



Brussels, 24.4.2019
C(2019) 2905 final

ANNEX

ANNEX

to the

Commission Decision

Approving Annual Work Programme 2019 of the Research Executive Agency



ANNEX

Annual Work Programme 2019

Research Executive Agency - REA

Contents

LIST OF MAIN ACRONYMS/ABBREVIATIONS.....	4
PART 1. MESSAGE FROM THE DIRECTOR.....	5
Highlights for the year.....	5
A strong organisation in support to the operations.....	6
Co-operation with other services.....	6
Key Performance Indicators.....	7
PART 2. MISSION STATEMENT.....	9
2.1. REA mission statement.....	9
2.2. The Commission's general objectives in the area of research and innovation for 2019.....	10
2.3. The role of REA in support of the Commission's general objectives.....	10
PART 3. OVERVIEW OF OUTPUTS FOR THE YEAR.....	13
3.1. Implementation of Horizon 2020 – Excellent Science – Marie Skłodowska-Curie Actions (MSCA) and FP7 predecessor actions (DG EAC).....	14
3.2. Implementation of Horizon 2020 – Excellent Science – FET Open (DG CNECT).....	17
3.3. Implementation of Horizon 2020 – Industrial leadership – Space and FP7 predecessor actions (DG GROW).....	19
3.4. Implementation of Horizon 2020 – Societal Challenge 2 – Food security, sustainable agriculture and forestry, marine, maritime and inland water research and the bioeconomy (DG RTD and DG AGRI).....	21
3.5. Implementation of Horizon 2020 – Societal Challenge 6 – Inclusive, Innovative and Reflective Societies (DG RTD and DG CNECT).....	24
3.6. Implementation of Horizon 2020 – Societal Challenge 7 – Safeguarding Secure Society and FP7 predecessor actions (DG HOME and DG CNECT).....	27
3.7. Implementation of Horizon 2020 – Spreading Excellence and Widening Participation (SEWP) (DG RTD).....	30
3.8. Implementation of Horizon 2020 – Science with and for Society (SwafS) (DG RTD).....	32
3.9. Implementation of FP7 SME actions.....	34
3.10. Administrative and logistical support services.....	36
3.10.1. Participant validation services.....	36
3.10.2. Expert management and support.....	38
PART 4. ORGANISATIONAL MANAGEMENT.....	42
4.1. Relevant objectives and indicators.....	42
4.1.1. Human Resource Management.....	42
4.1.2. Financial Management: Internal control and Risk Management.....	45
4.1.3. Information management.....	51
Handling of classified information in Horizon 2020 projects.....	52

Data Protection	53
Information and Communication technologies (ICT)	54
4.1.4. External communication	54
4.1.5. Examples of initiatives to improve economy and efficiency of financial and non-financial activities of the Executive Agency.....	57
Effective policy feedback in support to parent DGs.....	57
Implementation of SEDIA (Single Electronic Data Interchange Area)	59
4.2. Operating budget, staff and operational appropriations	60
4.2.1. Operating budget	60
4.2.2. Human resources	65
4.2.3. Delegated operational appropriations.....	67

LIST OF MAIN ACRONYMS/ABBREVIATIONS

BA	Bank Account
BO	Business Owner
CAS	Common Audit Service
CBA	Cost-Benefit Analysis
CFE	Certified Fraud Examiner
COSME	Competitiveness of Enterprises and Small and Medium-sized Enterprises programme
CRaS	Common Representative Audit Sample
CSA	Coordination and Support Actions
CSC	Common Support Centre
D&E NET	Dissemination & Exploitation-Network
DPO	Data Protection Officer
EDCC	Europe Direct Contact Center
EDES	Early Detection and Exclusion System
EIC	European Innovation Council
EUCI	EU Classified Information
FAIR	Fraud and Irregularities in Research
FDI	Financial Date for Implementation of commitments
FET	Future and Emerging Technologies
FP7	The 7 th Framework Programme for Research and Innovation (2007-2013)
GIP	General Implementing Provisions
HAN	Hermes-Ares-Nomcom
H2020	Horizon 2020, the Framework Programme for Research and Innovation (2014-2020)
IA	Innovation Actions
ICM	Indirect Cost Method / Model
IT	Information Technology
KPIs	Key Performance Indicators
LE	Legal Entity
LEAR	Legal Entity Authorised Representative
LEIT	Leadership in enabling and industrial technologies
MCA	Marie Curie Actions (FP7)
MFF	Multi-annual Financial Framework
MSCA	Marie Skłodowska-Curie Actions (Horizon 2020)
NCPs	National Contact Points
PDM	Participant Data Management
PF	Policy Feedback
RES	Research Enquiry Service
RFCS	Research Fund for Coal and Steel programme
RIA	Research and Innovation Actions
R&I	Research and Innovation
RO	Third Country Contributions
SEDIA	Single Electronic Data Interchange Area
SEWP	Spreading Excellence and Widening Participation
SwafS	Science with and for Society
UTRO	Universal Transfer of Rights and Obligations

PART 1. MESSAGE FROM THE DIRECTOR

2019 will be the year where **REA** will **celebrate** its **10 years of existence**. This will offer an excellent opportunity to look back at the road we travelled to reach a confident and stable operation in Research and Innovation framework programme management and in delivering efficient support services to the Research and Innovation (R&I) family and beyond.

2019 will also be a decisive year for the **design of the REA's third mandate** for the Multi-Financial Framework (MFF) 2021-2027. The outcome of the third **external evaluation** on REA's performance over the period mid 2015 to mid 2018 will become available early in the year and will feed into the preparations of the next mandate.

While REA is confident that, once again, this external evaluation will underpin a strong case for maintaining (and even increasing) the delegation of the implementation of the framework programme to executive agencies in general, and REA in specific, it will focus attention on addressing the recommendations that may result from this exercise.

In parallel, REA will collaborate with DG RTD and the Commission's horizontal services in preparing the third mandate in a coordinated manner. The related ex-ante cost benefit analysis will start early in 2019 and REA will offer full support to this analysis by providing input and data where required. Moreover, REA will feed all its experience as much as possible into the design process of the programming and design of implementation modalities of Horizon Europe.

Highlights for the year

The **implementation of Horizon 2020** is now at the middle of its last programming period. In 2019, REA will absorb a significant workload covering all stages of the project management life cycle by fully exploiting the efficiency gains that were generated over the last years in terms of optimising its business processes and investing in highly skilled co-workers. A particular attention will be devoted to the **dissemination and exploitation** of the project results and the effective **implementation of audit findings**, activities that will come on stream in 2019.

As for the **FP7 legacy**, while the number of running projects has decreased significantly throughout 2018, the remaining cases are often more complex and will require important efforts to ensure an orderly closing down.

Like in previous years, **REA** will continue to invest in **business process design and monitoring** for the R&I family as a whole, either as (deputy) Business Project Owner for important processes such as the participant register, expert management, proposal submission and the Funding and Tenders Portal, or by being actively represented in the Key User Groups for the various business process groups.

REA will also refine its approach to provide an **effective policy feedback loop** to its parent DGs. Already in 2018, the various REA units made proposals to their counterparts in the policy DGs on mechanisms it had on offer to feed effective policy making by building on experiences and results obtained through the delegated project management. Based on these proposals, an agreement will be reached between the parent DGs and REA on which measures offer maximum benefit without imposing an unmanageable workload on REA.

REA will also fully take up the extension of its mandate, effective as of 1 January 2018, to manage projects generating classified information. Having built a handling capacity for managing projects classified *EU restricted* and having taken over 11 projects under

Societal Challenge 7 – Secure Society from DG HOME and DG CNECT, REA has also extended this capacity to **handle projects classified EU confidential**. It plans to take over additional projects at this higher level of classification early in 2019.

2019 will also be the **second year** of REA's extended mandate to offer participant validation services for all Commission's direct management in the context of **SEDIA** (i.e. procurements and grants). After a first transitional year 2018, where efforts were invested in informing, training and on boarding of new clients, it is expected that a large part of Commission services operating under the direct management mode will move their operations to the corporate business processes and tools for eGovernment and eProcurement. The REA validation services are an integral part of these business processes and REA expects a surge in workload for participant validations and linked financial capacity assessments. Efficient and timely handling of validation request will be essential for maintaining the high reputation that REA has acquired over time as service provider for these support services.

Another part of the REA support services, relating to **contracting and payments of experts**, may be impacted by changing to new IT tools, workflows and contractual dispositions (in particular the move to lump sum financing for travel costs). Over time, these changes will bring further efficiency gains allowing REA to face the ever-increasing workload. Nevertheless, it is likely that – during a transition period – these changes will be disruptive to the high speed – high quality process currently operated.

A strong organisation in support to the operations

The growth of REA's activities in scope and volume requires a sound and forward looking management of its resources. The **recruitment of new staff** will remain a priority in 2019. After an intensive procedure for the selection of temporary agents for programme management throughout 2018, REA will exploit the reserve list of some 60 persons to fill vacancies for temporary agents. For the recruitment of contract agents, REA will be rolling out a strict planning for recruitment panels for various profiles to ensure a speedy filling of vacancies.

Following the **staff survey** launched in November 2018, REA will take stock of feedback received from its staff and will benchmark its staff engagement against that of the Commission and other executive agencies. Points for further attention will be identified and REA will practice its participatory management culture by bringing together staff and management in exploring solutions for the future.

Building on a gap-analysis and feedback on REA's strengths and weaknesses for its **internal control framework** carried out in 2018, REA will implement its action plan to further improve its control framework in line with the Commission's new internal control framework.

Co-operation with other services

Like in previous years, both for operational and administrative matters, REA will be sharing its experience or concerns with the other members of the **Research and Innovation Family**. This leads to a better understanding of the common issues and to more efficient solutions, be it regarding Horizon 2020 business processes, internal control or the inter-agency job market. As a service provider for all the Commission services for the validation of participants REA is further extending the scope of its interaction and cooperation with other services.

REA will continue to promote an excellent collaboration with Commission services, including through regular reporting to its **Steering Committee**, to enable the Commission to exercise its supervisory controls and maintain its overall accountability over the operation of the agency.

Key Performance Indicators

The following five KPIs were chosen to reflect the most important aspects of the Agency's performance. They have not changed between 2018 and 2019.

Key Performance Indicator	Indicator	Target	Latest known results (31 December 2018)
KPI 1 – Full implementation of the operational budget	Percentage of execution of the 2019 operational budget (commitments and payments)	100% (at year end)	100% for the 2018 operational budget
KPI 2 – Rapid conclusion of grant agreements ('Time-To-Grant')	Time-To-Grant (TTG): Time from call deadline to grant signature (% of projects signed within 8 months – 245 days)	100% within 8 months (245 days)	100% ¹ Average of 198 days
KPI 3 – High quality of the key procedures for scientific and grant management	Share of projects that achieved most of their objectives ²	90%	91.1% for H2020 projects ³ 95.7% for FP7 projects ⁴
	Number of complaints on evaluation results upheld or partially upheld (evaluation review)	Maximum 0.50% of proposals evaluated	0.31% for 2017 calls

¹ Source: Webcorda.

² Projects that achieved all or most of their objectives.

³ Source: CORDA. The statistics include all projects signed until the end of 2018 and are based on the assessment of H2020 project reports (based on projects having PMON data).

⁴ On closed projects. Source: CORDA. The statistics are based on the project assessment reports (FP7 projects).

Key Performance Indicator	Indicator	Target	Latest known results (31 December 2018)
KPI 4 – Legality/regularity of financial transactions	Residual error rate in financial transactions	<p>H2020:</p> <ul style="list-style-type: none"> Overall target : as close as possible to 2% (within the range of 2-5%) Specific target for the MSCA: below 2% <p>FP7: Less than 2% of total budget (materiality threshold)</p>	<p>H2020: <i>Detected error rate</i>⁵:</p> <ul style="list-style-type: none"> 2.43% (3.32% incl. draft audit reports) <p><i>Residual error rates:</i></p> <ul style="list-style-type: none"> REA: 2.25% (2.60% incl. draft audit reports) REA MSCA: 0.05% <p>FP7: <i>Representative error rate/ Common Representative Audit Sample (CRAS):</i></p> <ul style="list-style-type: none"> Space: & Security: 5.26% <p><i>Detected error rates:</i></p> <ul style="list-style-type: none"> SMEs: 6.12% People: 1.73% <p><i>Residual error rates:</i></p> <ul style="list-style-type: none"> CRAS – Space: 3.49% CRAS – Security: 3.78% SMEs: 5.77% People: 1.55%
KPI 5 – Providing efficient support services to the Research DGs and other client services	Participant validation (for all direct management operations at the EC)	95% of validations performed within 90 days from "raise priority" date ⁶	96.7%
	Expert contracting	100% of expert contracts signed by REA in less than 10 calendar days ⁷	99.4%
	Expert payment	100% of experts paid within 30 days	99.7%

⁵ The current figures are based on a partial closure of the first and second Common Representative Samples (CRS) by the CAS. Therefore, the outcome is not qualified as "representative" but "detected".

⁶ The priority setting for validations is automatically set by the PDM system.

⁷ The indicator is measured from the moment the contract signature process is launched in COMPASS until the signature of the contract by both parties.

PART 2. MISSION STATEMENT

This section outlines briefly the Agency's mission statement and competences in relation to its parent DGs.

2.1. REA mission statement

REA, mandated by the European Commission to support the EU Research and Innovation policy, funds high-quality research and innovation projects that generate knowledge for the benefit of society.

To pursue this mission, it will undertake the following **activities**:

- Preparing and publishing calls for proposals, evaluating proposals, prepare grant agreements for retained proposals and managing the stages in the lifetime of projects in the frame of the Horizon 2020 Specific Programme (2014-2020). It shall be responsible for monitoring the projects, making the necessary checks and recovery procedures, and for performing budget implementation tasks covering revenue and expenditure;
- Managing the stages in the lifetime of projects in the frame of the Seventh Framework Programme (2007-2013). It shall be responsible for monitoring the projects, making the necessary checks and recovery procedures, and for performing budget implementation tasks covering revenue and expenditure;
- Providing administrative and logistical support services
 - to EU bodies implementing Horizon 2020 and selected other programmes. These services include:
 - Planning for calls for proposals and contests;
 - Support for publication of calls and contests for prizes;
 - General logistical support for the evaluations including the management of the evaluation facility;
 - Contracting and payment of independent expert evaluators;
 - Supervising the Research Enquiry Service which answers questions from participants and the broader public on EU research and innovation funding;
 - within the SEDIA framework, to participants to grants and procurement activities for all Union programmes and for the benefit of EU bodies implementing these programmes. These services include:
 - Validation of legal entities;
 - Preparation of legal entities' financial capacity assessment.

2.2. The Commission's general objectives in the area of research and innovation for 2019

REA contributes to the achievement of the first political priority of the Juncker Commission, namely 'A New Boost for Jobs, Growth and Investment'.

Moreover, it supports three other objectives / political priorities: 'A Connected Digital Single Market' (Priority 2), 'A Resilient Energy Union with a forward-looking Climate Change Policy' (Priority 3) and 'An Area of Justice and Fundamental Rights based on Mutual Trust' (Priority 7).

The Commission's objectives in the area of research and innovation for 2019 can be found in the Commission Work Programme, the legal basis of the framework programme, the Horizon 2020 Work Programme 2018-2020 and in the Strategic Plans and Management Plans of the parent DGs. For each objective, the DGs have defined in their plans the impact indicators with measurement of the current situation and the (long-term) targets.

In 2019, DG RTD will continue the pilot phase of European Innovation Council (EIC), "implemented under the Horizon 2020 work programme for 2018-20 with the objective of boosting Europe's performance in breakthrough, market-creating innovation by introducing blended finance"⁸. REA's management of the FET-Open activities becomes an integral part of the pilot, paving the way to a fully pledged EIC.⁹

2.3. The role of REA in support of the Commission's general objectives

REA was established and started operations in 2009, implementing parts of FP7 (the People Specific Programme, the Capacities Specific Programme – Research for the benefit of SMEs, and the Cooperation Specific Programme – Space and Security themes).

Under Horizon 2020, the new Framework Programme for Research and Innovation for the period 2014-2020, more than half of the activities are delegated from the Commission to Executive Agencies. The Commission decided in December 2013 to extend the lifetime of REA and to entrust it with the management of large parts of Horizon 2020¹⁰. Nearly 20% of the overall Horizon 2020 budget envelope is managed by REA.

In addition to the legacy of FP7 and the management of their successor actions in Horizon 2020, the Agency manages activities from 'FET Open', agricultural research and food safety (Societal Challenge 2), innovative, inclusive and reflective societies (Societal Challenge 6), as well as new parts of Digital Security Research (part of Societal Challenge 7). REA also implements projects for the specific objectives 'Spreading excellence and widening participation'¹¹ and 'Science with and for Society'.

⁸ From the DG RTD Management Plan for 2019, Specific objective 1.2: To establish the right framework conditions to capitalise on the results of European research and innovation by involving all actors in the innovation process ("Open Innovation").

⁹ See also Section 3.2.

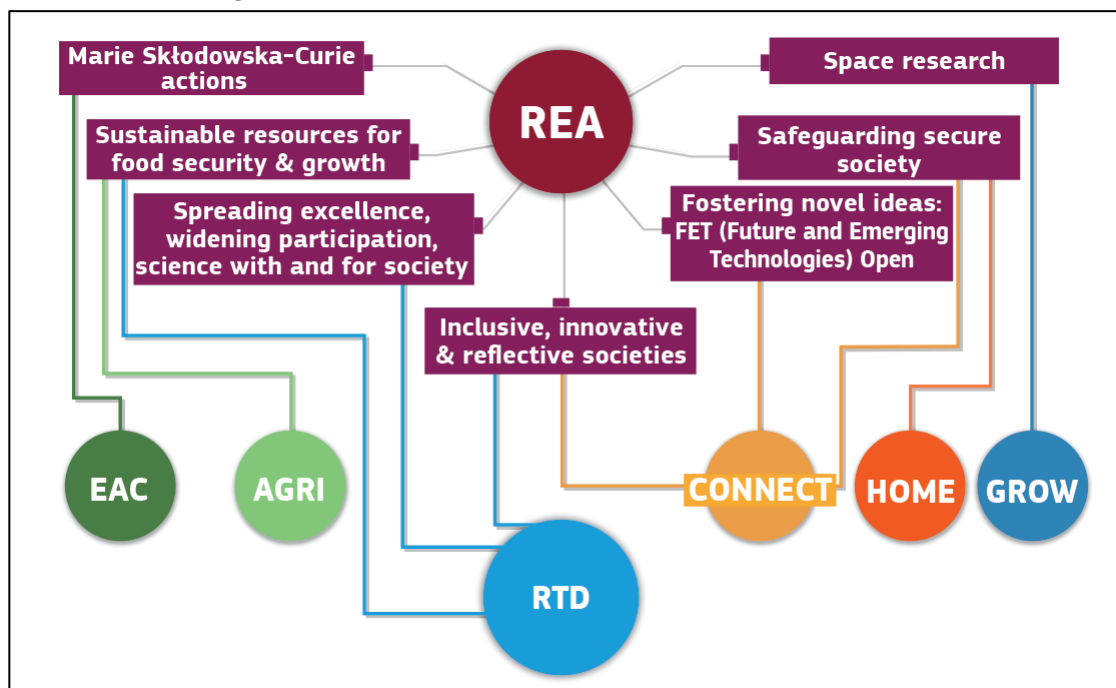
¹⁰ Commission Implementing Decision 2013/778/EU of 13 December 2013.

¹¹ With the exception of COST (European Cooperation in Science and Technology) and Policy Support Facility.

The REA Delegation Act¹² sets out in detail the role of the Agency in the management of Horizon 2020 for the parts it is in charge of. REA carries out these tasks in close cooperation with the Steering Committee and the parent DGs:

- DG Research and Innovation (RTD),
- DG Education, Youth, Sport and Culture (EAC),
- DG Communications Networks, Content and Technology (CNECT),
- DG Internal Market, Industry, Entrepreneurship and SMEs (GROW),
- DG Agriculture and Rural Development (AGRI),
- DG Migration and Home Affairs (HOME).

Figure 1: REA and its parent DGs



As regards programme and project implementation tasks supporting the **funding for research and innovation** actions, REA is responsible for the management of the project life cycle:

- on the basis of the Horizon 2020 work programme, the agency autonomously manages the calls for proposals, the evaluation of the proposals and the launch and conclusion of grant award procedures,
- REA monitors the resulting projects, for Horizon 2020 and FP7, according to the applicable financial and administrative rules, making the necessary checks before paying out the grant.

¹² Commission Decision C(2013) 9418 of 20 December 2013.

In addition, the Agency assists the Commission in the management of the programmes:

- by providing a focussed policy feedback whereby key project results are signalled to the Commission services to support their policy development activities,
- by collecting information and data about the implementation and the results of the projects,
 - by promoting the ex-post publicity and dissemination of results by the projects in accordance with the strategy for dissemination and exploitation of research results,
 - by making recommendations on the future development of the programme, in particular with respect to call implementation and grant management issues,
 - by playing an important role in informing on funding opportunities and project results.

As to the policy feedback to parent DGs, various mechanisms are in place which include a wide range of measures that facilitate the interaction between the REA operational units and their Commission counterparts. It serves the Commission's policy-making and programming activities. It mainly comprises feedback to the parent DGs on project results and their impact on the achievements of the programme's objectives.

In 2018, all REA units made proposals to their counterparts in the policy DGs on mechanisms it had on offer to feed effective policy making by building on experiences and results obtained through the delegated project management. The aim for 2019 is to reach an agreement between the parent DGs and REA on these policy feedback plans allowing an even more systematic and effective contribution to the Commission's policy developments, by capitalising on the programmes' and projects' outputs and results.

REA is also responsible for the **provision of administrative and logistical support services**. The mandate of REA regarding participant validation has been extended beyond Horizon 2020 participants and, as of January 2018, the legal validation and the preparation of the financial capacity assessments of third parties participating in procurement and grant procedures in EC direct management (all part of SEDIA) is centralised in REA.

In addition, the Agency provides other support services to the Commission services, Agencies and Joint Undertakings implementing Horizon 2020 and, to a lower extent, FP7. These services include:

- the planning of the calls for proposals and contests for prizes and support for their publication,
- the general logistical support for the evaluations,
- the validation of legal entities for independent experts evaluators and reviewers,
- the contracting and payment of the independent experts involved in the evaluation of all the proposals received.

More details on tasks that the Agency performs as service provider are described in section 3.10.

PART 3. OVERVIEW OF OUTPUTS FOR THE YEAR

Part 3 of the work programme gives details about the planned outputs per activity: sections 3.1-3.9 cover the **FP7 and Horizon 2020 programme implementation**, and section 3.10 refers to the **administrative and logistical support services** provided by REA.

In 2019, REA will absorb a significant workload covering all stages of the project management life cycle for **Horizon 2020**, at the middle of its lifecycle. **FP7 legacy**, and in particular the SME scheme, still requires specific attention. The support services will continue the roll-out of the SEDIA project and will maintain the high quality services provided to clients at the R&I Family now at Commission level.

Some **challenges** affecting most of REA's activities should be underlined.

The activities of the year will take into account and reflect the needs which are related to the preparations to **Brexit**, including technical-administrative-budgetary measures. These actions are being coordinated by the Secretariat-General with a view to ensuring coherence in the design and timing of these measures.

REA will refine its approach to provide **effective policy feedback** to, and in collaboration with, its parent DGs. In 2018, REA exchanged good practices in policy feedback across all programmes managed by REA. Further to this comprehensive stock-taking, REA developed its Policy Feedback Approach that has been shared with members of the R&I family through the D&E-NET (Dissemination & Exploitation Network). Based on this strategy, REA units have developed tailor-made 'Policy Feedback Plans', intended to meet the specific needs of the REA's parent DGs.

In order to reach a common understanding on the deliverables and to duly monitor the performance, REA and its parent DGs will further define the terms of this activity. An agreement should be reached in 2019 on the proposed 'Policy Feedback Plans', and in particular define which measures offer maximum benefit without imposing an unmanageable workload on REA. This implies setting realistic targets and reporting on their achievement.¹³

Another general challenge lies in the **performance of the IT environment**, on which the efficiency of most of REA's operations is highly dependent. REA services identified a series of issues relating to lacking functionalities and a lack of reliability/stability of various systems. They impact on grant management, participant validation and expert contracting and payment. REA will continue to be active in CSC/IT governance structures to raise attention to these issues and contribute to finding optimal solutions.

¹³ The final report of the Study Supporting the Evaluation of Research Executive Agency 2015-2018 also recommends in its conclusions to follow this approach.

3.1. Implementation of Horizon 2020 – Excellent Science – Marie Skłodowska-Curie Actions (MSCA) and FP7 predecessor actions (DG EAC)

The policy objectives and fields of actions of the MSCA are stipulated in the Horizon 2020 Specific Programme and in the Work Programme 2018-2020¹⁴. The activities and objectives of the FP7 Marie Curie Actions (MCA) are set out in the Council Decision on the People Specific Programme¹⁵ and in the related annual work programmes.

REA has been entrusted with the management of the full project cycle of the MSCA actions according to the Annexes I and II of the Delegation Act¹⁶. It manages the actions (except for policy support actions which are not subject to open calls for proposals) based on the Commission's policy guidance stipulated in the work programmes.

REA's contribution to achieving the Commission's objectives is summarised in the following table:

Relevant general objective: General objective 1-A: Under the overarching Commission objective of a "A New Boost for Jobs, Growth and Investment" (no.1), EU level intervention aims at competitiveness through education, innovation, youth, culture and sport.					Parent DG: EAC
Specific objective: Specific objective 1.7: Excellent science – Marie Skłodowska-Curie actions – to ensure optimum development and dynamic use of Europe's intellectual capital of researchers in order to generate new skills and innovation and, thus, to realise its full potential across all sectors and regions.					Related to spending programmes H2020 and FP7
Main outputs in 2019:					
	Call ID	Call deadline	No. of outputs (calls)	Topics delegated to REA	Indicative budget 2019 from the H2020 WP 2018-20 (CA, million €)
Management of Horizon 2020					
Management of the calls and contracting procedures of the WP 2018-2020¹⁷ – Marie Skłodowska-Curie Actions					
Innovative Training Networks (Unit A1)	MSCA-ITN-2019	15.01.2019	1	3 (All) topics	470.00

¹⁴ Commission Decision C(2018)4708 of 24 July 2018.

¹⁵ Council Decision 2006/973/EC of 19 December 2006, OJ L54, 22.2.2007, p.91.

¹⁶ Commission Decision C(2013) 9418 of 20 December 2013.

¹⁷ Commission Decision C(2018)4708 of 24 July 2018.

Individual Fellowships (Units A2 and A4) ¹⁸	MSCA-IF-2019	11.09.2019	1	5 (All) topics	294.49
Research and Innovation Staff Exchange (Unit A3)	MSCA-RISE-2019	02.04.2019	1	1 (all topics)	80.00
Cofunding of regional, national and international programmes (Unit A4)	MSCA-COFUND-2019	26.09.2019	1	2 (All) topics	90.00
Total			4	11 (All) topics	<u>934.49</u>
Management of FP7					
Management of FP7 grant agreements (FP7 People Programme)			All FP7 calls closed	n/a	n/a

In addition to the calls specified in the above table, two actions have been introduced in the Work Programme 2018-20: Widening Fellowships and Special needs lump sum. Those two actions represent a challenge for 2019 since, apart from new IT developments that had to be undertaken and are still ongoing, they will require specific efforts in terms of coordination and monitoring.

Widening Fellowships: The Widening Fellowships will be implemented through Work Programme part 15, Spreading Excellence and Widening Participation, with the aim to provide specific support to researchers to undertake their fellowship in a widening country. The action will be implemented by the Marie Skłodowska-Curie Actions - unit A4, and the details of the 2019 call are mentioned in section 3.7 Spreading Excellence and Widening Participation. The evaluation, GA signature as well as the implementation will be managed within the MSCA-IF call.

Special needs lump sum: In order to allow the participation of researchers with special needs, the beneficiaries from MSCA grants will be able to apply to a dedicated "Special needs lump sum" call in all four MSCA actions: ITN, IF, RISE and COFUND. This grant is a Coordination and Support Action. The special needs allowance will take the form of a lump sum awarded in the form of a low value grant to an identified beneficiary and will cover up to 100% of eligible costs. It will be limited to a maximum of **EUR 60,000 per researcher/staff member** and will be available as of **the first quarter 2019**. **Indicative budget for 2019:** EUR 1.00 million.

Following the positive outcomes of the MSCA involvement in the **Innovation Radar** initiative, the work will be continued and may be further extended in 2019.

The key actions to be performed by REA in order to contribute to the achievement of these objectives have been identified. They relate to the core stages of the project cycle and are listed below:

- For the management of Horizon 2020, estimated numbers are provided for all actions;

¹⁸ Regarding Widening Fellowships (WF-02-2019 (MSCA-IF-EF)): even though this topic will be managed by the Marie Skłodowska-Curie Actions – Unit A4, it is implemented through Work Programme part 15, Spreading Excellence and Widening Participation (for details regarding this topic see section 3.7).

- For the management of the previous framework programme (FP7), all the calls being closed, only actions linked to project management are applicable and for those estimated numbers are provided.

Regarding the management of FP7 MCA legacy projects, it should be noted that, even though there are considerably less projects ongoing compared to Horizon 2020, the complexity of controls and operations are comparatively higher and require a significant number of resources. Moreover, the share of problematic cases and the efforts spent in their management is increasing as the closure of the FP7 MCA legacy portfolio is progressing.

Key actions in 2019:		
Description	Estimated number (FP7)	Estimated number (H2020)
Events to ensure successful implementation of the programme and to promote Horizon 2020 funding opportunities (organised by REA)	n/a	12
Calls for proposals		4
Evaluation sessions		4
Number of individual proposals evaluated		13,000
Number of grants signed		1,700
Procedures for selection by the Commission (where necessary)		24
Pre-financing payments	0	1,700
Interim payments / progress reports	7	425
Final payments / final reports	93	1,250

In practice, through these actions, REA will contribute to reach the targets set by DG EAC as regards the number of researchers, including PhD candidates, funded through the MSCA, the number of MCA/MSCA fellows in employment positions two years after the end of their fellowship¹⁹, the percentage of women participating in the MSCA, the number of peer-reviewed publications resulting from MCA/MSCA funded projects and the percentage of non-academic sector institutions and SMEs as host organisations in actions supported by MSCA.

¹⁹ Only for individual actions.

3.2. Implementation of Horizon 2020 – Excellent Science – FET Open (DG CNECT)

The policy objectives and fields of actions of FET Open are stipulated in the Horizon 2020 Specific Programme and in the Work Programme 2018-2020²⁰.

REA has been entrusted with the management of the full project cycle of FET Open according to the Annex I of the Delegation Act²¹. It manages the actions (except for policy support actions) based on the Commission's policy guidance stipulated in the work programmes.

REA's contribution to achieving the Commission's objectives is summarised in the following table:

Relevant general objective: "A New Boost for Jobs, Growth and Investment" (no.1)			Parent DG: CNECT		
Specific objective: Specific Objective 2.2: Europe's research finds investment opportunities for potential technology breakthroughs and flagships, in particular through the Horizon 2020 programme and using Private Public Partnerships.			Related to spending programme H2020		
Main outputs in 2019:					
	Call ID	Call deadline	No. of outputs (calls)	Topics delegated to REA	Indicative budget 2019 from the H2020 WP 2018-20 (CA, million €)
Management of Horizon 2020					
Management of the calls and contracting of the WP 2018-2020²² - Future and Emerging Technologies (Unit A5)					
FET-Open- Novel ideas for radically new technologies (Unit A5)	FETOPEN-2018-2019-2020 (RIA)	24.01.2019 and 18.09.2019 ²³ (2 nd and 3 rd cut-off)	1	Topic 1	321.3
	FETOPEN-2018-2019-2020 (CSA)	08.10.2019 ²⁴ (2 nd cut-off)		Topic 3	2.70
Total			1	2	<u>324.00</u>

²⁰ Commission Decision C(2018) 7238 of 13 November 2018.

²¹ Commission Decision C(2013) 9418 of 20 December 2013.

²² Commission Decision C(2018) 7238 of 13 November 2018.

²³ A single call with 4 cut-off dates: 1 in 2018 (16.05.2018), 2 in 2019 (24.01.2019 and 18.09.2019) as indicated and 1 in 2020 (13.05.2020).

²⁴ A single call with 3 cut-off dates: 1 in 2018 (16.10.2018), 1 in 2019 (08.10.2019) as indicated and 1 in 2020 (14.10.2020).

FET Open is part of the EIC pilot. Collaboration and coordination with EASME and DG RTD, in addition to DG CNECT, have intensified and will be further reinforced during 2019 as the pilot will pave the way towards the EIC under Horizon Europe. This new activity, coupled with a higher budget for FET Open, will result in additional work for the unit and significant challenges related to human resources.

The key actions performed by REA in order to contribute to the achievement of these objectives have been identified. They relate to the core stages of the project cycle and are listed below:

Key actions in 2019:	
Description	Estimated number (H2020)
Events to ensure successful implementation of the programme and to promote Horizon 2020 funding opportunities (organised by REA)	3
Calls for proposals	1
Evaluation sessions	3
Number of individual proposals evaluated	852
Number of grants signed	71
Procedures for selection by the Commission (where necessary)	4
Pre-financing payments	91
Interim payments / progress reports	72
Final payments / final reports	47

In practice, through these actions, REA will contribute to reach the targets set by DG CNECT as regards the number of publications in peer-reviewed high impact journals per EUR 10 million of EU funding (defined in the Horizon 2020 Specific Programme Regulation), the number of patent applications and patents awarded as a result of Horizon 2020 grants for Future and Emerging Technologies (FET).

3.3. Implementation of Horizon 2020 – Industrial leadership – Space and FP7 predecessor actions (DG GROW)

The policy objectives and fields of actions of this part of Horizon 2020 (LEIT Space Research actions managed by REA) are stipulated in the Horizon 2020 Specific Programme and in the Work Programme 2018-2020²⁵. The activities and objectives of the FP7 Space Research actions are set out in the Council Decision on the FP7 Cooperation Specific Programme²⁶ and in the related annual work programmes for the Space theme of the FP7 Cooperation Specific Programme.

REA has been entrusted with the management of the full project cycle of the Space actions according to the Annexes I and II of the Delegation Act²⁷. It manages the actions based on the Commission's policy guidance stipulated in the work programmes.

REA's contribution to achieving the Commission's objectives is summarised in the following table:

Relevant general objective(s): "A New Boost for Jobs, Growth and Investment" (no.1)				Parent DG: GROW	
Specific objective: Specific objective 1.2: To support research and innovation related to enterprises				Related to spending programmes H2020 and FP7	
Main outputs in 2019:					
	Call ID	Call deadline	No. of outputs (calls)	Topics delegated to REA	Indicative budget 2019 from the H2020 WP 2018-20 (CA, million €)
Management of Horizon 2020					
Management of the calls and contracting procedures of the WP 2018-2020²⁸ – Industrial Leadership (Unit B1)					
SPACE	SPACE-2019 (RIA)	12.03.2019	Topics 4, 6, 10, 13, 14, 17, 22, 23		67.00
	SPACE-2019 (IA)	12.03.2019	Topic 1		9.00
	SPACE-2019 (CSA)	12.03.2019	Topics 5, 9, 31		7.00
Other Actions:					
- PSAs for SRCs (2 CSAs)		Q3 2019	3 actions		6.00
- SST (SGA)		Q4 2019			22.90
- Copernicus evolution: fossil CO2 monitoring		Q4 2019			9.00

²⁵ Commission Decision C(2018) 4708 of 24 July 2018.

²⁶ Council Decision 2006/973/EC of 19 December 2006, OJ L54, 22.2.2007, p.91.

²⁷ Commission Decision C(2013) 9418 of 20 December 2013.

²⁸ Commission Decision C(2018) 4708 of 24 July 2018.

Total		1	12 topics + 3 actions	<u>120.90</u>
Management of FP7				
Management of FP7 grant agreements (FP7 Cooperation Programme, Space theme)			All FP7 calls closed	n/a

The key actions performed by REA in order to contribute to the achievement of these objectives have been identified. They relate to the core stages of the project cycle and are listed below:

- For the management of Horizon 2020, estimated numbers are provided for all actions.
- For the management of the previous framework programme (FP7), all the calls being closed, only actions linked to project management are applicable and for those estimated numbers are provided.

Key actions in 2019:		
Description	Estimated number (FP7)	Estimated number (H2020)
Events to ensure successful implementation of the programme and to promote Horizon 2020 funding opportunities (organised by REA)	n/a	4
Calls for proposals		1 ²⁹
Evaluation sessions		1
Number of individual proposals evaluated		194
Number of grants signed		40
Procedures for selection by the Commission (where necessary)		2
Pre-financing payments		25
Interim payments / progress reports		33
Final payments / final reports		6

In practice, through these actions, REA will contribute to reach the targets set for the programme as regards the number of patent applications in the different enabling and industrial technologies.

²⁹ In addition, there are three ad-hoc calls (see 'Other actions' in table 'Main outputs in 2019' above).

3.4. Implementation of Horizon 2020 – Societal Challenge 2 – Food security, sustainable agriculture and forestry, marine, maritime and inland water research and the bioeconomy (DG RTD and DG AGRI)

The policy objectives and fields of actions are stipulated in the Horizon 2020 Specific Programme and in the Work Programme 2018-2020³⁰.

REA has been entrusted with the management of the full project cycle of the Societal Challenge 2 (SC2) actions according to the Annex I of the Delegation Act³¹. It manages the actions (except for some policy support actions which are not subject to open calls for proposals or other actions delegated to other managing bodies) based on the Commission's policy guidance stipulated in the work programmes.

REA's contribution to achieving the Commission's objectives is summarised in the following table:

<p>Relevant general objectives:</p> <ul style="list-style-type: none"> • DG RTD aims to contribute to the general objective "A New Boost for Jobs, Growth and Investment" (no.1). • DG AGRI aims to contribute in particular to the following 3 general objectives: <ul style="list-style-type: none"> ○ "A New Boost for Jobs, Growth and Investment" (no.1), ○ "A Connected Digital Single Market" (no.2), ○ "A Resilient Energy Union with a Forward-Looking Climate Change Policy" (no.3) <p><u>H2020 Societal Challenge 2</u> contributes to all 3 Common Agricultural Policy (CAP) objectives that all contribute to the general objectives selected by DG AGRI; as well as to H2020 general objective "To build an economy based on knowledge and innovation across the whole Union, while contributing to sustainable development."</p>	<p>Parent DG: RTD Parent DG: AGRI</p>
<p>Specific objectives:</p> <ul style="list-style-type: none"> • Parent DG RTD: Specific objective 1.3: To ensure an effective and efficient implementation of Horizon 2020 and other RTD programmes and maximise synergies. • Parent DG AGRI: Specific objective: To ensure an effective and efficient implementation of Horizon 2020, in particular with regard to Societal Challenge 2, which aims at securing sufficient supplies of safe and high quality food and other bio-based products, by developing productive and resource-efficient primary production systems, fostering related ecosystem services and the recovery of biological diversity, alongside competitive and low carbon supply, processing and marketing chains. 	<p>Related to spending programme H2020</p>

³⁰ Commission Decision C(2018)4708 of 24 July 2018.

³¹ Commission Decision C(2013) 9418 of 20 December 2013.

Main outputs in 2019:					
	Call ID	Call deadline	No. of outputs (calls)	Topics delegated to REA	Indicative budget 2019 from the H2020 WP 2018-20 (CA, million €)
Management of Horizon 2020					
Management of the calls and contracting procedures of the WP 2018-2020³² – Societal Challenge 2					
Sustainable Food Security (Unit B2)	SFS-2019	See below	1	19 (All) topics	293.10
	SFS-2019 (RIA)	Stage 1: 23.01.2019 Stage 2: 04.09.2019	Topics 1, 4, 5, 19, 23, 28, 30, 34, 35, 37		154.10
	SFS-2019 (IA)	23.01.2019	Topics 8, 11, 12, 17, 24, 26, 39		84.00
	SFS-2019 (ERA-NET-Cofund)	23.01.2019	Topic 31		15.00
	SFS-2019 (EJP-Cofund)	23.01.2019	Topic 20		40.00
Blue Growth (Unit B2)	BG-2019	See below	1	6 topics	89.00
	BG-2019 (RIA)	Stage 1: 23.01.2019 Stage 2: 04.09.2019	Topic 8		27.00
	BG-2019 (IA)	23.01.2019	Topics 4, 5, 6, 7		60.00
	BG-2019 (CSA)	23.01.2019	Topic 9		2.00
Rural Renaissance (Unit B2)	RUR-2019	See below	1	9³³ (All) topics	84.50
	RUR-2019 (RIA)	Stage 1: 23.01.2019 Stage 2: 04.09.2019	Topics 1, 4		11.00

³² Commission Decision C(2018)4708 of 24 July 2018.

³³ The topic RUR-01-2019: Building modern rural policies on long-term visions and societal engagement has two sub-topics, one RIA and one CSA.

	RUR-2019 (IA)	23.01.2019	Topics 8, 10, 11	48.00
	RUR-2019 (CSA)	23.01.2019	Topics 1, 15, 16, 17, 18	25.50
Total			3 34 topics	<u>466.60</u>

The key actions performed by REA in order to contribute to the achievement of these objectives have been identified. They relate to the core stages of the project cycle and are listed below:

Key actions in 2019:	
Description	Estimated number (H2020)
Events to ensure successful implementation of the programme and to promote Horizon 2020 funding opportunities (organised by REA)	2
Calls for proposals	3
Evaluation sessions	9
Number of individual proposals evaluated	460
Number of grants signed	72
Procedures for selection by the Commission (where necessary)	12
Pre-financing payments	76
Interim payments / progress reports	93
Final payments / final reports	32

In practice, through these actions, REA will contribute to reach the targets set by DG RTD and DG AGRI as regards the number of publications in peer-reviewed high impact journals and the number of patent applications in the area of Societal Challenge 2.

3.5. Implementation of Horizon 2020 – Societal Challenge 6 – Inclusive, Innovative and Reflective Societies (DG RTD and DG CNECT)

The policy objectives and fields of actions are stipulated in the H2020 Specific Programme and in the Work Programme 2018-2020³⁴.

REA has been entrusted with the management of the full project cycle of the Societal Challenge 6 (SC6) actions according to the Annex I of the Delegation Act³⁵. It manages the actions (except for policy support actions or other actions delegated to other managing bodies) based on the Commission's policy guidance stipulated in the work programmes.

REA's contribution to achieving the Commission's objectives is summarised in the following table:

Relevant general objectives:					Parent DG: RTD
<ul style="list-style-type: none"> DG RTD and DG CNECT both aim to contribute to the general objective "A New Boost for Jobs, Growth and Investment" (no.1).³⁶ 					Parent DG: CNECT
Specific objectives:					Related to spending programme H2020
<ul style="list-style-type: none"> Parent DG RTD: Specific objective 1.3: To ensure an effective and efficient implementation of Horizon 2020 and other RTD programmes and maximise synergies. Parent DG CNECT: Specific Objective 2.2: Europe's research finds investment opportunities for potential technology breakthroughs and flagships, in particular through the Horizon 2020 programme and using Private Public Partnerships. 					
Main outputs in 2019:					
	Call ID	Call deadline	No. of outputs (calls)	Topics delegated to REA	Indicative budget 2019 from the H2020 WP 2018-2020 (CA, million €)
Mangement of H2020					
Management of the calls and contracting procedures of the WP 2018-2020³⁷ – Societal Challenge 6					
Migration (Unit B3)	MIGRATION-2019	14.03.2019	1	4 topics	35.00

³⁴ Commission Decision C (2017) 7124 of 27 October 2017.

³⁵ Commission Decision C(2013) 9418 of 20 December 2013.

³⁶ Through its migration related SC6-projects, REA also indirectly contributes to achieving the Commission general objective no.8: "Towards a new Policy on Migration".

³⁷ Commission Decision C(2017) 7124 of 27 October 2017.

	MIGRATION-2019 (RIA)	14.03.2019	Topics 1, 3, 7		27.00
	MIGRATION-2019 (IA)	14.03.2019	Topic 6		8.00
Transformations (Unit B3)	TRANSFORMATIONS 2019	14.03.2019	1	8 topics	62.00
	TRANSFORMATIONS-2019 (RIA)	14.03.2019	Topics 2, 3, 4, 7a, 8, 11, 13, 17		62.00
Governance (Unit B3)	GOVERNANCE-2019	14.03.2019	1	8 topics	53.75
	GOVERNANCE-2019 (RIA)	14.03.2019	Topics 1, 4, 5, 10, 13		44.00
	GOVERNANCE-2019 (IA)	14.03.2019	Topic 12		8.00
	GOVERNANCE-2019 (CSA)	14.03.2019	Topics 18, 19		1.75
Total			3	20 topics	<u>150.75</u>

The key actions performed by REA in order to contribute to the achievement of these objectives have been identified. They relate to the core stages of the project cycle and are listed below:

Key actions in 2019:	
Description	Estimated number (H2020)
Events to ensure successful implementation of the programme and to promote Horizon 2020 funding opportunities (organised by REA)	0 ³⁸
Calls for proposals	3
Evaluation sessions	3
Number of individual proposals evaluated	600
Number of grants signed	49
Procedures for selection by the Commission (where necessary)	9
Pre-financing payments	38
Interim payments / progress reports	49
Final payments / final reports	42

³⁸ Unit B3 is involved in the info session for the Horizon 2020 SC6 programme by supporting the units in the parent DG through presentations, expertise and active participation to events, but B3 does not organise this kind of event under its own responsibility.

In practice, through these actions, REA will contribute to reach the targets set by DG RTD as regards the number of publications in peer-reviewed high impact journals in the area of inclusive, innovative and reflective societies, as well as the targets set by DG CNECT as regards the number of prototypes and testing activities and the number of joint public-private publications in the area.

3.6. Implementation of Horizon 2020 – Societal Challenge 7 – Safeguarding Secure Society and FP7 predecessor actions (DG HOME and DG CNECT)

The policy objectives and fields of actions of Societal Challenge 7 (SC7) are stipulated in the Horizon 2020 Specific Programme and in the Work Programme 2018-2020³⁹.

The activities and objectives of the FP7 Security actions are set out in the Council Decision on the FP7 Cooperation Specific Programme⁴⁰ and in the related annual work programmes for the Security theme of the FP7 Cooperation Specific Programme.

REA has been entrusted with the management of the full project cycle of these actions according to the Annexes I and II of the Delegation Act⁴¹. It manages the actions (except for policy support actions which are not subject to open calls for proposals or other actions delegated to other managing bodies) based on the Commission's policy guidance stipulated in the work programmes.

REA's extended mandate to manage projects generating EU classified information (EUCI) for Societal Challenge 7 entered into force on 1 January 2018. The arrangements for managing projects classified *EU restricted* were put in place in 2017 and REA effectively started handling these projects in June 2018.

A new challenge for 2019 is to ensure the successful transfer of *EU confidential* projects to be managed in full compliance with the instructions of DG HR.DS (Security). Formal and practical procedures have been put in place and staff is being trained.⁴²

REA's contribution to achieving the Commission's objectives is summarised in the following table:

<p>Relevant general objectives:</p> <ul style="list-style-type: none"> • DG HOME aims to contribute to the general objective "An Area of Justice and Fundamental Rights based on Mutual Trust" (no.7). • DG CNECT aims to contribute to the general objective "A New Boost for Jobs, Growth and Investment" (no.1). 	<p>Parent DG: HOME</p> <p>Parent DG: CNECT</p>
<p>Specific objectives:</p> <ul style="list-style-type: none"> • Parent DG HOME : Specific objectives under general objective 7: <ul style="list-style-type: none"> ○ A strong EU response to tackling terrorism and preventing radicalisation; ○ Disrupt serious and organised cross border crime ○ Fighting cybercrime • Parent DG CNECT: Specific Objective 2.2: Europe's research finds investment opportunities for potential technology breakthroughs and flagships, in particular through the Horizon 2020 programme and using Private Public Partnerships. 	<p>Related to spending programmes H2020 and FP7</p>

³⁹ Commission Decision C (2018) 4708 of 24 July 2018.

⁴⁰ Council Decision 2006/973/EC of 19 December 2006 (OJ L54, 22.2.2007, p.91).

⁴¹ Commission Decision C(2013) 9418 of 20 December 2013.

⁴² For more details on the handling of classified information, see section 4.1.3 on Information Management.

Main outputs in 2019:						
	Call ID	Call deadline	No. of outputs (calls)	Topics delegated to REA	Indicative budget 2019 from the H2020 WP 2018-20 (CA, million €)	
Management of Horizon 2020						
Management of the calls and contracting procedures of the WP 2018-2020⁴³ – Societal Challenge 7						
Protecting the infrastructure of Europe and the people in the European smart cities (Unit B4)	SU-INFRA-2019 (IA)	22.08.2019	1	All 2 topics	38.00	
	SU-INFRA-2019 (IA)	22.08.2019	Topics 1, 2		38.00	
Security⁴⁴ (Unit B4)	SU-SEC-2019	22.08.2019	1	All 13 topics	157.36	
	SU-BES-2019 (RIA)	22.08.2019	Topics 1, 2		31.00	
	SU-BES-2019 (IA)		Topic 3		10.00	
	SU-DRS-2019 (RIA)		Topics 1, 2, 4		36.50	
	SU-DRS-2019 (IA)		Topic 3, 5		16.00	
	SU-FCT-2019 (RIA)		Topics 1, 2		38.16	
	SU-FCT-2019 (IA)		Topic 3		8.00	
	SU-GM-2019 (CSA)		Topic 1		7.00	
	SU-GM-2019 (PCP)		Topic 3		10.70	
	Digital Security (Unit B4)		SU-DS-2019	22.08.2019	1	3 topics
SU-DS-2019 (IA)			22.08.2019	Topics 3, 5		28.00
SU-DS-2019 (RIA)		Topic 5		10.00		
			3	18 topics	<u>233.36</u>	

⁴³ Commission Decision C(2018) 4708 of 24 July 2018.

⁴⁴ The Commission reserves the possibility under this call to exclude a specific project from the delegation to the REA if it appears that that project would necessarily have a close link to the development of EU policies in the field of security (SC7 Work Programme, page 19)

Management of FP7

Management of FP7 grant agreements (Cooperation Programme, Security theme) (Unit B4)	All FP7 calls closed	n/a	n/a
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The key actions performed by REA in order to contribute to the achievement of these objectives have been identified. They relate to the core stages of the project cycle and are listed below:

- For the management of Horizon 2020, estimated numbers are provided for all actions;
- For the management of the previous framework programme (FP7), all the calls being closed, only actions linked to project management are applicable and for those estimated numbers are provided.

Key actions in 2019:

Description	Estimated number (FP7)	Estimated number (H2020)
Events to ensure successful implementation of the programme and to promote Horizon 2020 funding opportunities (organised by REA)	n/a	0 ⁴⁵
Calls for proposals		3
Evaluation sessions		3
Number of individual proposals evaluated		300
Number of grants signed		33
Procedures for selection by the Commission (where necessary)		4
Pre-financing payments		33
Interim payments / progress reports	0	26
Final payments / final reports	6	31

In practice, through these actions, REA will contribute to reach the targets set by DG CNECT as regards the number of prototypes and testing activities and the number of joint public-private publications in the area, as well as the targets set by DG HOME as regards the number of patent applications in the area of the Societal Challenge (secure societies) and the share of projects with activities on the road to innovation measured by the Technology Readiness Level (TRL) indicator.

⁴⁵ Unit B4 is involved in the info session for the Horizon 2020 SC7 programme by supporting the units in the parent DG through presentations, expertise and active participation to events, but B4 does not organise this kind of event under its own responsibility.

3.7. Implementation of Horizon 2020 – Spreading Excellence and Widening Participation (SEWP) (DG RTD)

The policy objectives and fields of actions of this Horizon 2020 specific objective (SEWP actions managed by REA) are stipulated in the Horizon 2020 Specific Programme and in the Work Programme 2018-2020⁴⁶.

REA has been entrusted with the management of the full project cycle of the SEWP programme according to the Annex I of the Delegation Act⁴⁷. It manages the actions (except for policy support actions which are not subject to open calls for proposals) based on the Commission's policy guidance stipulated in the work programmes.

REA's contribution to achieving the Commission's objectives is summarised in the following table:

Relevant general objective: "A New Boost for Jobs, Growth and Investment" (no.1)					Parent DG: RTD
Specific objective: Specific objective 1.3: To ensure an effective and efficient implementation of Horizon 2020 and other RTD programmes and maximise synergies.					Related to spending programme H2020
Main outputs in 2019:					
	Call ID	Call deadline	No. of outputs (calls)	Topics delegated to REA	Indicative budget 2019 from the WP 2018-20 (CA, million €)
Management of Horizon 2020					
Management of the calls and contracting procedures of the WP 2018-2020⁴⁸ – Spreading Excellence and Widening Participation (SEWP)					
WIDESPREAD-01-2018-2019 (Unit B5)	WIDESPREAD-01-2018-2019 (CSA)	15.11.2018	1	n/a	111.00
WIDESPREAD-04-2019 (Unit B5)	WIDESPREAD-04-2019 (CSA)	15.11.2018	1	n/a	30.00
Widening Fellowships (Unit A4)	WF-02-2019 (MSCA-IF-EF)	11.09.2019	1	n/a	6.00
Total			3	n/a	<u>147.00</u>

Widening Fellowships: The Widening Fellowships will be implemented through Work Programme part 15, Spreading Excellence and Widening Participation, with the aim to

⁴⁶ Commission Decision C(2018) 4708 of 24 July 2018.

⁴⁷ Commission Decision C(2013) 9418 of 20 December 2013.

⁴⁸ Commission Decision C(2018) 4708 of 24 July 2018.

provide specific support to researchers to undertake their fellowship in a widening country.

The action will, however, be implemented by the Marie Skłodowska-Curie Actions (MSCA) - Unit A4: the evaluation, GA signature as well as the implementation will be managed under the MSCA-IF call. As explained in section 3.1 (Implementation of Horizon 2020 – Excellent Science –MSCA) this way of operating will require specific efforts in terms of coordination and monitoring of the topic.

The key actions performed by REA in order to contribute to the achievement of these objectives have been identified. They relate to the core stages of the project cycle and are listed below:

Key actions in 2019:	
Description	Estimated number (H2020)
Events to ensure successful implementation of the programme and to promote Horizon 2020 funding opportunities (organised by REA)	2 ⁴⁹
Calls for proposals	3 ⁵⁰
Evaluation sessions	3 ⁵¹
Number of individual proposals evaluated	692 ⁵²
Number of grants signed	99 ⁵³
Procedures for selection by the Commission (where necessary)	11 ⁵⁴
Pre-financing payments	89 ⁵⁵
Interim payments / progress reports	6 ⁵⁶
Final payments / final reports	96 ⁵⁷

In practice, through these actions, REA will contribute to reach the targets set by DG RTD for publications in high-impact journals in the given research field.

⁴⁹ 2 for SEWP, 0 for Widening Fellowships (WF).

⁵⁰ 2 for SEWP plus WF.

⁵¹ 3 for SEWP. WF does not have a separate evaluation session, it is part of the MSCA-IF evaluation session (see section 3.1).

⁵² 650 for SEWP, 42 for WF.

⁵³ 64 for SEWP, 35 for WF.

⁵⁴ 10 for SEWP (approximate forecast using a model of batches composed of 6 proposals) and 1 for WF.

⁵⁵ 65 for SEWP, 24 for WF.

⁵⁶ 6 for SEWP, 0 for WF.

⁵⁷ 96 for SEWP, 0 for WF.

3.8. Implementation of Horizon 2020 – Science with and for Society (SwafS) (DG RTD)

REA has been entrusted with the management of the full project cycle of the SwafS actions according to the Annex I of the Delegation Act⁵⁸. It manages the actions (except for policy support actions which are not subject to open calls for proposals) based on the Commission's policy guidance stipulated in the work programmes.

REA's contribution to achieving the Commission's objectives is summarised in the following table:

Relevant general objective: "A New Boost for Jobs, Growth and Investment" (no.1)			Parent DG: RTD		
Specific objective: Specific objective 1.3: To ensure an effective and efficient implementation of Horizon 2020 and other RTD programmes and maximise synergies.			Related to spending programme H2020		
Main outputs in 2019:					
	Call ID	Call deadline	No. of outputs (calls)	Topics delegated to REA	Indicative budget 2019 from the H2020 WP 2018-20 (CA, million €)
Management of Horizon 2020					
Management of the calls and contracting procedures of the WP 2018-2020⁵⁹ – Science with and for Society (SwafS) (Unit B5)					
1. Accelerating and catalysing processes of institutional change					15.50
	SwafS-2019 CSA)	Stage 1: 02.04.2019 Stage 2: 07.11.2019	Topic 1		4.50
	SwafS-2019 (CSA)	02.04.2019	Topics 5, 7, 8		11.00
2. Stepping up the support to Gender Equality in Research & Innovation policy					12.50
	SwafS-2019 (CSA)	02.04.2019	Topic 9		9.00
	SwafS-2019 (RIA)	02.04.2019	Topics 11, 12		3.50
3. Building the territorial dimension of SwafS partnerships					9.50
	SwafS-2019 (CSA)	02.04.2019	Topic 14		9.50
4. Exploring and supporting citizen science					13.00
	SwafS-2019 (RIA)	02.04.2019	Topic 15		10.00
	SwafS-2019 (CSA)	02.04.2019	Topic 16		3.00

⁵⁸ Commission Decision C(2013) 9418 of 20 December 2013.

⁵⁹ Commission Decision C(2017) 7124 of 27 October 2017.

5. Building the knowledge base for SwafS				12.00
	SwafS-2019 (RIA)	02.04.2019	Topics 17, 19	6.00
	SwafS-2019 (RIA)	Stage 1: 02.04.2019 Stage 2: 07.11.2019	Topic 20	6.00
Total			1	13 topics
				<u>62.50</u>

The key actions performed by REA in order to contribute to the achievement of this objective have been identified. They relate to the core stages of the project cycle and are listed below:

Key actions in 2019:	
Description	Estimated number (H2020)
Events to ensure successful implementation of the programme and to promote Horizon 2020 funding opportunities (organised by REA)	2
Calls for proposals	1
Evaluation sessions	2
Number of individual proposals evaluated	240
Number of grants signed	34
Procedures for selection by the Commission (where necessary)	5
Pre-financing payments	33
Interim payments / progress reports	18
Final payments / final reports	28

In practice, through these actions, REA will contribute to reach the targets set by DG RTD as regards the number of institutional change actions promoted by the programme.

3.9. Implementation of FP7 SME actions

The activities and objectives of the FP7 Research for the benefit of SME actions are set out in the Council Decision on the Capacities Specific Programme⁶⁰ and in the related annual work programmes.

REA has been entrusted with the management of the legacy of the FP7 Research for the benefit of SME actions according to the Annex II of the Delegation Act⁶¹. Since this action has no direct successor managed by REA, the management of the legacy has been split over the Units A5, B2 and B3, dealing respectively with FET Open, Societal Challenge 2 and Societal Challenge 6.

Management of FP7 SME legacy projects is complex and resource-intensive. The share of problematic cases and the efforts spent in their management is increasing as the closure of the FP7 SME legacy portfolio is progressing. In order to address this in the most cost-effective way, a centralised taskforce will be set up in 2019, with the objective of a timely and consistent closure of the files.

Relevant general objective:			Parent DG: RTD	
<ul style="list-style-type: none"> "A New Boost for Jobs, Growth and Investment" (no.1) 				
Specific objective:			Related to spending programme FP7	
<ul style="list-style-type: none"> Specific objective 1.3: To ensure an effective and efficient implementation of Horizon 2020 and other RTD programmes and maximise synergies. 				
Main outputs in 2018:				
Management of FP7				
	Call ID	Call deadline	No. of outputs (calls)	Topics delegated to REA
Management of FP7 grant agreements (FP7 research for the benefit of SMEs Actions) (Units A5, B2, B3)			All FP7 calls closed	n/a

The key actions performed by REA in order to contribute to the achievement of this objective, have been identified. They relate to the remaining stages of the FP7 project cycle and are listed below:

Key actions in 2019:	
Description	Estimated number (FP7)
Interim payments / progress reports	1
Final payments / final reports	40

In practice, through these actions, REA will contribute to reach the targets set by DG RTD

⁶⁰ Council Decision 2006/973/EC of 19 December 2006, OJ L54, 22.2.2007, p.101.

⁶¹ Commission Decision C(2013) 9418 of 20 December 2013.

as regards the support provided to SMEs in outsourcing research and technological development, such as the number of SMEs/SME Associations investing in RTD through the FP7 SME specific measures and the total budget spent by SMEs on outsourcing research, innovation and demonstration activities to RTD performers in FP7 SME specific measures.

3.10. Administrative and logistical support services

REA provides administrative and logistical support services according to the Annex III of the Delegation Act and under the provisions of the Rules for Administrative and Logistical Support Services, which were approved in their latest version, by the REA Steering Committee in February 2017. Since its autonomy in 2009, REA has seen its mandate extended several times, the last revision entering into force on 1 January 2018 with the SEDIA project.

3.10.1. Participant validation services

The SEDIA project has the objective to deliver a Single Electronic Data Interchange Area for all participants involved in EU grant and procurement procedures. In this context, REA became responsible for the **validation of the legal information** and the preparation of the **financial capacity assessment** relating to the participants in all grant and procurement procedures implemented by Commission services, Executive Agencies and other implementing bodies under direct management. As a consequence, REA has been welcoming a series of new clients. However, rather than kicking-in at full strength as of 1 January 2018, the **new services** are being **implemented progressively**.

Once the legal validation process of an entity is completed, REA is also responsible for the validation of the LEAR (Legal Entity Appointed Representative) appointed by that entity on the basis of relevant supporting documents. The LEAR is entrusted to (i) manage the legal and financial information of the organisation in the Participant Register on the Participant Portal, (ii) manage access rights to the same register for people in the organisation and (iii) appoint representatives of the organisation to electronically sign grant agreements/contracts/cost claims.

In addition, REA takes also care of the **validation of bank accounts** of entities receiving funding or signing a procurement contract.

Starting from 2018, REA is entrusted with the preparation of the **financial capacity assessment**, providing a unique set of core financial data to serve all SEDIA clients in the calculation of their financial indicators supporting their decision making with respect to the financial capacity selection criteria.

Since 2015, REA carries out an **annual ex-post verification** on a number of entities to confirm their SME status which is attributed to them on the basis of the SME self-assessment tool embedded in the Participant Portal. In addition, an ex-ante validation is carried out by REA upon request of the concerned entities participating in the SME Instrument. In 2018, a new approach was defined for the controls on SME status, following which the checks are performed during the GAP stage and focused on the most significant beneficiaries in terms of budget. It is not expected to modify this new approach in 2019.

The Agency operates the **Research Enquiry Service** addressing questions raised by the public on Horizon 2020 and other research matters, as well as on participants' validation and feeding the Frequently Asked Questions (FAQ) database.

Besides the implementation of the SEDIA project, REA will continue to cooperate with DG BUDG in order to monitor the on-going harmonisation process and ensure the **consistent application of the validation rules and practises**.

Moreover, REA will contribute to the **development of the corporate IT tools** that will support the process for handling participant information for procurements and grants in a fully automated and integrated way.

The **gradual 'on-boarding'** of the Commission services in e-Procurement and of non-Horizon 2020 grant programmes in e-Grants required different actions. After the extensive preparative work done in 2017, REA faced important challenges regarding organisational, technical or legal aspects, in order to deliver the expected service during 2018. REA, together with the involved Commission services, has been working hard to offer a reliable and consistent business environment to the internal and external stakeholders.

The Participant Data Management (PDM) is used to store legal and financial data of participants in EU grant and procurement procedures under direct management and information related to grant and procurement procedures for decentralised management actions under the responsibility of National Agencies. There is a fundamental incompatibility between direct and indirect management actions. This has led to numerous and continuous complaints. A separation of the database for decentralised management actions managed by National Agencies from the SEDIA database ought to be put in place, based on a consensual agreement of all parties involved (DG EAC, DG DIGIT, REA). Until this structural solution is implemented, manual correction interventions need to be performed.

The continuation of the rolling-out of SEDIA in 2019 and the participant validation services that will be provided in 2019 are dependent on several factors:

- Further development of the e-Procurement platform to cover all types of procurement procedures;
- Final decision about corporate validation rules to apply to low value procurement;
- Further 'on-boarding' of clients in the e-Grants platform;
- Further 'on-boarding' of the bigger REA validation services clients (e.g. DG DEVCO, DG NEAR);
- Choice of clients 'on-boarded' in e-Procurement to use the full or partial package of corporate validation services provided by REA.

Particular challenges that REA will face in 2019 include:

- the development of a common framework applicable to all EU services that are gradually becoming SEDIA clients;
- the project of introducing simplification measures to support the participation of non-EU entities;
- the finalisation of an agreed financial capacity assessment methodology for non-Horizon 2020 programmes;
- the set-up of a centre of excellence for financial analysis;
- the simplification of the bank account workflow.

The workload for 2019 is difficult to assess. Based on the information currently available it can be estimated as follows:

Relevant general objective: "A New Boost for Jobs, Growth and Investment" (no.1)		Parent DG: RTD
Specific objective: Specific objective 1.3: To ensure an effective and efficient implementation of Horizon 2020 and other RTD programmes and maximise synergies.		Related to spending programmes H2020, FP7 and other direct management programmes
Main outputs in 2019:		
Description	Estimated Number	Estimated budget
Provision of administrative and logistical support services		
Tasks related to participant validation – legal validation		
Number of participants validated (for H2020 and other programmes)	10,000	n/a
Number of LEAR mandates validated	10,000	n/a
Number of UTRO validations and ICM/Ex-post modifications	500	n/a
Number change requests or additional corrections	10,000	n/a
Tasks related to participant validation – SME validation		
Number of SME validations performed	60	n/a
Tasks related to participant validation – financial capacity assessment		
Number of financial capacity assessments performed	5,000	n/a
Tasks related to the Research Enquiry Service (RES) back-office		
Number of answers given (directly by the RES team, the service provider (EDCC) and the local helpdesks)	8,000	n/a
Frequently Asked Questions		
Number of questions approved and published	600	n/a

3.10.2. Expert management and support

REA coordinates and manages the **call planning and publication process** for a number of programmes, including Horizon 2020⁶².

Regarding **evaluation support**, REA manages the evaluation building in the Covent Garden complex (COVE), offering reception and support service to operational units and

⁶² Horizon2020, Euratom, COSME, RFCS, AGRIP, AMIF, CP, HERC, ISFB, ISFP, JUST, REC, UCPM, ESTAT.

experts during on-site evaluation sessions. These evaluation support services are available for the Horizon 2020, EURATOM, COSME and RFCS programmes.

In the area of expert management, REA is in charge of **contracting** (including the verification and validation of experts' legal entities and bank accounts) and **paying the expert evaluators** for Horizon 2020 (except for European Research Council experts) as well as **expert monitors** ('reviewers') for FP7 and Horizon 2020 actions delegated to REA. The Agency is also responsible for validating the expert monitors' Legal Entity and Bank Accounts Files for Horizon 2020 actions which have not been delegated to REA.

In addition, REA provides **support to experts** during the evaluations and throughout the contracting and payment workflow. This includes the management of expert queries, face-to-face customer service and follow-up.

In 2019, the expert management and support services will dedicate specific efforts to the following activities:

- Evaluation and expert management support for the EIC⁶³ pilot;
- The development, testing and roll-out of the new Legal Entity and Bank Account validation workflows, as well as testing and piloting of the new PMON workflow, the latter will be used as a basis for the new workflow for evaluators in Compass;
- Possible revision of the Commission Decision C(2007)5858⁶⁴ on the reimbursement of experts, including communication to experts and implementation in the IT systems (for payments and contracting);
- Possible move to lump sums payments for travel costs for experts;
- Increasing efforts to stabilise work on IT tools and ensure their adequate performance, in concert with the Expert Management Governance and the Common Support Centre (RTD J.4), as well as developing contingency plans in the event of the failure of IT (Information Technology) systems;
- Identifying more effective ways to assess the efficiency of the 2018 remodelling of the COVE premises.

The second **release of PMON will have an impact on** REA during 2019 as it will fully integrate the workflows for expert monitors with COMPASS. A close follow-up and extensive testing of the tool will be key. The building blocks of PMON are designed to be reused for the expert evaluators. However, adapted workflows and additional functionality will have to be developed by the IT provider to meet the specific needs of evaluators.

The adoption of a revised version of the Commission decision on the **Rules on the reimbursement of experts** would be another major milestone. Should the revision not appear imminent in 2019, REA would continue to work with the AOSD Working Group across DGs and services on the Reimbursement of Costs with a view to reaching agreement on a common approach.

The major outputs of REA for 2019 are summarised in the table below. There is an expected reduction in the proportion of evaluators attending the premises, given the increasing convenience of remote evaluations and the availability of state-of-the-art

⁶³ European Innovation Council

⁶⁴ Commission Decision C(2007)5858 : Rules on the reimbursement of expenses incurred by people from outside the Commission invited to attend meetings in an expert capacity.

video conferencing facilities as of the last quarter 2018. A slight increase is expected in the number of calls as Horizon 2020 reaches its end.

Relevant general objective: "A New Boost for Jobs, Growth and Investment" (no.1)		Parent DG: RTD
Specific objective: Specific objective 1.3: To ensure an effective and efficient implementation of Horizon 2020 and other RTD programmes and maximise synergies.		Related to spending programmes H2020 and FP7
Main outputs in 2019:		
Description	Estimated Number	Estimated budget
Provision of administrative and logistical support services		
Tasks related to contracting and payment of experts⁶⁵		
Number of expert contracts signed – expert evaluators	17,000	50 MEUR ⁶⁶ (single budget line - expert evaluators) + 3 MEUR (expert monitors) = 53 MEUR (total experts)
Number of expert contracts signed – expert monitors (only for actions managed by REA) ⁶⁷	2,500	
Number of payments	22,000	
Number of LE/BA validations for experts	8,000 of each	
Number of Pool approvals	300	
Tasks related to the evaluation support		
Number of calls finalised in the Call Passport System	160	n/a
Number of evaluations supported on-site	160	n/a
Number of expected proposals evaluated ⁶⁸	45,000	n/a
Number of expected expert weeks on-site ⁶⁹	9,785	n/a
Number of expected remote expert weeks ⁷⁰	160,000 ⁷¹	n/a

⁶⁵ There is one single budget line for expert evaluator payments, whereas expert monitors are included in the individual budget lines for each activity.

⁶⁶ Based on the assumption that a provisional commitment can still be used.

⁶⁷ Expert monitors are included in the budget line for each activity.

⁶⁸ Based on the estimation provided by the Call Coordinators.

⁶⁹ Based on the estimation provided by the Call Coordinators.

⁷⁰ Based on the estimation provided by the Call Coordinators. For example, if a Call Coordinator indicates that 250 experts will work remotely over four weeks for a particular evaluation, the calculated number of experts expected to be supported remotely is 1,000.

⁷¹ Based on the estimation provided by the Call Coordinators.

In addition the agency also pays a particular attention to the following indicators:

Indicator	Target	Latest known results
Time-to-validate for experts	100% of experts' Legal Entity Files validated within 25 working days (after approval of the pool of experts by the evaluating service)	91.2% (31 December 2018)
Time-to-contract for experts	100% of expert contracts signed by REA in less than 10 calendar days. ⁷² (see Part 1. Key Performance Indicators)	99.4% (31 December 2018)
Time-to-pay for experts	100% of expert payments executed by REA in less than 30 calendar days. (see Part 1. Key Performance Indicators)	99.7% (31 December 2018)

⁷² Counted from the moment the contract signature process is launched in COMPASS until the signature of the contract by both parties (see footnote 7).

PART 4. ORGANISATIONAL MANAGEMENT

4.1. Relevant objectives and indicators

This part is structured around the strategic, long term objectives in the following areas:

- human resource management;
- financial management, internal control and risk management;
- information management;
- external communication activities.

For each area, the challenges for the coming year are listed, followed by the long term objectives with their respective indicators and the list of specific outputs planned for 2019 that contribute to their achievement.

4.1.1. Human Resource Management

The table below recalls the corporate EC strategic objective for HR management, together with three mandatory corporate performance indicators and one specific for REA. These indicators are associated to medium to long term targets and help monitor REA's progress.

Objective: The Executive Agency deploys effectively its resources in support of the delivery of the Commission's priorities and core business, has a competent and engaged workforce, which is driven by an effective and gender-balanced management and which can deploy its full potential within supportive and healthy working conditions.

Corporate Indicator 1 : Percentage of female representation in middle management

Source of data: REA HR

Baseline 2018: 29.4%	REA monitors the percentage of female representation in middle management. However, the target of 40% female representation in middle management by 2019 (average target at European Commission level) is not in the remit of REA as the parent DGs are in charge of the selection of middle managers.
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Corporate Indicator 2 : Percentage of staff who feel that the Commission cares about their well-being⁷³

Source of data: Commission staff survey (data provided by DG HR)

Baseline 2018: 63%	Target 2020: Increase by 5 percentage points for relevant survey question, compared to the 2018 survey
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⁷³ This indicator may be replaced by a fit@work index on which DG HR is currently working.

Corporate Indicator 3 : Staff engagement index	
Source of data: Commission staff survey (data provided by DG HR)	
Baseline 2018: 69%	Target 2020: 70 %
REA Specific Indicator 4: Occupation rate of the establishment plan	
Source of data: REA HR	
New indicator Baseline 2018: 96.7%	Target 2019: > 95%

Main outputs in 2019:		
Output	Indicator	Target
Outputs at REA level		
REA will perform its yearly workload assessment exercise in view of rebalancing resources across units commensurate with their effective workload.	The REA Staff and staff profiles (re-)allocated to the different units in function of an assessment of the workload and the budget delegated to REA.	By November 2019
REA participates actively with parent DGs to the CBA (Cost-Benefit Analysis) concerning the future mandate of REA	Workload assessment by programme and service.	By 31.12.2019
Smooth implementation of the EAs Joint Committee for the prevention and prevention at work (CPPT) and the Common Staff Committee	Setting up of these two new bodies.	By 30.06.2019
From the action plan following the 2016 staff survey		
Follow-up newcomers integration	Organising Newcomers breakfasts, coffee with REA senior management.	By 31.12.2019
Maintaining and boosting managerial excellence	Organisation of management feedback exercises to HoUs, DHoUs and HoSs, ensuring managerial coaching and peer learning.	By 31.12.2019
Facilitating job shadowing schemes between REA and other EAs and piloting shadowing schemes with parent DG(s)	Organise a session of job shadowing with other Agencies and parent DGs.	By 31.12.2019

The overall objective of the management of human resource in REA is to recruit, train, assess, motivate and retain highly qualified staff with a view to ensure an effective and efficient operation of REA as well as to promote equal opportunities within the Agency.

In relation to the above-mentioned four main HR performance indicators, REA aims to:

- comply with the corporate targets on female representation in middle management but does not have control on the selection process of seconded middle managers, which is performed by the parent DGs;
- support the upward trend for the well-being of staff as declared in the 2014, 2016 and 2018 staff surveys;
- further improve the staff engagement, with focus on job satisfaction, job and career opportunities and promoting REA as a modern and attractive workplace;
- maintain its specific objective regarding the occupation rate of its establishment plan (more than 95 % of posts filled).

In support of these objectives, REA will undertake the following priority actions in 2019:

- Gender equality is of great importance to the Agency. To this end, an indicator on the gender balance in middle management positions is included in the standard reporting of REA to the parent DGs.
- REA keeps as a priority a flexible and transparent allocation of staff amongst its Units against objective criteria, in line with the methodology established for workload calculation. In anticipation of Horizon Europe and the redesign of REA's future mandate, REA will actively participate in 2019 in the external evaluation and cost-benefit analysis with parent DGs.
- In 2019, REA HR will focus on streamlining its HRM processes and HR reporting, including the introduction of several new Sysper modules which are made available by DG HR.
- A particular emphasis will be on the efficient and timely running of the selection and recruitment processes to achieve the full occupation rate of the establishment plan for 2019-2020 (from 761 posts in 2018 to 822 in 2020).
- REA seeks to enhance staff engagement. To this end, the Agency will carry on focussing on the Learning and Development for all staff and management.
- REA seeks to promote staff well-being through a better work/life balance and the promotion of a healthy work environment. The Learning and Development Strategy 2018-2020, puts a special emphasis on dedicated well-being activities.⁷⁴
- REA management will give full support to the activities of the REA Staff Committee and continue the social dialogue with the Committee. In collaboration with other executive agencies, a Joint Committee for the prevention and safety at work (CPPT) and a Common Staff Committee will be set up in 2019.

⁷⁴ REA Learning and Development Strategy 2018-2020, Ares(2018)642333 – 02.02.2018.

- REA HR will further follow-up the actions plan defined following the 2016 and 2018 staff satisfaction survey, with a particular focus on awareness on psycho-social and physical well being and a managerial feedback exercise.
- In the context of the phasing out of FP7 projects and the design of the new financial rules planned for Horizon Europe, a particular emphasis will be put on the monitoring of the evolution of financial and project management profiles.

4.1.2. Financial Management: Internal control and Risk Management

This section recalls the corporate overarching objective for financial management and internal control which covers three specific objectives, also shared with all the Commission services:

- legality and the regularity of the operations.
- sound financial management.
- fraud prevention.

Their achievement is monitored by a series of corporate indicators. It should be noted that some of them are monitored without having set a specific target.

Overarching objective: The Authorising Officer by Delegation should have reasonable assurance that resources have been used in accordance with the principles of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions including prevention, detection, correction and follow-up of fraud and irregularities.

In 2019, as in previous years, the Agency will manage the risks inherent to the delegated parts of the Research Framework Programmes for which it is in charge of the entire process including call management, evaluation and selection of proposals, grant agreement signature and project management.

- Regarding the different programmes, the activities related to Horizon 2020 are including all stages from the programme management cycle from the calls' implementation to the follow-up of ex-post audits. REA will continue to put **emphasis on implementing the Horizon 2020 ex-ante control guidance** for interim and final payments, adopted end 2016 and to be updated in 2019 for the whole Research and Innovation family. The **closure of the FP7 grants** remains one of the priorities as well.

With regard to **ex-post controls**, the implementation of the Horizon 2020 ex-post audit strategy is in the remit of the Common Audit Service (CAS). REA's participations are part of the population from which the random Common Representative Audit Sample (CRaS) is drawn. Moreover, all REA managed participations are subject to risk based targeted selections for ex-post audits. In addition to these selected ex-post controls across the framework programme, the CAS is also drawing specific random and risk based samples for the Marie Skłodowska-Curie Actions which are subject to a specific risk profile. For FP7 activities, REA continues implementing the common ex-post audit strategy of the Research and Innovation family. In accordance with the common FP7 strategy, REA will further implement its Ex-post Audit Approach focusing on audits in the identified areas of risk.

- Besides a robust ex-post audit strategy, it is also important to have a **comprehensive ex-ante control strategy**. For this reason, REA maintains an

emphasis on the necessity for staff to follow the various trainings included in the Learning and Development Framework as compulsory for each REA staff involved in operational activities.

- REA has also **enhanced its follow up of bankruptcies** with the finance unit assuming a coordinating role. The internal biannual AOSD report now contains a dedicated reporting section on bankruptcy cases pending for the grants managed by each operational unit. Close monitoring will continue in 2019.
- The **follow-up of ageing recovery orders** will be further monitored through quarterly reports to the management and a new target for a 30% reduction in the number of open cases under the responsibility of the RAO (Responsible Authorising Officer) was introduced into the AWP for 2019.

Objective 1: Effective and reliable internal control system giving the necessary guarantees concerning the legality and the regularity of the underlying transactions.

Corporate Indicator 1 : Estimated residual error rate⁷⁵

Where necessary specific residual error rates would be calculated for each programme managed or for expenditure with a common risk profile.

Source of data: Audex (CAS, DG RTD) and REA FP7 audit plan

Baseline	Target
<p>AAR 2018: H2020: <i>Residual error rates</i>⁷⁶:</p> <ul style="list-style-type: none"> • REA: 2.25% (2.60% incl. draft audit reports) • REA MSCA: 0.05% <p>FP7: <i>Residual error rates:</i></p> <ul style="list-style-type: none"> • CRAS – Space: 3.49% • CRAS – Security: 3.78% • SMEs: 5.77% • People: 1.55% 	<p>H2020: Overall target : as close as possible to 2% (within the range of 2-5%). Second layer of assurance for the MSCA: specific target for the MSCA subset: below 2%</p> <p>FP7: less than 2% of total budget (materiality threshold)</p>

⁷⁵ For the definition, see the guidance "[Key concepts and definitions for determining error rates, amounts at risk and estimated future corrections](#)".

⁷⁶ The current figures are based on a partial closure of the first and second Common Representative Samples (CRS) by the CAS. Therefore, the outcome is not qualified as "representative" but "detected".

Corporate Indicator 2: Estimated overall amount at risk at payment for the year for the entire budget under the Executive Agency's responsibility.

Where possible calculated for each programme managed or for expenditure with a common risk profile.

Source of data: CAS (DG RTD); ABAC; BUDG

Baseline	Target
AAR 2018: With a representative/detected average weighted error rate of 2.35% the amount at risk has been estimated at €31.21 million at the end of 2018.	It is expected that the average weighted error rate will remain at a similar level. The amount at risk should also remain stable.

Corporate Indicator 3 : Estimated future corrections

Where possible calculated for each programme managed or for expenditure with a common risk profile.

Source of data: ABAC; BUDG; Audex (CAS, DG RTD)

Baseline	Target
AAR 2018: The corrective capacity was estimated in 2018 at 0.46% of the payments made for the 2018 operational budget. ⁷⁷	None

Main outputs in 2019:

Output	Indicator	Target
Outputs in the remit of the Research and Innovation family		
H2020 participations of which the ex-post audit is closed by 2019	Cumulative number of Horizon 2020 participations of which ex-post audit is closed by 2019 (closed 2017-2019): <u>Layer 1 (Research Family) participations</u> - Representative sample - Risk sample <u>Layer 2 (MSCA) participations</u> - Representative sample - Risk sample	Except for the MSCA, there is no specific REA target for other actions. <u>Layer 1 CRS (Research Family) 303 of which:</u> <ul style="list-style-type: none"> ○ CRS1(2017): 142 (of which 15 for REA) ○ CRS2(2019): 161 (of which 20 for REA) <u>Layer 1 Corporate risk (Research Family) 645 of which:</u> <ul style="list-style-type: none"> ○ Corporate risk (2017): 156 (of which: 47 for REA) ○ Corporate risk (2018): 265 (of which 45 for REA)

⁷⁷ As from 2017, the historic corrective capacity, reported by DG BUDG is adjusted based on the difference between the relevant Representative/Detected Error rate and the relevant Residual Error/specific residual error rate.

		<ul style="list-style-type: none"> o Corporate risk (2019):224 <p><u>Layer 2 (REA MSCA):</u> <u>361 = 166 (2018)+195 (2019)</u></p> <ul style="list-style-type: none"> o Representative sample: 182 participations, aggregated as follows:132 (2018) + 50 (2019) participations <p>Risk sample: 179 participations, aggregated as follows: 34 (2018)+ 145 (2019)</p>
Outputs at REA level		
Implementation of FP7 and H2020 audit findings	Cumulative implementation rate of audit results (FP7 and H2020 separately)	80% by 31/12/2019
Implementation of FP7 and H2020 extension of audits findings	Cumulative implementation rate of extrapolations (FP7 and H2020 separately)	80% by 31/12/2019
FP7 ex-post audits launched in 2019	Number of FP7 ex-post audits launched	21 (8 in-house + 13 outsourced)

Objective 2: Effective and reliable internal control system in line with sound financial management.

Corporate Indicator 1 : Conclusion reached on cost effectiveness of controls

Source of data: ABAC; REA HR

Baseline	Target
AAR 2018: Yes ⁷⁵	Yes

Indicator 2: Cost effectiveness of the direct grant management (total costs of controls /total amount of payments made)

Source of data: REA HR; ABAC

Baseline	Target
AAR 2018: 2.54% ⁷⁵	Stay in the same range

Main outputs in 2019:		
Output	Indicator	Target
Outputs in the remit of the Research and Innovation family		
Training on H2020 IT tools (organised by the CSC)	n/a (in the remit of the CSC)	n/a (in the remit of the CSC)
Training on H2020 ex-ante controls (organised by the CSC)	n/a (in the remit of the CSC)	n/a (in the remit of the CSC)
Outputs at REA level		
Update of the REA ex-ante controls guidance for interim and final payments	Revised document to take into account new risks identified, lessons learnt and changes in the IT system (risk log)	Completed by 31/12/2019
Follow-up of aging recovery orders	Number of overdue recovery orders	30% decrease from current figures under the responsibility of the AO

In July 2018, REA introduced a mandatory enrolment in training on the Horizon 2020 IT tools before granting access to the tools, thereby ensuring new staff are trained on the tools.

Besides the monitoring of the cost effectiveness of the different control stages, REA will further develop its risk management to improve its sound financial management: the **Horizon 2020 IT systems have been further developed** to better support the specific risk assessment to be performed during the grant finalisation or the payment stages. In 2019, REA will put emphasis on **improving its procedures and training its staff** in order to take full benefit of these new functionalities.

Periodic Reports allowing the follow up of open recovery orders and the monitoring of the Financial Date for Implementation of commitments (FDI) have been developed and integrated in the Accounting Quality exercise as part of a set of "preventive" controls currently under development. **A reduction in the number of ageing recovery orders** is added as a new output in 2019.

Objective 3: Minimisation of the risk of fraud through application of effective anti-fraud measures, integrated in all activities of the Executive Agency, based on the EA's anti-fraud strategy aimed at the prevention, detection and reparation of fraud.

Corporate Indicator 1 (information available in the Executive Agency's anti-fraud strategy): Updated anti-fraud strategy of the Research Executive Agency, elaborated on the basis of the methodology provided by OLAF⁷⁸

Source of data: REA Anti-Fraud Approach

Baseline	Interim Milestone	Target
2017 update	2019 update	Update every 2 years

Corporate Indicator 2 : Fraud awareness is increased for target population(s) as identified in the Executive Agency's anti-fraud strategy

Source of data: REAs anti-fraud strategy, BO (Business Owner) query REA.HR

Baseline	Interim Milestone	Target
60.7% of staff trained in 2018	72% by 2019	80% target population(s)

Corporate Indicator 3 : Regular monitoring of the implementation of the anti-fraud strategy and reporting on its result to management

Source of data: REA's anti-fraud strategy

Baseline	Interim Milestone (to be added if relevant)	Target
Quarterly reports on OLAF and risky cases	N/A	4 reports per year

Main outputs in 2019:

Output	Indicator	Target
Update of the REA AFS	Revised document to take into account new risks identified, lessons learnt and changes to the REA AFS.	Completed by 31/12/2019
Anti-fraud training sessions (made compulsory within 1 year from entering the service)	No. of sessions organised	3
EDES trainings	No. of sessions organised	3
REA Quarterly Reports "State of play of cases under OLAF investigation for serious irregularities"	Regular monitoring and reporting on fraudulent and risky cases to management	Number of internal reports per year: 4 Number of external reports per year: 2

⁷⁸ The methodology can be found on the FPDNet website: <https://myintracomm.ec.europa.eu/serv/en/fraud-prevention/ToolBox/Documents/Methodology%20and%20guidance%20for%20DGs%20anti-fraud%20strategies.pdf>. In particular paragraph 3 of the methodology is relevant.

CFE ⁷⁹ certification to develop internal capacity on fraud detection and prevention or risk identification	Number of staff in unit REA. C.2 obtaining CFE certification	5
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In 2019 REA will continue to be active in the Fraud and Irregularity Committee for Research (FAIR) in developing specific guidelines and will escalate any issue of common interest to the Research and Innovation family.

4.1.3. Information management

In 2018 the percentage of registered documents in ARES but not filed (Corporate Indicator 1) remained very low (0.02%), which is one of the best performances throughout the entire Commission services. REA's objective for 2019 is to stay in the same range (<0.1%).

A complete and reliable filing allows to:

- Find useful information quickly;
- Give visibility to the documents;
- Ensure transparency and accountability;
- Facilitate the collaboration between colleagues;
- Ensure the business continuity (staff mobility).

Objective: Information and knowledge in your Executive Agency is shared and reusable by other Commission services. Important documents are registered, filed and retrievable

Corporate Indicator 1: Percentage of registered documents that are not filed⁸⁰ (ratio)

Source of data: *Hermes-Ares-Nomcom (HAN)⁸¹ statistics*

Baseline	Target
2018: 0.02%	<0.1 %

Corporate Indicator 2: Percentage of HAN files readable/accessible by all units in the Executive Agency

Source of data: *HAN statistics*

Baseline	Target
2018: 92% (if validation and expert contract files are excluded)	>90% (if validation and expert contract files are excluded)

⁷⁹ CFE: Certified Fraud Examiner.

⁸⁰ Each registered document must be filed in at least one official file of the *Chef de file*, as required by the [e-Domec policy rules](#) (and by ICS 11 requirements). The indicator is to be measured via reporting tools available in Ares.

⁸¹ Suite of tools designed to implement the [e-Domec policy rules](#).

Corporate Indicator 3: Percentage of HAN files shared with other Commission services	
Source of data: <i>HAN statistics</i>	
Baseline	Target
2018: 0%	REA aims at sharing 100% of project-related files with the DGs. According to the Common Support Centre (hosted by DG RTD), all involved data protection aspects have been resolved. The REA operational units will liaise with DG RTD to see how and when they can start using the tool.

Main outputs in 2019:		
Output	Indicator	Target
Maintain a high share of ARES files readable/accessible to REA units	Share of files readable/accessible to REA units	>90% of files readable/accessible to REA units, excluding validation- and expert-related transactions
Maintain a low percentage of unfiled documents	Percentage of unfiled documents amongst the total number of registered documents in ARES	<0.1 %

With respect to the performance on the indicator related to the sharing of ARES files within the Agency (Corporate Indicator 2) the latest result (92%) was favourable and stable and REA wants to keep an ambitious objective (>90%) also for 2019.

It should be noted that files related to the validation of participants (PDM/ERIS files) and expert-related files (mainly contracts and payment transactions) need to be restricted due to the protection of personal data. These represent a large majority of the REA files. Moreover, the proportion of those files is continuously increasing. As such, the relevant share of the REA files accessible by all REA units needs to exclude those files. The majority of the remaining files (8%) are protected due to justified confidentiality and data protection reasons (i.e. HR, legal, anti-fraud or audit-related).

With respect to performance on the indicator related to the sharing of files with other DGs (Corporate Indicator 3), the data protection constraints explained under Corporate Indicator 2 also apply. If validation and expert-related files are excluded, the large majority of files with relevance for Commission services concern projects. REA aims at sharing 100% of those with the DGs. Following a discussion between DG RTD and the executive agencies on the subject, the project has been put on hold for data protection reasons. In these circumstances, the number of files shared with the DGs remained negligible (close to 0%) and an increase of the share is possible only once the above-mentioned data protection aspects have been addressed.

Handling of classified information in Horizon 2020 projects

Over the last two years REA concentrated its efforts on the setup of arrangements for the take over of security-sensitive documents from the parent DGs. The arrangements for handling documents of a lower level of confidentiality - *EU restricted* - were put in place

in 2017 and REA effectively started handling these projects in June 2018. A security inspection of DG HR.DS and the Council in Q3 of 2018 confirmed that REA is fully compliant with the requirements and rules for *EU restricted*. In the meantime also arrangements for handling *EU confidential* documents were implemented for which compliance was confirmed in the course of the last quarter 2018.

The objective for 2019 is to ensure a successful transfer of *EU confidential* projects and a consistent implementation of the required measures imposed by DG HR.DS. Actions will focus on:

- training and awareness-raising towards projects officers dealing with classified information, as well as providing guidance to project reviewers;
- close monitoring of handling practices according to the applicable rules for each level and reporting any security breaches to DG HR.DS.

Data Protection

Current Status

Currently all REA notifications (records) are under revision by the respective controllers. In collaboration with the DPOs (Data Protection Officers) of the Executive Agencies, a new template has been created for records (ex-notifications) in line with the provisions of the new 45/2001 Regulation. Upon revision, all REA existing notifications will be ported to the new "record" template.

According to the established Action Plan for ensuring compliance of REA with the New Regulation, by end of November 2018, at least 80% of REA notifications will be updated and fully compliant with the new Regulation. In addition, by end of November 2018 the REA DPO Inventory of REA processing operations (involving personal data) will also be revised and updated.

Action Plan during 2019

In terms of records, It is envisaged that by the end of March 2019 the latest, REA will be fully compliant to the new Regulation. In addition, new records (mentioned in the REA DPO inventory) will also be created.

During 2019, the DPOs of the Executive Agencies will start revising the following common notifications:

- Network of Confidential counsellors;
- Administrative Enquiries and Disciplinary Proceedings;
- Video-surveillance (only for REA, ERCEA and EASME for the COVE complex).

REA will also create a **Data Breach Policy** and a procedure for notifying such incidents. Awareness about data breaches will be raised among REA staff via e-bulletins, relevant articles under REA Intranet, etc.

The **REA DPO Intranet section** will be fully updated and all records and privacy notices will be stored under that section for reasons of easy access and transparency. Moreover, new information, templates and guidelines will be available for REA staff and controllers. A thematic "FAQs" section will be created.

During 2019 a **data protection training and awareness raising program** will be implemented. The training will be thematic (and hands-on) and open to all REA staff. A short introductory data protection training will also be provided to newly recruited staff.

Relevant information will be published in news articles and e-bulletins (in collaboration with REA Communication). Info-sessions with guest speakers may also take place.

Information and Communication technologies (ICT)

REA operations depend on fully-electronic workflows for Horizon 2020 management. The IT tools are experiencing stability issues and some lacking features regularly and sometimes significantly affecting the operations. REA will collaborate with the relevant services through the existent governance structures in order to raise awareness and contribute to the solutions. REA will also explore possibilities for the work around solutions in case the critical IT features are not made available.

All information relevant to REA ICT tools/systems are recorded under GovIS2. In addition, the REA ICT will establish the ICT Activities Plan for the period 2019-2020. This Activities Plan is subject to approval by the REA IT Management Board during a relevant meeting that will take place in January 2019.

4.1.4. External communication

DGs and Executive Agencies share the goal of good and efficient communication on Horizon 2020. They work together to fully exploit the communication potential of EU-funded research and innovation while keeping in mind their different roles as outlined in the Horizon 2020 external communication strategy 2016-2020.

In this context, the Research and Innovation DGs, coordinated by the Communication Unit of DG RTD, are jointly responsible for Horizon 2020 policy communication to press and general public. Executive Agencies are in charge of developing a communication strategy aimed at their stakeholders' communities to promote calls, broaden participation and, in coordination with the Common Support Centre, consolidate service-oriented communication.

As a result, the Agency's communication activities focus on:

- Communication to beneficiaries and potential applicants (incl. promotion of the calls and information days/coordinators' days);
- Communication to participants (regarding legal and financial validation) and experts, in coordination with the Common Support Centre when needed;
- Support to the parent DGs for the communication on project results and impacts, e.g. through success stories or the organisation of events.

Support to parent DGs on the role of research and innovation in policies of the Commission will be provided through the policy-feedback mechanism by the REA AGILE network (see section 4.1.5. 'Example(s) of initiatives to improve economy and efficiency of financial and non-financial activities of the Executive Agency' for details).

To answer the growing demand for social medial usage among the REA's stakeholders, in 2019 REA will develop and deploy a social media strategy aimed at applicants, experts and beneficiaries. The REA social media strategy will revolve around the active role of REA project officers and beneficiaries on social media.

In 2019, REA will continue to promote Horizon 2020 funding opportunities via the following means:

- The REA website on Europa: funding opportunities hosted under 'Programmes' and linked to the Funding & Tenders Portal;

- The Newsletter to REA stakeholders in collaboration with the operational units;
- The Research Enquiry Service (RES), in response to pertinent enquiries;
- During missions: Project Officers promote calls whenever relevant;
- During Info Days: in collaboration with the relevant parent DG.

Further activities to boost awareness of funding opportunities and broaden the participants group will include over 16 events for Horizon 2020 Stakeholders. In collaboration with DG EAC, REA will also represent the MSCA Programme at the AAAS 2019 Conference (Washington DC, US, 14-17 February 2019) and the MIT European Career Fair (Boston, US, 16 February 2019), the Science is Wonder-full 2019 Conference (26-27 September 2019), the Exposciences/I Love Sciences (March 2019) and the Ecsite Conference (Copenhagen, 6-8 June 2019).

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

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

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

Source of data: [Standard Eurobarometer](#) (DG COMM budget) [monitored by DG COMM].

Baseline: November 2014	Target: 2020
Total "Positive": 39% Neutral: 37 % Total "Negative": 22%	Positive image of the EU ≥ 50%

REA Indicator 2: number of success stories communicated to the parent DGs

Source of data: REA Communication sector

Baseline:	Target:
2015: 60 2016: 115 2017: 234 2018: 282	2019: 230 to be proposed to parent DGs 2020: 250

As regards external communication of projects results, REA will continue to support the parent DGs by providing examples of successful projects and their impact on citizens' life and the society. Specific campaigns for which REA will provide an input to parent DGs include the "EU Empowers" Campaign of DG COMM, the MSCA Campaign of DG EAC and the thematic months of DG RTD. In 2019, REA will also participate to the AAAS conference with 3 thematic symposia that are expected to significantly increase the visibility of projects implemented under the REA calls.

The successful identification of success stories (or prospective ones) requires appropriate guidance and training to the REA's Project Officers. To ensure that, REA and the CSC organise regular training sessions for Project Officers on Communication, Dissemination and Exploitation aspects under Horizon 2020.

Guidance on the above-mentioned aspects is also provided to future applicants at the Info Days and to Horizon 2020 coordinators at Coordinator Days.

As indicated above, Project officers play a key role in identifying success stories but also in guiding and advising Horizon 2020 coordinators and fellows who are best placed to communicate the impact of their work. Similar guidance is given to the NCPs.

With its future social media strategy, REA is expected to strengthen its support to parent DGs in multiplying the Commission's messages and increasing visibility of project results.

Main outputs in 2019:		
Output	Indicator/Deliverable	Target
Success stories communicated to the parent DGs	Number of success stories communicated to the parent DGs	230
Events organised by REA	Number of stakeholder events to ensure successful implementation of the programme and to promote Horizon 2020 funding opportunities ⁸²	25 (mainly coordinators days and info days organised by REA)
Public events in which REA participates	Participation in events organised by the parent DGs, NCPs or Member States, as well as participation in international events to promote programmes managed by REA.	54 (including AAAS 2019, MIT)
Subscriptions to newsletter	Number of records in the stakeholder database as well as the number of news alerts sent to the subscribers	Expected number of records in the stakeholders database in 2019: 3000 Number of news alerts sent to stakeholders in 2019: 12

⁸² The organisation of this type of events by REA is agreed with the respective parent DGs.

REA projects featured in the Horizon Magazine	Number of REA projects featured in the Horizon Magazine	Number of REA projects featured in the Horizon magazine articles in 2019: 30
REA Social Media Strategy	- Approved strategy - Trainings for project officers	2 training sessions for project officers
Annual communication spending:		
Baseline (2018)	Estimated commitments (2019)	
EUR 151,980.00	EUR 357,109.00 ⁸³	

4.1.5. Examples of initiatives to improve economy and efficiency of financial and non-financial activities of the Executive Agency

According to the Financial Regulation (Article 74.2⁸⁴), the principle of economy requires that the resources used by the Agency in the pursuit of its activities shall be made available in due time, in appropriate quantity and quality and at the best price. The principle of efficiency concerns the best relationship between resources employed and results achieved.

Beyond the continuous efforts for more economy and efficiency in REA's operations, two processes which will develop significantly in 2019 have been chosen here to demonstrate particular commitments in this area:

- REA plans further refining its approach to boost the quality and efficiency of its **policy feedback** to the European Commission.
- In terms of support services, significant quantitative and qualitative benefits are expected for the participant registration and validation process with the implementation of the **SEDIA** (Single Electronic Data Interchange Area) project.

Effective policy feedback in support to parent DGs

There is a general need to demonstrate performance, impact and added value of European Programmes including the Horizon 2020 Research Programme. Policy DGs have to take benefit from the programme's outcome when shaping public policies. To make it happen, executive agencies implementing large parts of the programme have to feed back the knowledge coming from the funded research projects to policy DGs.

"Policy Feedback" (PF) is a twofold process implying contributions from the operational level in support of 1) policy implementation (feedback to the parent DG for the EC

⁸³ The budget has been increased for 2019 as two graphic designers (external staff) joined the REA external communication team. Moreover, some budget has been committed for an exceptional event in 2019, REA's 10-years anniversary.

⁸⁴ Article 74(2) of the Financial Regulation: "For the purposes of paragraph 1 of Article 74, the Authorising officer by delegation shall, in accordance with Article 36 and the minimum standards adopted by each Union institution and having due regard to the risks associated with the management environment and the nature of the actions financed, put in place the organisational structure and the internal control systems suited to the performance of duties. The establishment of such structure and systems shall be supported by a comprehensive risk analysis, which takes into account their cost-effectiveness and performance considerations."

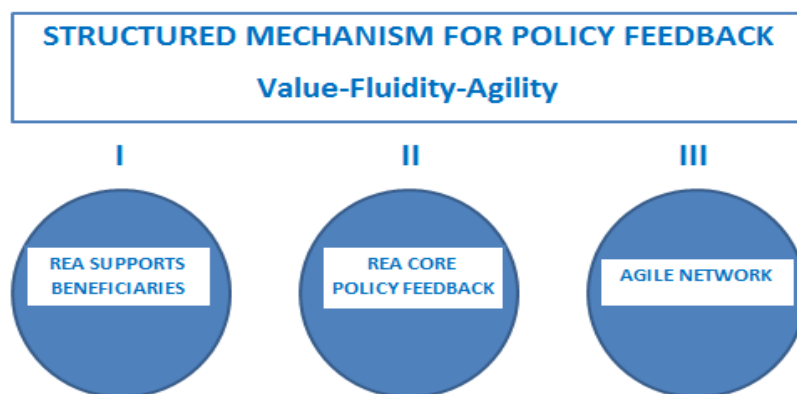
programming activities) and 2) policy development (including new policies or revision of current policies).

Since 2018, various initiatives have been taken to shape this process and make it effective and efficient. Two particular aspects are presented here. The first relates to the organisation of the process, involving REA and its parent DGs. The second is a specific pilot mechanism within the general process, aiming to increase the reaction speed to DGs information requests.

Developing a common understanding around policy feedback

During the last years, a wide range of measures that facilitate the interaction between the REA operational units and their Commission counterparts have been progressively put in place. In order to streamline the activity, REA organised an extensive exercise to identify, record, assess and share PF practices across the Agency's ten operational units and their Commission counterparts. Further to this comprehensive stock-taking, REA drafted an internal Policy Feedback Approach that has been shared with members of the R&I family through the D&E-NET in the first half of 2018.

Figure 2: General approach for Policy Feedback⁸⁵



Based on this strategy, REA units started to develop tailor-made 'Policy Feedback Plans', intended to meet the specific needs of REA's parent DGs. These proposals have been presented at the respective coordination meetings with parent DGs, which take place bi-annually at Director level.

The Steering Committee of 19 October 2018 expressed its interest in going further in this initiative and in developing a way to better plan and monitor policy feedback. As an outcome of this request, this Annual Work Programme for 2019 includes the objective to reach agreement on Policy Feedback Plans with each parent DG, including targets about the commonly defined deliverables.

This initiative should lead to clear and realistic expectations as well as to a better understanding and accountancy of the PF work delivered by REA, and in particular define

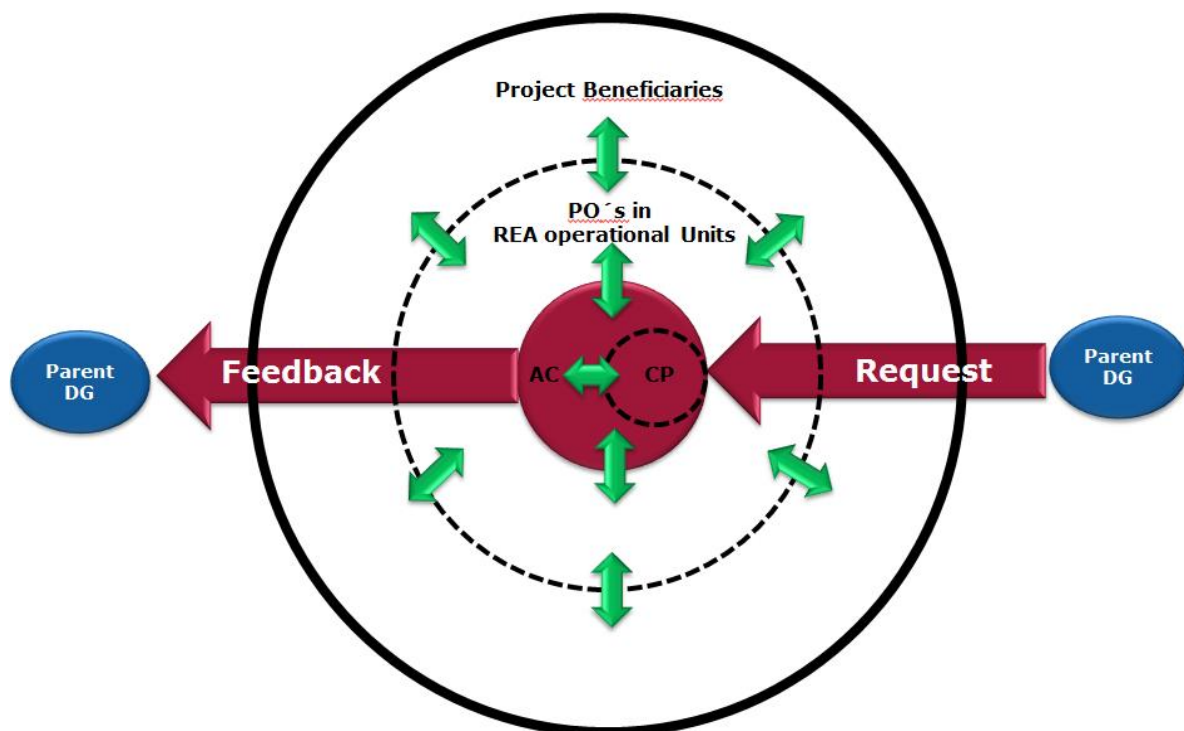
⁸⁵ Pillar 1 aims at supporting the work of the beneficiaries, with a view to increase dissemination capacity and impact of projects; Pillar 2 aims at reinforcing the core PF function, i.e. increasing the effectiveness and efficiency of REA's cooperation with its parent DGs. Two additional specific objectives relate to the improvement of communication and to a better capitalisation on the available data.

which measures offer maximum benefit without imposing an unmanageable workload on REA.

The Agile Network

Pillar 3 of the PF Mechanism relates to a Rapid Reaction Network (the Agile Network). Through this network REA can respond to PF requests that stretch across the various programmes delegated to REA.

Figure 3: Key features of pillar 3



This innovative method ensures that the right facts are available at the right place at the right time. There is a strong need to efficiently deal with the increasing number of policy briefing requests across different Horizon 2020 programmes. The main task of the Agile Network is to collect requests from parent DGs and use REA's internal resources to respond in a timely manner. Different queries from parent DGs have already been "pilot tested" and despite multiple challenges, the results are promising.

In this context, REA's Data Presentation Task Force (DPTF) started to explore how policy feedback can be actively supported, e.g. via current or future activities on data extraction and visualisation within this working group.

Moreover, REA's Agile Network information may be complemented with generic information from the project portfolio analysis (several REA units are carrying out such activities and a number of cluster events have been organised).

Implementation of SEDIA (Single Electronic Data Interchange Area)

Since January 2018, the centralisation in REA of (i) the legal validation and (ii) the preparation of financial capacity assessments of participants in procurement and grant

procedures in direct management (SEDIA) has become a reality. However, the implementation of centralised validation services under SEDIA is still not at cruising speed as not all potential clients are yet benefitting from the REA support services.

Once the cruising speed will be reached, the REA central validation service will ensure a **streamlined and consistent management of the legal and financial validation of participants** which, together with the economies of scale, will result into efficiency gains in the legal and financial validation of participants at Commission level.

This centralisation will bring as well **qualitative benefits** as it will take advantage of the expertise acquired in REA in legal and financial validation.

In addition, all participants will benefit from a **harmonised approach** for legal and financial validation.

The full implementation of SEDIA will offer to all participants a **single entry point** for registration and validation of their legal status and financial data that will reduce their administrative burden.

The single electronic data interchange area will also become a step forward into the **deployment of fully electronic processes** for the legal and financial validation of entities, which will (i) ease the interaction between participants and the validation services, and (ii) reduce the time to receive and validate supporting documents as well as (iii) streamline its management.

Regarding the provision of financial capacity assessment services in 2019, specific focus will be put in two areas that could bring additional efficiency gains:

1. Finalise, in cooperation with DG DIGIT, IT developments implementing an agreed methodology for non-Horizon 2020 programmes in order to select participants for financial capacity assessment. This agreement will allow streamlining REA's current work process;
2. Enlarge REA's service offer by providing the possibility to the Authorising Officer to request a more in-depth financial analysis in specific cases. The set-up of such a centre of excellence for financial analysis is in process.

In cooperation with DG BUDG and DG DIGIT, the simplification of the bank account workflow will be analysed to reduce the administrative burden for participants and simplify the process in the benefit of both participants and the REA validation services.

4.2. Operating budget, staff and operational appropriations

4.2.1. Operating budget

The REA 2019 Administrative Budget was adopted by the Steering Committee on 7 December 2018. It amounts to EUR 75.80 million in total and is detailed as follows (including the contribution from the European Union for Horizon 2020 and for non-research activities in the context of SEDIA, as well as EFTA/EEA and Third Country contributions):

Budget title		EU contribution	EFTA/EEA contribution	Third countries' Contributions	Total appropriations (€ million)
Title 1	Staff expenditure	53.52	1.24	2.07	56.83
Title 2	Infrastructure and operating	10.93	0.25	0.42	11.60

Budget title		EU contribution	EFTA/EEA contribution	Third countries' Contributions	Total appropriations (€ million)
	expenditure				
Title 3	Programme support expenditure	6.94	0.16	0.27	7.39
Total		71.39	1.65	2.76	75.80

Since 2014, the structure of the REA Administrative Budget is in line with the model agreed among the six executive agencies.

- The budget under Titles 1 and 2 relates to salaries and overhead costs such as expenses on the Agency's building which can be apportioned by activity on the basis of the staff breakdown presented above.
- Title 3 includes, among others, the rent for the Covent Garden evaluation building (COVE) and the related expenditure for the management of the evaluation platform (e.g. logistics, furniture) on behalf of the delegated EC programmes' managing services⁸⁶.

The following table provides the breakdown of the REA's operating budget 2019 distributed by delegated programme, activity and DG with a clear split between the EU contribution, the contribution from EFTA/EEA and Third Country contributions (R0).

All titles are allocated in function of staff, except for Chapter 32 (Common Support Services expenditure, including SEDIA) and Article 3121 (External Audit) which are allocated respectively to support services and FP7 legacy management.

⁸⁶ Horizon 2020, EURATOM, COSME and RFCS programmes

Activities	Title 1 (€ million)			Title 2 (€ million)			Title 3 (€ million)			Total	%
	EU BUDGET	EFTA/EEA	RO	EU BUDGET	EFTA/EEA	RO	EU BUDGET	EFTA/EEA	RO		
H2020 and FP7											
Horizon 2020 Excellent Science											
Marie Skłodowska-Curie actions – EAC	15.81	0.37	0.61	3.23	0.07	0.12	0.39	0.05	0.08	20.73	27.35%
Future and Emerging Technologies (FET Open) – CNECT	3.77	0.09	0.15	0.77	0.02	0.03	0.09	0.01	0.02	4.94	6.51%
FP7 People – Marie Curie Actions (legacy) – EAC	0.89	0.02	0.03	0.18	0.00	0.01	0.07	0.00	0.00	1.22	1.61%
Subtotal	20.47	0.47	0.79	4.18	0.10	0.16	0.55	0.06	0.10	26.89	35.47%
Horizon 2020 Industrial Leadership											
Space Research – GROW	2.50	0.06	0.10	0.51	0.01	0.02	0.06	0.01	0.01	3.28	4.33%
FP7 Cooperation – Space Research (legacy) – GROW	0.07	0.00	0.00	0.02	0.00	0.00	0.05	0.00	0.00	0.14	0.19%
Subtotal	2.58	0.06	0.10	0.53	0.01	0.02	0.11	0.01	0.01	3.42	4.52%
Horizon 2020 – Societal Challenge 2											
Societal Challenge 2 – RTD	1.56	0.04	0.06	0.32	0.01	0.01	0.04	0.00	0.01	2.04	2.69%
Societal Challenge 2 – AGRI	2.46	0.06	0.09	0.50	0.01	0.02	0.06	0.01	0.01	3.23	4.26%
Horizon 2020 – Societal Challenge 6											
Societal Challenge 6 – RTD	1.72	0.04	0.07	0.35	0.01	0.01	0.04	0.01	0.01	2.26	2.98%
Societal Challenge 6 – CNECT	0.76	0.02	0.03	0.15	0.00	0.01	0.02	0.00	0.00	0.99	1.31%
Horizon 2020 – Societal Challenge 7											
Societal Challenge 7 – HOME	1.82	0.04	0.07	0.37	0.01	0.01	0.04	0.01	0.01	2.38	3.14%
Societal Challenge 7 – CNECT	0.75	0.02	0.03	0.15	0.00	0.01	0.02	0.00	0.00	0.98	1.30%
FP7 Cooperation – Security Research (legacy) – HOME	0.31	0.01	0.01	0.06	0.00	0.00	0.05	0.00	0.00	0.45	0.60%
Subtotal	9.37	0.22	0.36	1.91	0.04	0.07	0.28	0.03	0.05	12.34	16.27%
H2020 Spreading Excellence, Widening Participation and Science with and for Society – RTD											
SPO-SEWP -RTD	2.42	0.06	0.09	0.49	0.01	0.02	0.06	0.01	0.01	3.17	4.19%
SPO-SWaFS-RTD	1.29	0.03	0.05	0.26	0.01	0.01	0.03	0.00	0.01	1.70	2.24%
Subtotal	3.71	0.09	0.14	0.76	0.02	0.03	0.09	0.01	0.02	4.87	6.42%

FP7 Capacities – Research for the benefit of SMEs (legacy) – RTD	0.95	0.02	0.04	0.19	0.00	0.01	0.07	0.00	0.00	1.29	1.70%
Subtotal	0.95	0.02	0.04	0.19	0.00	0.01	0.07	0.00	0.00	1.29	1.70%
Provision of administrative and logistical support services											
Validation Services	6.22	0.14	0.24	1.27	0.03	0.05	0.15	0.02	0.03	8.15	10.75%
Experts management	4.89	0.11	0.19	1.00	0.02	0.04	5.57	0.01	0.02	11.86	15.64%
Subtotal	11.10	0.26	0.43	2.27	0.05	0.09	5.72	0.03	0.06	20.01	26.40%
Management and Administrative Support											
Horizontal Activities	5.33	0.12	0.21	1.09	0.03	0.04	0.13	0.02	0.03	6.99	9.22%
MSCA (H2020) EAC	1.75	0.04	0.07	0.36	0.01	0.01	0.04	0.01	0.01	2.29	3.03%
FP7 People – Marie Curie Actions (legacy) EAC	0.10	0.00	0.00	0.02	0.00	0.00	0.00	0.00	0.00	0.13	0.17%
FET Open CNECT	0.42	0.01	0.02	0.09	0.00	0.00	0.01	0.00	0.00	0.55	0.72%
Space Research GROW	0.28	0.01	0.01	0.06	0.00	0.00	0.01	0.00	0.00	0.36	0.48%
FP7 Cooperation – Space Research (legacy) GROW	0.01	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.01	0.01%
Societal Challenge 2 RTD	0.17	0.00	0.01	0.04	0.00	0.00	0.00	0.00	0.00	0.23	0.30%
Societal Challenge 2 AGRI	0.27	0.01	0.01	0.06	0.00	0.00	0.01	0.00	0.00	0.36	0.47%
Societal Challenge 6 RTD	0.19	0.00	0.01	0.04	0.00	0.00	0.00	0.00	0.00	0.25	0.33%
Societal Challenge 6 CNECT	0.08	0.00	0.00	0.02	0.00	0.00	0.00	0.00	0.00	0.11	0.14%
Societal Challenge 7 HOME	0.20	0.00	0.01	0.04	0.00	0.00	0.00	0.00	0.00	0.26	0.35%
Societal Challenge 7 CNECT	0.08	0.00	0.00	0.02	0.00	0.00	0.00	0.00	0.00	0.11	0.14%
FP7 Cooperation – Security Research (legacy) HOME	0.03	0.00	0.00	0.01	0.00	0.00	0.00	0.00	0.00	0.05	0.06%
SEWP RTD	0.27	0.01	0.01	0.05	0.00	0.00	0.01	0.00	0.00	0.35	0.46%
SWAFS RTD	0.14	0.00	0.01	0.03	0.00	0.00	0.00	0.00	0.00	0.19	0.25%
FP7 SME legacy RTD	0.10	0.00	0.00	0.02	0.00	0.00	0.00	0.00	0.00	0.14	0.18%
Validation Services	0.69	0.02	0.03	0.14	0.00	0.01	0.02	0.00	0.00	0.90	1.19%
Experts management	0.54	0.01	0.02	0.11	0.00	0.00	0.01	0.00	0.00	0.71	0.94%
Total	53.52	1.24	2.07	10.93	0.25	0.42	6.94	0.16	0.27	75.80	100%

4.2.2. Human resources

The 2019 administrative budget of REA provides for an establishment plan of 182 temporary staff, of which 42 are seconded Commission officials, and a budget for 597 contract staff including 34 contract staff financed with R0 credits (third country contributions). As in previous years, there are no seconded national experts (SNEs) working in REA in 2019.

In 2018, a call for expressions of interest for setting up reserve lists of Research Programme Administrators was run. The resulting reserve lists, together with inter-agency mobility, will cover the recruitment needs of temporary agents as of 2019.

The new 'GIPs' governing the conditions of employment for contract agents, issued by the Commission in October 2017⁸⁷, have been adopted by analogy by REA, with entry into force as of 1 January 2018. These rules further enhance the interagency mobility of contract agents, as they introduce the possibility to publish vacancies on Intracomm. In parallel, the EPSO recruiter portal will continue to be used for screening staff for selection panels which will cover the four contract agent function groups in various profiles.

By the end of 2019, the following staff allocation is envisaged (for each action/programme delegated, the respective parent DG is indicated)⁸⁸ whereby the staff has been allocated to actions and programmes.

The following figures are indicative.

⁸⁷ Commission Decision C(2017)6760 of 16 October 2017.

⁸⁸ Based on the draft General Budget of the EU for the financial year 2019, as adopted on May 2018 (COM(2018) 600).

Activities	Total Staff	TAs	Of Which seconded officials	CAs	%
H2020 and FP7					
Horizon 2020 Excellent Science					
Marie Skłodowska-Curie actions – EAC	230.17	56.59	6.51	173.58	29.55%
Future and Emerging Technologies (FET Open) – CNECT	54.81	14.68	4.12	40.13	7.04%
FP7 People – Marie Curie Actions (legacy) – EAC	13.02	3.27	0.40	9.75	1.67%
Subtotal	298.00	74.54	11.02	223.46	38.25%
Horizon 2020 Industrial Leadership					
Space Research – GROW	36.43	11.92	2.26	24.51	4.68%
FP7 Cooperation – Space Research (legacy) – GROW	1.07	0.35	0.07	0.72	0.14%
Subtotal	37.50	12.27	2.32	25.24	4.81%
Horizon 2020 Societal Challenges					
Societal Challenge 2					
Societal Challenge 2 – RTD	22.66	6.17	2.00	16.49	2.91%
Societal Challenge 2 – AGRI	35.81	9.75	3.16	26.06	4.60%
Societal Challenge 6					
Societal Challenge 6 – RTD	25.04	8.21	2.67	16.83	3.21%
Societal Challenge 6 – CNECT	11.00	3.61	1.17	7.39	1.41%
Societal Challenge 7					
Societal Challenge 7 – HOME	26.46	8.47	2.75	17.99	3.40%
Societal Challenge 7 – CNECT	10.93	3.50	1.14	7.43	1.40%
FP7 Cooperation – Security Research (legacy) – HOME	4.53	1.45	0.47	3.08	0.58%
Subtotal	136.43	41.16	13.36	95.27	17.51%
H2020 Spreading Excellence, Widening Participation and Science with and for Society					
SEWP – RTD	35.22	8.36	1.61	26.86	4.52%
SWAFS – RTD	18.83	4.47	0.86	14.36	2.42%
Subtotal	54.05	12.83	2.47	41.22	6.94%
FP7 Capacities – Research for the benefit of SMEs (legacy) – RTD					
Subtotal	13.79	4.00	1.25	9.78	1.77%
Provision of administrative and logistical support services					
Validation Services	90.47	9.84	3.27	80.63	11.61%
Expert management	71.16	9.66	3.21	61.50	9.13%
Subtotal	161.63	19.50	6.48	142.13	20.75%
Administrative Support					
Horizontal Activities	77.60	17.70	5.10	59.90	9.96%
Subtotal	77.60	17.70	5.10	59.90	9.96%
Total	779.00	182.00	42.00	597.00	100.00%

Staff financed by contributions from EFTA and/or third countries	
Staff allocated to operational activities	34
Staff allocated to management and administration	0
Total	34

4.2.3. Delegated operational appropriations

Following the Internal Rules for the implementation of the 2019 General Budget, REA manages operational appropriations on the following budget lines. They do not only relate to grant management activities, but also include appropriations for experts.

Since 2016, REA uses a single budget line which simplifies the management of its activities for contracting and paying of expert evaluators, including for Horizon 2020 calls not delegated to REA⁸⁹, while the expert reviewers / monitors remain, as previously, charged to the various budget lines for the delegated programmes.

It should be noted that the figures in the table below come from the REA's Individual Budgetary Financial Statement used for the establishment of the Draft Budget 2019 and may vary due to the following elements:

- The Work Programme 2018-2020 (for 2019) may provide for delegation of selected calls / topics to REA different from what was planned at the time of establishing the Draft Budget 2019.
- The cross-cutting risk of Brexit, which may impact the amount of delegated appropriations set in the Draft Budget 2019.
- The voted General Budget 2019 (including the amending letters and amendments adopted by the Budgetary Authority) may be different from the Draft Budget and transfers of appropriations between the different co-delegated entities can occur.

⁸⁹ Except for the Joint Undertakings (JUs), for which REA uses the relevant JU's budget line.

Budget lines		Commitment appropriations (€ million)			Payment appropriations (€ million)		
		EU Budget	EFTA/EEA	Total	EU Budget	EFTA/EEA	Total
H2020							
<i>Horizon 2020 – Excellent Science</i>							
09 04 01 01	Strengthening research in future and emerging technologies	162.06	3.86	165.91	167.00	3.97	170.97
15 03 01 01	Marie Skłodowska-Curie actions – generating, developing and transferring new skills, knowledge and innovation	943.67	22.46	966.13	770.00	18.33	788.33
	Subtotal Excellent Science	1,105.73	26.32	1,132.04	937.00	22.30	959.30
<i>Horizon 2020 – Industrial Leadership</i>							
02 04 02 01	Leadership in Space	120.59	2.87	123.46	93.00	2.21	95.21
<i>Horizon 2020 – Societal Challenges</i>							
05 09 03 01	Securing sufficient supplies of safe, healthy and high quality food and other bio-based products (Societal Challenge 2)	262.72	6.25	268.98	190.00	4.52	194.52
08 02 03 02	Securing sufficient supplies of safe, healthy and high quality food and other bio-based products (Societal Challenge 2)	166.28	3.96	170.24	140.00	3.33	143.33
08 02 03 06	Fostering inclusive, innovative and reflective European societies (Societal Challenge 6)	95.91	2.28	98.20	83.13	1.98	85.11
09 04 03 02	Fostering inclusive, innovative and reflective European societies (Societal Challenge 6)	42.12	1.00	43.13	36.29	0.86	37.15
09 04 03 03	Fostering secure European societies (Societal Challenge 7)	56.85	1.35	58.20	54.81	1.30	56.11
18 05 03 01	Fostering secure European societies (Societal Challenge 7)	137.60	3.27	140.87	115.00	2.74	117.74
	Subtotal Societal Challenges	761.49	18.12	779.61	619.23	14.74	633.97

Budget lines		Commitment appropriations (€ million)			Payment appropriations (€ million)		
		EU Budget	EFTA/EEA	Total	EU Budget	EFTA/EEA	Total
Horizon 2020 – Specific Objectives							
08 02 04	Spreading excellence and widening participation	114.38	2.72	117.10	121.57	2.89	124.47
08 02 06	Science with and for society	61.13	1.45	62.59	52.33	1.25	53.57
	Subtotal Specific Objectives	175.51	4.18	179.69	173.90	4.14	178.04
FP7							
02 04 51	Completion of previous research framework programmes – 7 th Framework Programme (Cooperation – Space theme)	0	0	0	1.50	0.04	1.54
08 02 51	Completion of previous research framework programmes – 7 th Framework Programme (SME Actions)	0	0	0	0	0	0
15 03 51	Completion of previous research framework programmes – 7 th Framework Programme (People Programme)	0	0	0	13.00	0.31	13.31
18 05 51	Completion of previous research framework programme – 7 th Framework Programme (Cooperation – Security theme)	0	0	0	9.00	0.22	9.22
	Subtotal Completion of FP7	0	0	0	23.50	0.57	24.07
Experts							
08 02 05	Horizontal activities of Horizon 2020	45.00	0	45.00	45.00	0	45.00
08 02 02 03	Expert reviewers for FP7-SME projects	0	0.03	0.03	0	0	0
Various	Expert evaluators of the Joint Undertakings	0	0	0	0	0	0
	Subtotal experts	45.00	0.03	45.03	45.00	0	45.00
Total of the operational budget managed by the Executive Agency:		2,208.31	51.52	2,259.83	1,891.63	43.96	1,935.59