well as expenditure foreseen in the relevant provisions of the Staff Regulations, e.g. installation allowances for staff changing residence after taking up duties or when they cease definitively their duties and settle elsewhere and the daily subsistence allowances due to staff able to prove that they were obliged to change their place of residence after taking up duties. In the context of winding-up of Horizon 2020 and thus ECSEL JU, no recruitment needs are expected for 2021.

A-1300 – Mission expenses

The missions' appropriation is intended to cover expenditure on transport, payment of daily mission allowances and ancillary or exceptional expenses incurred by staff in interest of the service, in accordance with the Staff Regulations. In the context of winding-up of Horizon 2020 and thus ECSEL JU, staff missions for 2021 are expected to decrease.

A-1400 – Socio-medical infrastructure & training

This appropriation relates to costs of the annual medical check-up of staff members and the complementary health insurance. Under this chapter are also covered the costs for the staff training and the HR tools under the SLA with DG HR. In the context of winding-up of Horizon 2020 and thus ECSEL JU, staff trainings for 2021 are expected to decrease.

4.2.2 Title 2

RUNNING COSTS

A-2000 – Buildings and associated costs

The JU is operating since 2011 in its premises located in the White Atrium building, 60 Avenue de la Toison d'Or in Brussels. This office location is shared with five other JUs in order to minimise maintenance costs and share a number of expenses, such as security and safety of staff and installations, cleaning and maintenance. Common space shared by JUs in that location has been augmented from the end of year 2014 to offer more possibilities for meetings. In 2021, the rental costs are estimated to remain at the same level as in 2020.

A-2100 – Information and communication technology

This chapter covers the cost for IT infrastructure, service management contract and equipment of ECSEL JU, as well the SLAs costs related to services provided by the Commission, such as ABAC and ARES costs, DIGIT procurement fees. In 2021, the total costs for all these services are estimated to remain at the same level as in 2020.

A-2200 – Movable property and associated costs

This chapter relates to purchase of furniture, office equipment and archiving facilities. In the context of the winding-up of Horizon 2020 and thus ECSEL JU, no needs are expected in 2021.

A-2300 – Current administrative expenditure

Under this appropriation are covered the costs related to office supplies and translations and as of 2019, the costs for Accounting Services under the SLA signed in 2018 with DG BUDG are included as well. In 2021, these costs are estimated to remain at the same level as in 2020.

A-2400 – Postage / Telecommunications

This chapter relates to the costs for internet connections and telecommunications services (including for replacement and upgrade) which are expected to remain stable in 2021.

A-2500 – Meetings and representation

The chapter has been included in the budget structure from year 2018 in order to cover the costs of meetings that are taking place inside or outside of the JU premises. Under this chapter are also covered the costs of the Governing Board and the Public Authorities Board meetings. In 2021, the number of meetings is expected to remain at the same level as in 2020.

A-2600 – Evaluations

Under this appropriation are covered all the costs related to the selection and evaluation of projects, as well as the costs for the remuneration of evaluation experts for the calls launched under H2020 programme. In the context of the winding-up of Horizon 2020 and thus ECSEL JU, no evaluations are expected to take place in 2021.

A-2602 – Reviews

This chapter covers the costs of reviews for the projects selected under both H2020 and FP7 programmes. In the context of the winding-up of Horizon 2020 and thus ECSEL JU, a slight increase due to additional needs for reviews is expected in 2021.

A-2700 – Innovation

As of 2018, activities related to innovation are now included in the chapter 28.

A- 2800 – Communication

In the context of the winding-up of Horizon 2020 and thus ECSEL JU, communication activities in 2021 are expected decrease.

A-2900 – Audits

This appropriation covers external and internal audits needs, legal assistance and related costs for actions initiated under FP7 as well as under H2020. In 2021, the needs are estimated to remain at the same level as in 2020.

4.2.3 Title 3

SELECTED PROJECTS AFTER ANNUAL CALLS

B-3100 – FP7 Projects

This shall exclusively cover costs related to payments of FP7 projects.

B-3100 – H2020 Projects

This shall exclusively cover costs related to payments for H2020 projects.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	White Atrium	Brussels	1 538	32	1 570	530 000	Until 2024	Usufruit	BE	
TOTAL			1 538	32	1 570	530 000				

5.1.2 Current building(s) Other comments

N/A

5.1.3 Building projects in the planning phase

N/A

5.1.4 Building projects submitted to the European Parliament and the Council

N/A

5.2 Evaluation

N/A

5.3 Privileges and immunities

Joint undertaking privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
The ENIAC JU and ARTEMIS JU are granted with the benefit of the provisions listed in the Protocol on the Privileges and Immunities of the European Communities, and have signed with Belgium an Headquarters agreement.	As stated in the article 8 of the Council Regulation setting up the ENIAC (72/2008 of 20/12/2007) and the Artemis JU (74/2008 of 20/12/2007), the Protocol on the Privileges and Immunities of the European Communities applies to the ENIAC JU and the ARTEMIS JU and their staff. On 2 February 2012, a Headquarters agreement has been signed with Belgium, in accordance with the provisions of Article 17 of Council Regulation setting up the ENIAC (72/2008 of 20/12/2007).	N/A

6 Budget Outturn

6.1 Calculation budget outturn

Budget outturn	2017	2018	2019
Revenue actually received (+)	288 272 469	223 895 000	172 917 000
Payments made (-)	-240 640 688	-193 542 000	-187 109 000
Carryover of appropriations (-)	-510 468		
Cancellation of appropriations carried over (+)	439 699		
Exchange rate differences (+/-)			
TOTAL	47 561 012	30 353 000	-14 192 000

6.2 Cancellation of appropriations

6.2.1 Cancellation of commitment appropriations

EUR 0

6.2.2 Cancellation of payment appropriations for the year

EUR 6 181 000

6.2.3 Cancellation of payment appropriations carried over

EUR 38 866 000

6.3 Justification

6.3.1 Budget outturn

Budget Accounts 2019 report as provided by DG BUDG in the context of the preparation of Annual Accounts 2019.

6.3.2 Cancellation appropriations

Budget Accounts 2019 as provided by DG BUDG in the context of the preparation of Annual Accounts 2019.

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission / Tasks / Functions
<p>COM(2018) 630 final</p> <p>Proposal for a</p> <p>REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL</p> <p>establishing the European Cybersecurity Industrial, Technology and Research Competence Centre and the Network of National Coordination Centres</p>		<p>According to articles 3 and 4 of the proposal for Regulation the Cybersecurity competence centre has the following mission and tasks:</p> <p>Mission of the Centre and the Network</p> <p>1. The Competence Centre and the Network shall help the Union to: (a) retain and develop the cybersecurity technological and industrial capacities necessary to secure its Digital Single Market; (b) increase the competitiveness of the Union's cybersecurity industry and turn cybersecurity into competitive advantage of other Union industries.</p> <p>2. The Competence Centre shall undertake its tasks, where appropriate, in collaboration with the Network of National Coordination Centres and a Cybersecurity Competence Community.</p> <p>The Competence Centre shall have the following objectives and related tasks:</p> <p>1. facilitate and help coordinate the work of the National Coordination Centres Network ('the Network') referred to in Article 6 and the Cybersecurity Competence Community referred to in Article 8;</p> <p>2. contribute to the implementation of the cybersecurity part of the Digital Europe Programme established by Regulation No XXX26 and in particular actions related to Article 6 of Regulation (EU) No XXX [Digital Europe Programme] and of the Horizon Europe Programme established by Regulation No XXX27 and in particular Section 2.2.6 of Pillar II of Annex I. of Decision No XXX on establishing the specific programme implementing Horizon Europe – the Framework Programme for Research and Innovation[ref. number of the Specific Programme]. and of other Union programmes when provided for in legal acts of the Union];</p> <p>3. enhance cybersecurity capabilities, knowledge and infrastructures at the service of industries, the public sector and research communities, by carrying out the following tasks: (a) having regard to the state-of-the-art cybersecurity industrial and research infrastructures and related services , acquiring, upgrading, operating and making available such infrastructures and related services to a wide range of users across the Union from industry including SMEs, the public sector and the research and scientific community; (b) having regard to the state-of-the-art cybersecurity industrial and research infrastructures and related services, providing support to other entities, including financially, to acquiring, upgrading, operating and making available such infrastructures and related services to a wide range of users across the Union from industry including SMEs, the public sector and the research and scientific community; (c) providing cybersecurity knowledge and technical assistance to industry and public authorities, in particular by supporting actions aimed at facilitating access to the expertise available in the Network and the Cybersecurity Competence Community;</p> <p>4. contribute to the wide deployment of state-of-the-art cyber security products and solutions across the economy, by carrying out the following tasks: (a) stimulating cybersecurity research, development and the uptake of Union cybersecurity products and solutions by public authorities and user industries; (b) assisting public authorities, demand side industries and other users in adopting and integrating the latest cyber security solutions; (c) supporting in particular public authorities in organising their public procurement, or carrying out procurement of state-of-the-art cybersecurity products and solutions on behalf of public authorities; (d) providing financial support and technical assistance to cybersecurity start-ups and SMEs to connect to potential markets and to attract investment;</p> <p>5. improve the understanding of cybersecurity and contribute to reducing</p>

		<p>skills gaps in the Union related to cybersecurity by carrying out the following tasks: (a) supporting further development of cybersecurity skills , where appropriate together with relevant EU agencies and bodies including ENISA.</p> <p>6. contribute to the reinforcement of cybersecurity research and development in the Union by: (a) providing financial support to cybersecurity research efforts based on a common, continuously evaluated and improved multiannual strategic, industrial, technology and research agenda; (b) support large-scale research and demonstration projects in next generation cybersecurity technological capabilities, in collaboration with the industry and the Network; (c) support research and innovation for standardisation in cybersecurity technology</p> <p>7. enhance cooperation between the civil and defence spheres with regard to dual use technologies and applications in cybersecurity, by carrying out the following tasks: (a) supporting Member States and industrial and research stakeholders with regard to research, development and deployment; (b) contributing to cooperation between Member States by supporting education, training and exercises ; (c) bringing together stakeholders, to foster synergies between civil and defence cyber security research and markets;</p> <p>8. enhance synergies between the civil and defence dimensions of cybersecurity in relation to the European Defence Fund by carrying out the following tasks: (a) providing advice, sharing expertise and facilitating collaboration among relevant stakeholders; (b) managing multinational cyber defence projects, when requested by Member States, and thus acting as a project manager within the meaning of Regulation XXX [Regulation establishing the European Defence Fund].</p>
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1.2 Seat

[Brussels, Belgium]

1.3 Budget line

01 02 02 31 : Cluster Civil Security for society — Cybersecurity Centre joint undertaking (CYBER)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)					10
Assistants (AST)					
Assistants/Secretaries (AST/SC)					
ESTABLISHMENT PLAN POSTS					10
Contract Agents (CA)					26
Seconded National Experts (SNE)					1
TOTAL STAFF					37

1.5 Financial Resources Overview

1.5.1 Revenues Overview

REVENUES	2020	2021
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	Revenues estimated by the agency	Budget Forecast
EU contribution		284 972 124
Other Revenue		7 694 247
TOTAL REVENUES		292 666 371

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure			635 713	635 713
Title 2 - Infrastructure and operating expenditure			635 713	635 713
Title 3 - Operational expenditure			291 394 945	20 528 339
TOTAL EXPENDITURE			292 666 371	21 799 765

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14								1		1
AD 13										
AD 12										
AD 11										
AD 10										
AD 9								5		5
AD 8								1		1
AD 7								1		1
AD 6								1		1
AD 5								1		1
AD TOTAL								10		10
AST 11										
AST 10										
AST 9										
AST 8										
AST 7										
AST 6										
AST 5										

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 4										
AST 3										
AST 2										
AST 1										
AST TOTAL										
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL								10		10
GRAND TOTAL								10		10

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV				20
Function Group III				2
Function Group II				4
Function Group I				
TOTAL				26

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL				1

3 Financial Resources

3.1 Revenues

REVENUES	Revenues			
	Executed Budget	Budget 2020	Draft Budget 2021	VAR

	2019		Joint undertaking request	Budget forecast	2021/2020 (%)
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION			284 972 124	284 972 124	100%
- Of which Administrative (Title 1 and Title 2)			1 238 000 (1)	1 238 000	100%
- Of which Operational (Title 3)			283 734 124	283 734 124	100%
- Of which funding of European schools Type 2					
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)			7 694 247	7 694 247	100%
- Of which EEA/EFTA (excl. Switzerland)			7 694 247	7 694 247	100%
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
8 INTERESTS GENERATED					
9 UNUSED APPROPRIATIONS FROM PREVIOUS YEARS					
From year N-1					
- Of which Administrative					
- Of which Operational					
From year N-2					
- Of which Administrative					
- Of which Operational					
From year N-3					
- Of which Administrative					
- Of which Operational					
TOTAL			292 666 371	292 666 371	100%

(1) This amount includes only the contribution coming from Digital Europe Programme.

3.2 Financial contributions from EU budget and the other partners and in kind contributions

3.3 Expenditure

3.3.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure			635 713	635 713	100%
Salaries & allowances			330 000	330 000	100%
- Of which establishment plan posts			165 000	165 000 (1)	100%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
<i>- Of which external personnel</i>			165 000	165 000	100%
Expenditure relating to Staff recruitment			305 713	305 713	100%
Mission expenses					
Socio-medical infrastructure					
Training					
External Services					
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure			635 713	635 713	100%
Rental of buildings and associated costs					
Information, communication technology and data processing			444 795	444 795	100%
Movable property and associated costs					
Current administrative expenditure			1 500	1 500	100%
Postage / Telecommunications					
Meeting expenses			34 000	34 000	100%
Running costs in connection with operational activities					
Information and publishing			1 500	1 500	100%
Studies					
Other infrastructure and operating expenditure			153 918	153 918	100%
Title 3 - Operational expenditure			291 394 945	291 394 945	100%
TOTAL			292 666 371	292 666 371	100%

(1) All the amounts include only the contribution from the Digital Europe Programme.

3.3.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure			635 713	635 713	100%
Salaries & allowances			330 000	330 000	100%
<i>- Of which establishment plan posts</i>			165 000	165 000 (1)	100%
<i>- Of which external personnel</i>			165 000	165 000	100%
Expenditure relating to Staff recruitment			305 713	305 713	100%
Mission expenses					
Socio-medical infrastructure					

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Training					
External Services					
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure			635 713	635 713	100%
Rental of buildings and associated costs					
Information, communication technology and data processing			444 795	444 795	100%
Movable property and associated costs					
Current administrative expenditure			1 500	1 500	100%
Postage / Telecommunications					
Meeting expenses			34 000	34 000	100%
Running costs in connection with operational activities					
Information and publishing			1 500	1 500	100%
Studies					
Other infrastructure and operating expenditure			153 918	153 918	100%
Title 3 - Operational expenditure			20 528 339	20 528 339	100%
TOTAL			21 799 765	21 799 765	100%

(1) All the amounts include only the contribution from the Digital Europe Programme.

3.4 Budget Outturn

First estimate of the 2019 surplus that remains within the joint undertaking: EUR

4 Justification of needs

Commission assessment

Human Resources

The human resources requested are in line with the LFS of the proposal COM(2018) 630 final.

Financial Resources

At this stage is not possible to establish the full financial contribution to the Competence Centre because the contribution coming from HE programme is to be determined. Therefore, the amounts mentioned in the agency statement include only the contribution from the Digital Europe Programme.

4.1 Human Resources - Joint Undertaking Request

4.1.1 Number of staff requested

4.1.2 Vacancy rate as of end 2019

4.1.3 Standard abatement ('abatement forfaitaire') applied

4.1.4 Salary assumption for calculating salary line (% applied)

4.1.5 Correction coefficient used

4.1.6 Exchange rate used (if applicable)

4.2 Financial Resources - joint Undertaking Request

4.2.1 Title 1

4.2.2 Title 2

4.2.3 Title 3

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
TOTAL										

5.1.2 Current building(s) Other comments

5.1.3 Building projects in the planning phase

5.1.4 Building projects submitted to the European Parliament and the Council

5.2 Evaluation

5.3 Privileges and immunities

Joint undertaking privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care

Joint undertaking privileges	Privileges granted to staff	

6 Budget Outturn

6.1 Calculation budget outturn

Budget outturn	2017	2018	2019
Revenue actually received (+)			
Payments made (-)			
Carryover of appropriations (-)			
Cancellation of appropriations carried over (+)			
Exchange rate differences (+/-)			
TOTAL			

6.2 Cancellation of appropriations

6.2.1 Cancellation of commitment appropriations

6.2.2 Cancellation of payment appropriations for the year

6.2.3 Cancellation of payment appropriations carried over

6.3 Justification

6.3.1 Budget outturn

6.3.2 Cancellation appropriations

2.2 Fusion for Energy (F4E)

1 Overview

1.1 Creation/modification (legal base)

Decision	Date	Mission/ Tasks / Functions
Council Decision (EURATOM) n° 198/2007 establishing the European Joint Undertaking for ITER and the Development of Fusion Energy and conferring advantages upon it (OJ L 90/58)	27/03/2007	The European Joint Undertaking for ITER and the Development of Fusion Energy (F4E) is established in Barcelona, Spain, for a period of 35 years starting on 19 April 2007 with the main tasks of provision: (a) EURATOM contribution to ITER International Fusion Energy Organization and to the Broader Approach activities with Japan for the rapid realisation of fusion energy; (b) programme activities for DEMO construction (demonstration fusion reactor) incl. International Fusion Materials Irradiation Facility (IFMIF); (c) components, equipment, materials and other resources (incl. financial and human resources) to ITER Organisation and to Broader Approach; F4E is supervising the preparation of ITER project site in Cadarache (France) and the coordination of scientific and technological research and development activities in support of EURATOM contribution to ITER Organisation and to the Broader approach with Japan
Council Decision (EURATOM) n° 791/2013 amending Decision n° 2007/198 (OJ L 349/100)	13/12/2013	The purpose of this Council decision is to allow the financing of the activities carried out by the Joint Undertaking for the period 2014-2020.
Council Decision (EURATOM) n° 2015/224 amending Decision n° 2007/198 (OJ, L 37/8)	10/02/2015	The F4E legal base was amended in order to improve the management and the governance of the Joint Undertaking and to take into account the amendments to the EURATOM Treaty introduced by the Lisbon Treaty. The reference to the provisions on the Court of Justice was updated. Administration and Management Committee, Procurement and Contracts Committee and Bureau to assist the Governing Board were created.

1.2 Seat

Barcelona, Spain

1.3 Budget line

01 04 01 : Construction, operation and exploitation of the ITER facilities — European Joint Undertaking for ITER — Fusion for Energy (F4E)

01 04 99 01 : Completion of previous ITER programmes (prior to 2021)

1.4 Human Resources Overview

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
Administrators (AD)	245	230	93,88%	243	243
Assistants (AST)	38	43	113,16%	37	37
Assistants/Secretaries (AST/SC)					

Human Resources	2019			2020	2021
	Authorised Budget	Actually filled as of 31/12/2019	Occupancy rate(%)	Authorised Budget	Draft Budget Request
ESTABLISHMENT PLAN POSTS	283	273	96,47%	280	280
Contract Agents (CA)	178	165	92,70%	170	170
Seconded National Experts (SNE)	3	2	66,67%	3	3
TOTAL STAFF	464	440	94,83%	453	453

1.5 Financial Resources Overview

1.5.1 Revenues Overview

REVENUES	2020		2021	
	Revenues estimated by the agency		Budget Forecast	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
EU contribution	359 455 340	633 593 734	857 567 197	607 211 868
Other Revenue	513 968 080	186 100 000	221 050 000	165 600 000
TOTAL REVENUES	873 423 420	819 693 734	1 078 617 197	772 811 868

1.5.2 Expenditure Overview

Expenditure	2020		2021	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	52 007 284	52 007 284	54 775 000	54 775 000
Title 2 - Infrastructure and operating expenditure	7 938 700	7 938 700	8 533 000	8 533 000
Title 3 - Operational expenditure	813 477 436	759 747 750	1 015 309 197	709 503 868
TOTAL EXPENDITURE	873 423 420	819 693 734	1 078 617 197	772 811 868

2 Human Resources

2.1 Establishment plan posts

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15		1				1		1		1
AD 14	5	2		1	5	3	5	3	5	3
AD 13	14	7	9	6	14	9	13	10	13	10
AD 12	14	21	11	9	15	21	14	21	14	21
AD 11	3	23	5	21	2	27	2	29	2	29
AD 10		28	1	22		31		33		33

Function group and grade	2019				2020		2021			
	Authorised Budget		Actually filled as of 31/12/2019		Authorised Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 9		39	9	55		41		42		42
AD 8	1	37	1	32	1	33	1	33	1	33
AD 7	1	21	1	20	2	21	2	21	2	21
AD 6	2	25	1	26	1	16	1	12	1	12
AD 5		1								
AD TOTAL	40	205	38	192	40	203	38	205	38	205
AST 11	4		1		5		6		6	
AST 10	2				1					
AST 9	4		3		4		4	1	4	1
AST 8	1	1	2		1	2	1	2	1	2
AST 7		3		1		4		5		5
AST 6		9	1	5		9		9		9
AST 5		11	2	9		9		8		8
AST 4		3	2	8		2		1		1
AST 3			2	7						
AST 2										
AST 1										
AST TOTAL	11	27	13	30	11	26	11	26	11	26
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL	51	232	51	222	51	229	49	231	49	231
GRAND TOTAL	283		273		280		280		280	

2.2 External personnel

2.2.1 Contract Agents

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group IV	104	99	97	97
Function Group III	50	52	50	50
Function Group II	24	14	23	23

Contract agents	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
Function Group I				
TOTAL	178	165	170	170

2.2.2 Seconded National Experts

Seconded National Experts	Authorised 2019	Recruited as of 31/12/2019	2020 estimate	Draft Budget 2021 estimate
TOTAL	3	2	3	3

3 Financial Resources

3.1 Revenues

3.1.1 Revenues Commitment Appropriations

REVENUES COMMITMENT APPROPRIATIONS	Revenues Commitment Appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	403 538 332	359 455 340	922 213 174	857 567 197	138,57%
- Of which Administrative (Title 1 and Title 2)	49 517 000	52 781 500	62 483 826	62 483 826	18,38%
- Of which Operational (Title 3)	353 058 200	305 609 356	858 905 174	794 259 197	159,89%
- Of which recovery from previous years administrative	963 132	1 064 484	824 174	824 174	-22,58%
- Of which recovery from previous years operational					
3 THIRD PARTIES CONTRIBUTION	135 600 000	85 045 115	207 500 000	191 200 000	124,82%
- Of which ITER Host State contribution	130 000 000	78 945 115	201 000 000	184 700 000	133,96%
- Of which Membership contribution	5 600 000	6 100 000	6 500 000	6 500 000	6,56%
4 MISCELLANEOUS REVENUE	1 604 231	771 042			-100%
5 ADMINISTRATIVE OPERATIONS					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT	12 894 716	58 475 882	29 850 000	29 850 000	-48,95%
7 CORRECTION OF BUDGETARY IMBALANCES					
8 INTERESTS GENERATED					
9 UNUSED APPROPRIATIONS FROM PREVIOUS YEARS	176 071 166	369 676 041			-100%
From year N-1	176 071 166	369 676 041			-100%
- Of which Administrative					
- Of which Operational	176 071 166	369 676 041			-100%
From year N-2					
- Of which Administrative					
- Of which Operational					

REVENUES COMMITMENT APPROPRIATIONS	Revenues Commitment Appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
From year N-3					
- Of which Administrative					
- Of which Operational					
TOTAL	729 708 445	873 423 420	1 159 563 174	1 078 617 197	23,49%

3.1.2 Revenues Payment Appropriations

REVENUES PAYMENT APPROPRIATIONS	Revenues Payment Appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	569 253 760	633 593 734	627 820 000	607 211 868	-4,16%
- Of which Administrative (Title 1 and Title 2)	49 517 000	52 781 500	62 483 826	62 483 826	18,38%
- Of which Operational (Title 3)	502 500 568	579 495 500	564 512 000	543 903 868	-6,14%
- Of which recovery from previous years administrative	963 132	1 064 484	824 174	824 174	-22,58%
- Of which recovery from previous years operational	16 273 060	252 250			-100%
3 THIRD PARTIES CONTRIBUTION	150 600 000	156 100 000	135 600 000	135 600 000	-13,13%
- Of which ITER Host State contribution	145 000 000	150 000 000	129 100 000	129 100 000	-13,93%
- Of which Membership contribution	5 600 000	6 100 000	6 500 000	6 500 000	6,56%
4 MISCELLANEOUS REVENUE	1 604 231				
5 ADMINISTRATIVE OPERATIONS					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT	7 414 845	13 367 718	30 000 000	30 000 000	124,42%
7 CORRECTION OF BUDGETARY IMBALANCES					
8 INTERESTS GENERATED					
9 UNUSED APPROPRIATIONS FROM PREVIOUS YEARS	32 314 864	16 632 282			-100%
From year N-1	32 314 864	16 632 282			-100%
- Of which Administrative	5 461 798				
- Of which Operational	26 853 066	16 632 282			-100%
From year N-2					
- Of which Administrative					
- Of which Operational					
From year N-3					
- Of which Administrative					
- Of which Operational					
TOTAL	761 187 700	819 693 734	793 420 000	772 811 868	-5,72%

3.2 Financial contributions from EU budget and the other partners and in kind contributions

The F4E budget is composed of contributions from EURATOM, France as ITER Host State, and the F4E Members (EURATOM members and Switzerland). F4E receives additional contributions from ITER Organisation (IO) for the implementation of the changes in the ITER procurement at IO request (mainly Reserve Fund). The source of F4E revenue is almost constant from one year to the other. For 2019, the main contributors to F4E budget were the EURATOM (79.5 %) and ITER Host State (17.1 %), F4E members (0.6 %), Reserve Fund and miscellaneous revenue (2.8 %). There is no in-kind contribution to the F4E Budget, except the premises hosting the Joint Undertaking provided by the Spain free of charge. For the year 2019, this service in-kind amounts to about MEUR 2.9.

3.3 Expenditure

3.3.1 Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	50 069 918	52 007 284	54 775 000	54 775 000	5,32%
Salaries & allowances	45 110 444	46 887 284	49 366 000	49 366 000	5,29%
- Of which establishment plan posts	34 305 039	35 298 784	37 198 000	37 198 000	5,38%
- Of which external personnel	10 805 405	11 588 500	12 168 000	12 168 000	5,00%
Expenditure relating to Staff recruitment	488 024	891 000	685 000	685 000	-23,12%
Mission expenses	890 000	460 000	800 000	800 000	73,91%
Socio-medical infrastructure	360 500	343 200	350 000	350 000	1,98%
Training	597 398	676 000	689 000	689 000	1,92%
External Services					
Receptions, events and representation	6 000	10 000	10 000	10 000	0,00%
Social welfare	45 000	46 000	47 000	47 000	2,17%
Other Staff related expenditure	2 572 552	2 693 800	2 828 000	2 828 000	4,98%
Title 2 - Infrastructure and operating expenditure	7 493 923	7 938 700	8 533 000	8 533 000	7,49%
Rental of buildings and associated costs	1 396 500	1 619 000	1 460 000	1 460 000	-9,82%
Information, communication technology and data processing	3 565 429	3 642 200	3 960 000	3 960 000	8,73%
Movable property and associated costs	158 000	231 000	369 000	369 000	59,74%
Current administrative expenditure	1 249 488	1 410 000	1 438 000	1 438 000	1,99%
Postage / Telecommunications	370 600	358 000	531 000	531 000	48,32%
Meeting expenses	454 198	347 500	469 000	469 000	34,96%
Running costs in connection with operational activities					
Information and publishing	26 000	46 000	40 000	40 000	-13,04%
Studies					
Other infrastructure and operating expenditure	273 708	285 000	266 000	266 000	-6,67%
Title 3 - Operational expenditure	670 541 032	813 477 436	1 101 767 174	1 015 309 197	24,81%
ITER construction including site preparation	482 595 362	640 213 356	807 442 174	737 284 197	15,16%
Technology for ITER	1 471 436	3 110 000	6 875 000	6 875 000	121,06%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Technology for Broader approach & DEMO	4 268 810	17 401 159	41 600 000	41 600 000	139,06%
Other Expenditure	14 387 575	13 995 491	15 000 000	15 000 000	7,18%
ITER construction - from ITER host state contribution	144 944 913	78 945 115	201 000 000	184 700 000	133,96%
Appropriation accruing from Third Parties to specific item of expenditure	22 872 936	59 812 315	29 850 000	29 850 000	-50,09%
TOTAL	728 104 873	873 423 420	1 165 075 174	1 078 617 197	23,49%

3.3.2 Payment appropriations

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
Title 1 - Staff expenditure	50 479 724	52 007 284	54 775 000	54 775 000	5,32%
Salaries & allowances	45 235 651	46 887 284	49 366 000	49 366 000	5,29%
- Of which establishment plan posts	34 305 039	35 298 784	37 198 000	37 198 000	5,38%
- Of which external personnel	10 930 612	11 588 500	12 168 000	12 168 000	5,00%
Expenditure relating to Staff recruitment	424 347	891 000	685 000	685 000	-23,12%
Mission expenses	1 435 095	460 000	800 000	800 000	73,91%
Socio-medical infrastructure	360 500	343 200	350 000	350 000	1,98%
Training	469 634	676 000	689 000	689 000	1,92%
External Services					
Receptions, events and representation	5 111	10 000	10 000	10 000	0,00%
Social welfare	45 000	46 000	47 000	47 000	2,17%
Other Staff related expenditure	2 504 386	2 693 800	2 828 000	2 828 000	4,98%
Title 2 - Infrastructure and operating expenditure	7 194 414	7 938 700	8 533 000	8 533 000	7,49%
Rental of buildings and associated costs	1 386 310	1 619 000	1 460 000	1 460 000	-9,82%
Information, communication technology and data processing	3 564 069	3 642 200	3 960 000	3 960 000	8,73%
Movable property and associated costs	146 894	231 000	369 000	369 000	59,74%
Current administrative expenditure	1 159 925	1 410 000	1 438 000	1 438 000	1,99%
Postage / Telecommunications	370 078	358 000	531 000	531 000	48,32%
Meeting expenses	331 117	347 500	469 000	469 000	34,96%
Running costs in connection with operational activities					
Information and publishing	26 000	46 000	40 000	40 000	-13,04%
Studies					
Other infrastructure and operating expenditure	210 021	285 000	266 000	266 000	-6,67%
Title 3 - Operational expenditure	681 229 294	759 747 750	730 112 000	709 503 868	-6,61%

EXPENDITURE	Payment appropriations				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Joint undertaking request	Budget forecast	
ITER construction including site preparation	506 485 473	549 787 750	540 412 000	519 803 868	-5,45%
Technology for ITER	6 742 102	4 760 000	4 100 000	4 100 000	-13,87%
Technology for Broader approach & DEMO	8 337 082	10 200 000	11 500 000	11 500 000	12,75%
Other Expenditure	7 372 404	15 000 000	15 000 000	15 000 000	0,00%
ITER construction - from ITER host state contribution	147 198 145	150 000 000	129 100 000	129 100 000	-13,93%
Appropriation accruing from Third Parties to specific item of expenditure	5 094 088	30 000 000	30 000 000	30 000 000	0,00%
TOTAL	738 903 432	819 693 734	793 420 000	772 811 868	-5,72%

3.4 Budget Outturn

The first estimate of the 2019 surplus that remains within the joint undertaking amounts to EUR 824 174.

4 Justification of needs

Commission assessment

Human Resources

For DB2021, F4E requests 453 positions, identical number as for 2020. The figure includes the reduction of two CA positions due to the externalisation of TB04 contract novation to ITER Organisation. The externalisation was agreed in July 2018, while the draft MFF 2021-2027 was adopted a month earlier. The detailed establishment plan for 2021 corresponds with the budget 2020. However, the grades distribution appears to be ambitious compared to the actually filled in posts as at 31 December 2019. One AD 13 post is converted from permanent to temporary following a departure. Further information on Human Resources is provided in section 4.1.1.

Financial Resources

The Commission reviewed the amounts requested for the project needs in 2021, for commitment and payment (both revenue and expenditure). The requested overall financial resources need to reflect the Commission MFF 2021-2027 proposal from May 2020 and the cut of the Euratom contribution to F4E of 7.5 % compared to the 2018 Commission proposal. The cut is only in Title 3 and is supported by a corresponding amendment of the 2021 project plan. The Title 1 of EUR 54.8 million (increase by EUR 2.8 million, 5.32 % to budget 2020) reflects the requested detailed establishment plan. It should be noted that the current 2020 forecast for Salaries and allowances is EUR 0.7 million higher than budget 2020. The increase of EUR 594,300 (7.49 %) in Title 2 for DB2021 compared to budget 2020 is comprehensively justified in section 4.2.2. The EU Contribution for DB2021 administrative expenditure increased compared to 2020 by EUR 9.7 million (18.4 %), which is partially explained by the new allocation of members' contribution of EUR 6.5 million to operational expenditure (Title 3). The members' contribution previously funded administrative expenditure. The Title 3 amounts to EUR 1,015 million, which is an increase of 24.8 % compared to 2020. The figure is explained in detail in section 4.2.3 below.

4.1 Human Resources - Joint Undertaking Request

4.1.1 Number of staff requested

For 2021 F4E requests 453 positions, of which 280 establishment plan posts (50 permanent and 230 temporary posts) and 173 external positions (170 contract agents (CA) and 3 seconded national experts (SNE)). The staff figures for 2021 are

within the limits set by the Legislative Financial Statement (LFS) to the Commission Proposal 445 (2018) on F4E budget under MFF 2021-2027. The total staff number in 2021 shall remain on the same level of 2020.

Nonetheless, for 2021 the following changes are requested inside the establishment plan (with a neutral impact on the overall staff figures):

- a conversion of 1 permanent AD 13 post into 1 temporary AD 13 post, following the departure of 1 official;
- a conversion of 1 permanent AD 12 post into 1 temporary AD 11 post following the transfer of 1 F4E official to the European Commission (according to the F4E policy, permanent posts that become vacant shall be converted into temporary posts of an equivalent grade during the F4E annual budgetary procedure).

4.1.2 Vacancy rate as of end 2019

The vacancy rate was 5.17 % at the end of 2019, based on the actually filled establishment plan and external staff. Out of 283 establishment plan posts, 10 remained vacant (3.53 %) and out of 181 external staff, 14 positions were not filled (7.73 %). Due to the reduction of 9 positions (3 TA and 6 CA) in line with the agreement for phasing out of short-term positions (21 TA and 24 CA) granted to F4E in 2015 and 2016 along with the reduction of 2 CA as part of the externalisation of TB4 contract novation and departure of 1 TA at the beginning of 2020, the above rates at 1 January 2020 become 3.09 %, resp. 2.86% for the establishment plan and 3.47 % for the external personnel.

4.1.3 Standard abatement ('abatement forfaitaire') applied

N/A

4.1.4 Salary assumption for calculating salary line (% applied)

The average annual costs for salaries for 2021 are estimated at EUR 129 000 for officials and temporary agents and EUR 61 500 for contract agents based on the staff costs from 2019 to 2020. The indirect costs related to recruitment (selection, medical visit, removal, etc.) are not included in the average staff costs. The annual salary adjustment for 2021 is set at 2 % that will be later adjusted by the official EU salary update and the change in the Spanish correction coefficient by the end of 2021. The vacancy rate applied for the calculation of the salaries in 2021 amounts to 2 %.

4.1.5 Correction coefficient used

The correction coefficient for Spain decreased from 91.7 % to 91.6 % at the end of 2019.

4.1.6 Exchange rate used (if applicable)

N/A

4.2 Financial Resources - joint Undertaking Request

4.2.1 Title 1

Under Title 1, the expenditure for salaries and allowances marks an increase of 5.3 % in draft budget 2021 compared to the adopted 2020 budget due to the annual salary adjustment of 2.5 % and other factors (allowances, promotions, advancements in step). The expenditure related to staff recruitment is 23 % lower for draft budget 2021 (MEUR 0.7) compared to budget 2020 (MEUR 0.9), but aligned with the lower planned needs for 2020 (MEUR 0.7) as updated in January 2020. The missions expenses (MEUR 0.8) appear much higher in 2021 compared to 2020 (MEUR 0.5) but remain still below their 2019 levels (MEUR 0.9). After the F4E request for budget 2020 was submitted, a more precise allocation has been implemented between missions for F4E staff (Title 1) and missions linked directly to the operational project activities (Title 3 "Other expenditure"). The 2.0 % increase in the costs for the socio-medical infrastructure is linked to the new framework contract for Medical Services Lot 2 (medical advice). The 5 % increase in other staff related expenditure is due to the higher schooling costs and increased number of traineeships from 16 to 27.

4.2.2 Title 2

Title 2 will increase by 7.5 % in 2021 compared to 2020 linked to various items under this chapter. The building's rental and associated costs will decrease by 9.8 % due to reallocation of the costs for extra 500m² (two office modules for external experts) from Title 2 to Title 3 (chapter "Other expenditure") after F4E has submitted its request for budget 2020. The 8.7 % increase in the ICT costs is due to certification in the area of Business Continuity and IT Security in 2021. The movable property will increase by 60 % as the purchase of new furniture for the extra office area, replacement of the telecommunication/audio-visual equipment and partially of the car park are foreseen for 2021.

The current administrative expenditure will be 2 % higher in 2021, linked to a four years contract for technology brokerage services signed in December 2019 and a call for market experts for on-demand pre-procurement activities.

The postage and telecommunications will increase by 48.3 % due to the outsourcing of unified telecommunications that were moved from chapter "ICT and data processing" within Title 2. The meeting expenses will increase by MEUR 0.1 in 2021 mainly linked to the experts services on the F4E annual assessment (reassigned from chapter "Current administrative expenditure") and for the F4E statutory committees.

4.2.3 Title 3

The F4E operational budget 2021 is based on the preliminary Work Programme 2021 that provides an indicative information of the main activities to be carried out in 2021 for delivering the EU obligations to ITER and Broader Approach, taking into consideration the EURATOM contribution to F4E budget foreseen for 2021 by the LFS to the Commission proposal No 445 (2018), the contributions from the ITER Host state and the F4E members for 2021.

The F4E operational activities are covered mainly under two budget chapters: ITER construction including the site preparation and ITER Host State (IHS) contribution for the ITER construction that complements the first chapter for the ITER construction. The biggest part of the operational budget for 2021 will be spent for the provision of the cash contribution to ITER due for year 2022, followed by the Buildings and Power supplies for the ITER site in Cadarache, "In-Vessel", Broader Approach, Cash to Japan, Antenna and Plasma Engineering, Diagnostics, Cryoplant and Fuel cycle, Remote handling, Neutral Beam, Test Blanket Module (TBM), Vacuum Vessel and Magnets.

The activities foreseen for 2021 are outlined below indicating whether they are required for ITER First Plasma (FP) or not (non-FP).

Magnets (FP): All major contracts have been signed and manufacturing of both TF Coils and PF Coils is ongoing. In 2021, the major deliveries include three TF Coils and one PF Coil (PFC #02). Extensions, modifications or amendments to existing contracts (some of them being triggered by IO i.e. Project Change Requests (PCR), Non-Conformities on free issue items, etc.), new framework contracts and/or task orders may have to be signed to support the production (i.e., inspectors, other external resources, workshop materials, tests, etc.).

Main Vacuum Vessel (FP): All major contracts have been signed and manufacturing activities are underway. In 2021, the first Sector deliveries are planned together with the contracts for the transportation to Cadarache of the five sectors. Extensions, modifications or amendments to existing contracts (some of them being triggered by PCRs) may have to be signed to meet the schedule. Depending on the project needs, specific contracts for support activities (i.e Inspectors, Documentation Support, Engineering and Analysis etc.) will continue to be issued.

Blanket System (non-FP) and Divertor (non-FP): High heat flux testing will be carried out on Blanket First Wall panel and Divertor Inner Vertical Target full-scale prototypes. As for the blanket system, contracts for procurement of Beryllium and CuCrZr series will be awarded and for the first 30 degree sector pipe bundles of the Blanket Cooling Manifold. In the area of Divertor, the procurement arrangements (PAs) for the Divertor rails will be signed as well as the contract for Stage 2 of the Cassette Body Series Production. External support will be needed to follow-up activities.

Remote Handling (partly FP): The design activities will continue in preliminary and final design phases through existing or new contracts. Divertor RH systems will further develop the final design supported in some areas by laboratory tests. Cask & Plug RH systems will continue final design development of FP components and gradually moving from preliminary design to final design of non-FP cask systems. Neutral Beam RH systems FP components will continue final design development and prototyping; for remaining items the transition from preliminary design to final design will be the main area of activities, supported in some areas by laboratory tests. In-Vessel Viewing systems will focus on final design activities, validated by prototyping. Complementary RH technology activities will be implemented (design and tests) aiming at manufacturing of first components.

Cryoplant (FP), Vacuum Pumping (FP) and Fuel Cycle (Partly FP): The installation work will continue for the Cryoplant. Contracts planned for 2021: manufacturing and testing of the NB Front End Cryodistribution System; cryostat leak detection and localization (in the area for vacuum pumping); Waste Management Systems Preliminary Design (Fuel Cycle). Procurement arrangements will be signed for Water Detritiation system, Isotope Separation System and Radwaste Treatment and Storage.

Antennas and Plasma Engineering (partly FP): In 2021 the main contract for manufacturing, assembling & testing of the EC Upper Launcher Port Plug is foreseen to be signed and smaller contracts for Launcher Instrumentation and ancillaries, R&D contracts for EC ex-vessel components, support contracts to manufacturing and industrial inspection.

Neutral Beam Heating and EC Power Supplies and Sources (non-FP): PAs are planned to be signed for NB Passive Magnetic Shield, Active Correction Coils and NB Tooling for Assembly. Specific contracts will be signed for PRIMA assembly as well as for MITICA control system and the contract for NBI-1&2 Drift Duct. Extensions, modifications or amendments to existing contracts may have to be signed to meet the schedule. Sets of HV power supplies for the EC will be delivered during the year and the installation and commissioning on ITER site completed for the first sets.

Diagnostics (partly FP): Manufacturing activities for several Diagnostic components and systems, most of them for FP will continue. Some FP components of the Magnetics diagnostic and the Tokamak electrical services will be delivered in 2021. Additional contracts will be launched for components of the collective Thomson scattering system, supporting platforms for the in-vessel bolometer cameras, and different components (in-port and ex-port) for the wide-angle viewing system, among others. Design for less mature Diagnostics systems will progress mainly under new specific grants on the on-going FPAs. Some contracts are also envisaged for the integration software and bespoke instrumentation hardware for the magnetics diagnostics, and a framework contract for the design of the core plasma Thomson scattering system.

Test Blanket Systems (non-FP, non-in-kind contribution): The preliminary design phase will continue with new task orders for TBM Sets, Ancillary Systems, Safety and Accidental Analyse and TBM Set Fabrication Development and Manufacturing studies and, when needed, in support services, e.g. consultancy services of an Agreed Notified Body, materials storage and preparation, materials transportation and Engineering support. Some activities will be executed under the ITER TBM Project Team Funding scheme. The collaboration with EUROfusion will continue.

Site, Buildings and Power Supplies: RFIOC (Ready for IO Contractors) for the Tokamak building (remaining areas L3, L4, L5) and for the Tritium building (levels B2, B1, L1) are foreseen. The contracts for Architect Engineer Design for Buildings 21, 23, 24 (Hot Cell Complex), as well as for the Support to the Owner will be signed. Task orders for Completion and Final Fitting works and engineering consultancy are planned and commitments for the ITER site security services, Site Cooperation Agreement, ITER Host agreement and Health & Safety joint contract with ITER Organization. Amendments to the ongoing contracts will be implemented in case of changes and exercise of options to service and construction contracts in relation with PCRs, input data delays and re-allocation of scope between contracts.

Cash contributions to the ITER organization will be made as well as cash to Japan under the obligations set out in the agreement with Japan (Annex C of PA for the Cadarache NB power supplies).

Technical Supporting Activities in 2021 include task orders, amendments, indexation and release of options of existing contracts for services provided by experts, quality control inspection services for manufacturing activities, all engineering unit domains: System Design-Mechanical Engineering, CAD Data Management, Material-Manufacturing Technologies and Processes, Analysis and Codes, Metrology, I&C-CODAC, other Domestic Agencies' components Transportation and project management activities (on QA, system engineering, PM tools, planning, risk and cost). Existing framework contracts will be renewed and a few new ones will be signed i.e. for bespoke electronic integration and manufacturing services, support to System Engineering, Project Management, and Engineering activities.

The activities under the Broader Approach (BA) in 2021 will be based on the Project Plans set by the BA Steering Committee, following the conclusion of a new Joint Declaration for BA-Phase II:

•Satellite Tokamak Programme (STP, or JT-60SA): F4E carries out activities through grants, framework contracts (task orders) or supply and service contracts, expert contracts and specific contracts for on-site health and safety services. Concerning the operation/enhancement phase of the project, the activities in 2021 foresee the procurement of critical spare parts and engineering services for EU already supplied systems and components, and selected machine enhancements and diagnostics in collaboration with EUROfusion. Critical contracts for fabrication of the JT-60SA Actively Cooled Divertor and Error Field Correction Coils power supplies will also be launched.

•IFMIF/EVEDA: Additional contracts are foreseen for operation and reliability of the beam availability together with expert contracts and contracts for on-site health and safety services. Preparation for later operation phases will continue.

•**IFERC:** The Computer Simulation Centre objective is to provide high power computer (HPC) resources for JA and EU scientists in order to advance simulation studies for ITER, JT-60SA and fusion reactors in general (e.g. DEMO). CSC will foster collaboration research projects between JA and EU by sharing computer resources and by further jointly developing state-of-the art models.

REC activities will focus on collaborative activities with JT-60SA, ITER, and the IFMIF-EVEDA LIPAc accelerator. Collaboration under the ITER BA agreement will start in April 2020. For DEMO design (performed in collaboration with EUROfusion), priority will be given to activities directly relevant for ITER and JT-60SA exploitation. Activities in fusion materials R&D will continue to support ITER and the materials database for future reactors such as DEMO.

5 Other information

5.1 Buildings

5.1.1 Current building(s)

#	Building Name and type	Location	SURFACE AREA(in m ²)			RENTAL CONTRACT			Host country (grant or support)	Building present value(€)
			Office space	non-office	Total	RENT (€/year)	Duration	Type		
1	Torre Diagonal Litoral B3, Josep Pla 2	Barcelona	8 750	750	9 500		Long-term, until 2042	rental lease agreement	Rent paid by Spain, with the exception of EUR 145 000 paid by F4E	
TOTAL			8 750	750	9 500					

5.1.2 Current building(s) Other comments

According to the Host agreement with the Kingdom of Spain from 2007, the F4E seat is set in Barcelona.

Spain provides the premises free of charge. A long-term agreement was concluded in May 2016 until 2042, between Spain, the building's owner and F4E. Spain together with the building's owner offered to cover the refurbishment works of ca. MEUR 1.5 for an extension of approximately 1 000 m² in the same building for offices/meeting rooms/main reception and a cafeteria. The works are expected to start in 2020. F4E shall cover the expenditure for the additional office space and the operation of the cafeteria. Following a decision of the F4E Governing Board, discussions with the Host state are still ongoing on the costs for the refurbishment of the other floors occupied by F4E.

F4E covers the costs for two additional office modules (500 m²) to accommodate the external experts from services contracts working on F4E site as the office area made available via the Host agreement was not sufficient to host them. F4E requested officially the Spanish Authorities to cover these expenses but no answer has been received yet.

5.1.3 Building projects in the planning phase

N/A

5.1.4 Building projects submitted to the European Parliament and the Council

N/A

5.2 Evaluation

In accordance with Article 5b of the Council Decision establishing F4E, a mid-term progress report of the Joint undertaking was completed by the Commission in March 2019 focusing on the European contribution to ITER through F4E during the period 2014-2017. The evaluation shows that although ITER project has suffered significant delays and cost overruns since its inception, the management turnaround implemented from 2015 onwards has had a positive effect. Within its current baseline (scope, cost, and schedule) adopted in 2016, ITER is on track in terms of schedule and budget.

The Broader Approach projects are also progressing well within their own baselines. The obligations for DEMO preparation are in the most part being discharged by EUROfusion until ITER's first phase is completed in 2025. ITER remains an important part of EU energy and innovation policies and, its potential role in the decarbonisation of the energy landscape post-2050 is very significant. This investment aligns with other EU goals regarding growth, and there has already been significant growth in gross value added and employment due to investment in ITER.

The report was made public: <https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2019:0147:FIN:EN:PDF>

5.3 Privileges and immunities

Joint undertaking privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
Privileges provided by the Host State and concluded in the seat agreement: - VAT exemptions; - Building free of charge	<ul style="list-style-type: none"> - Diplomatic status only for the Director and the person appointed to replace him in his absence; - The PPI applies to all staff; - VAT reimbursements during the first year on goods and furniture; - Purchase of one motor vehicle without taxes; - Exemption of import tax registration for vehicles (if done through the Spanish Ministry of Foreign Affairs); 	No privileges granted regarding education/day care

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