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LEGISLATIVE FINANCIAL STATEMENT

for amending Decision No 2004/20/EC in order to transform the "Intelligent Energy Executive Agency" into the Executive Agency for Competitiveness and Innovation

1. NAME OF THE PROPOSAL:

Draft Commission Decision amending Decision No 2004/20/EC in order to transform the "Intelligent Energy Executive Agency" into the Executive Agency for Competitiveness and Innovation

2. ABM / ABB FRAMEWORK

Policy areas	Activities
Enterprise	Competitiveness, industrial policy, innovation and entrepreneurship
Environment	Implementation of environmental policy
Energy and Transport	Conventional and renewable energies Inland, air and maritime transport

3. BUDGET LINES

3.1. Budget lines

3.1.1. *Subsidy lines for the executive agency*

06 01 04 30 Intelligent energy – Executive agency

02 01 04 30 CIP Entrepreneurship and Innovation Programme – Executive Agency (line to be created in an amended budget)

06 01 04 32 Marco Polo II Programme – Executive Agency (line to be created in an amended budget)

3.1.2. *(for information purposes) Technical and administrative assistance lines:*

06 01 04 10 Innovation and Competitiveness Framework Programme – Intelligent Energy – Europe programme – Expenditure on administrative management

02 01 04 04 Competitiveness and Innovation Framework programme – Expenditure on administrative management

06 01 04 01 Marco Polo II – Expenditure on administrative management

3.1.3. *(for information purposes) Operational lines to be implemented by the executive agency:*

06 04 06 Innovation and Competitiveness Framework Programme – Intelligent Energy – Europe programme

02 02 01 Competitiveness and Innovation Framework Programme – Entrepreneurship and Innovation programme

06 02 06 Marco Polo II Programme

3.2. Duration of the executive agency and duration of the programmes managed by the executive agency:

(1) Duration of the executive agency: extended until 2015 (the Intelligent Energy Executive Agency was initially set up for 2004-2008)

(2) Duration of the programmes managed by the executive agency:

- Intelligent Energy – Europe I Programme : 2003-2006
- CIP – Intelligent Energy – Europe II Programme: 2007-2013
- CIP – Entrepreneurship and Innovation Programme: 2007-2013
- Marco Polo I Programme: 2003-2006
- Marco Polo II Programme: 2007-2013

3.3. Budgetary characteristics of all budget lines listed under point 3.1.:

Budget line		Type of expenditure ¹		New line?	EFTA contribution ²	Contributions from applicant countries ³	Heading in financial perspective
06 01 04 30	Intelligent Energy – Executive agency	Non-comp	Non-diff	NO	YES	YES	No 1A
02 01 04 30	CIP Entrepreneurship and Innovation Programme – Executive agency	Non-comp	Non-diff	YES	YES	YES	No 1A
06 01 04 32	Marco Polo II Programme – Executive agency	Non-comp	Non-diff	YES	YES	YES	No 1A
06 01 04 10	Innovation and Competitiveness Framework Programme – Intelligent Energy – Europe Programme – Expenditure on administrative management	Non-comp	Non-diff	NO	YES	YES	No 1A
02 01 04 04	Competitiveness and Innovation Framework Programme – Expenditure on administrative management	Non-comp	Non-diff	NO	YES	YES	No 1A
06 01 04 01	Marco Polo II Programme – Expenditure on administrative management	Non-comp	Non-diff	NO	YES	YES	No 1A
06 04 06	Innovation and Competitiveness Framework Programme – Intelligent Energy – Europe programme	Non-comp	Diff	YES	YES	YES	No 1A

¹ Differentiated appropriations hereafter referred to as DA, non-differentiated appropriations hereafter referred to as NDA.

² Subject to agreement on the participation of the EFTA States.

³ Subject to agreement on the participation of the applicant countries.

02 02 01	Competitiveness and Innovation Framework Programme – Entrepreneurship and Innovation Programme	Non-comp	Diff	YES	YES	YES	No 1A
06 02 06	Marco Polo II Programme	Non-comp	Diff	YES	YES	YES	No 1A

4. **SUMMARY OF RESOURCES** (in mio €)

4.1. **Financial Resources**

4.1.1. *Financial costs of the use of the executive agency (subsidy to the executive agency – administrative expenditure within the reference amount)*

	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total
Budget of the executive agency (8.1)	9,910	15,314	15,883	16,443	16,876	17,219	17,316	15,470	13,536	137,967
06 01 04 30 Intelligent energy – Executive agency	5,868	6,835	6,835	6,935	6,935	7,175	7,175	6,475	6,475	60,708
02 01 04 30 CIP Entrepreneurship and Innovation Programme – Executive Agency (to be created)	3,153	7,096	7,588	7,971	8,317	8,333	8,430	7,514	5,580	63,982
06 01 04 32 Marco Polo II Programme – Executive Agency (to be created)	0,890	1,383	1,460	1,537	1,624	1,711	1,711	1,481	1,481	13,278

4.1.2. *Financial resources freed by the delegation of additional programmes to the existing executive agency*

	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total
Operational expenditure										
Commitment appropriations (8.2.1)	2,100	2,100	2,100	2,100	2,100	2,100	2,100	2,100	2,100	18,900
Administrative expenditure <u>within</u> the reference amount										
Technical and administrative assistance (8.2.2)	0,100	4,183	4,553	4,797	5,140	5,099	5,195	4,511	4,228	37,806
Administrative expenditure <u>not included</u> in the reference amount										
Human resources and associated expenditure (8.2.3. c)	1,839	2,685	3,648	3,765	3,882	3,999	3,999	3,999	3,999	31,812

Administrative costs, other than human resources and associated costs, <u>not included</u> in the reference amount (8.2.4.)	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000	0,000
Total	4,039	8,968	10,301	10,662	11,122	11,198	11,294	10,610	10,327	88,518	

4.1.3. Overall financial effect of the use of the executive agency

	Section no.	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total
Total financial cost of the extended executive agency	4.1.1. total	9,910	15,314	15,883	16,443	16,876	17,219	17,316	15,470	13,536	137,967
Total financial cost of the executive agency if only the IEE 1 & 2 programmes were delegated	4.1.1. IEE only	5,868	6,835	6,835	6,935	6,935	7,175	7,175	6,475	6,475	60,708
Total of financial resources freed by delegating additional programmes and actions	4.1.2.	4,039	8,968	10,301	10,662	11,122	11,198	11,294	10,610	10,327	88,518

4.1.4. *Effects of the use of the executive agency on the headings of the financial perspective*

Heading of the financial perspective	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total
Internal policies ⁴	-1,842	-2,196	-2,395	-2,611	-2,701	-2,845	-2,846	-2,384	-0,733	-20,553
External action	-	-	-	-	-	-	-	-	-	-
Administration ⁵	1,839	2,685	3,648	3,765	3,882	3,999	3,999	3,999	3,999	31,812
Total	-0,003	0,489	1,253	1,154	1,181	1,154	1,153	1,615	3,266	11,259

4.2. Human resources

4.2.1. *Estimate of human resources necessary in the executive agency (see details under point 8.1.1.)*

Type of staff	2007	2008	2009	2010	2011	2012	2013	2014	2015
Temporary staff in the EA – seconded officials from the Commission	11	11	11	11	11	11	11	11	11
other temporary staff in the EA	24	25	26	26	26	26	26	26	24
Contractual staff in the EA	77	108	110	115	119	121	122	114	92
Total	112	144	147	152	156	158	159	151	127

⁴ Combined effect of the operational and administrative expenditure freed (8.2.1. and 8.2.2.), and the additional costs arising from the new delegation of the CIP EIP and Marco Polo programmes to the executive agency (new budget lines 02 01 04 30 and 06 01 04 32 – see 4.1.1.).

⁵ Effect of the human resources expenditure freed (8.2.3.)

4.2.2. *Human resources **freed** in the Commission by transferring tasks to the executive agency (see details under point 8.2.3.a) and human resources seconded to the executive agency (posts being **frozen** in the Commission –see details under point 8.2.3.b)*

Type of staff	2007	2008	2009	2010	2011	2012	2013	2014	2015
Freed permanent posts and temporary staff	4,1	10,1	17,1	18,1	19,1	20,1	20,1	20,1	20,1
Freed contractual / auxiliary staff	1	3	5	5	5	5	5	5	5
Total number of human resources freed	5,1	13,1	22,1	23,1	24,1	25,1	25,1	25,1	25,1
Total number of permanent posts frozen⁶	11	11	11	11	11	11	11	11	11

5. MONITORING AND EVALUATION

5.1. Monitoring system

All the organisational and monitoring structures, in particular the Steering Committee, are already in place for the Intelligent Energy Executive Agency and will be adapted where necessary to the new multi-DG environment.

Implementation of the sections of the Community programmes entrusted to the executive agency is subject to verification by the Commission. This verification is exercised in line with the procedures, conditions, criteria and parameters laid down in the instrument of delegation defined in Council Regulation (EC) No 58/2003 laying down the statute for executive agencies to be entrusted with certain tasks in the management of Community programmes, Article 6.3.

With regard to budget implementation, the director of the executive agency acts as the authorising officer for the operating budget. In performing this function, he must comply with the standard Financial Regulation applicable to the operating budget of an executive agency (Commission Regulation (EC) No 1653/2004 following from Article 15 of Council Regulation (EC) No 58/2003). The Director also acts as authorising officer by delegation for operational appropriation. In performing this task, he must comply with the general Financial Regulation. The execu-

⁶ The number of permanent posts (FTE) frozen corresponds with the total of officials seconded to the executive agency (see point 4.2.1.).

tive agency and its director are subject to the verifications provided for in the general Financial Regulation and in the standard Financial Regulation in their respective domains, as well as in Council Regulation (EC) No 58/2003.

The director of the executive agency reports on the implementation of the operational appropriations for which he is the authorising officer by delegation under the rules applicable to authorising officers by delegation of the Commission. These appropriations are implemented on the basis of the executive agency's annual work programme comprising detailed objectives and performance indicators, adopted by the Steering Committee no later than the beginning of each year, in line with Article 9.2 of Council Regulation (EC) No 58/2003.

The Transport and Energy DG, Enterprise and Industry DG, and Environment DG, which are responsible for the programmes delegated to the executive agency, are entrusted with monitoring and controlling the executive agency in their capacity as the supervisory DGs. The Directors-General of the aforementioned DGs ensure that – pursuant to the rules of sound financial management – the following are set up within the executive agency:

- internal control systems and procedures
- accounting systems for the management of these programmes

The supervisory DGs carry out the reviews necessary when any substantial change is made to procedures or systems. The executive agency communicates to them within thirty days the information requested and informs them without delay of any substantial changes in its procedures or systems, as well as the reasons for the change.

The Directors General of the supervisory DGs can check, on the basis of documents and on-the-spot checks in the executive agency, that

- the management systems and internal controls exist, and are running smoothly and in such a way so as to ensure full compliance with the principle of sound financial management;
- the actions performed by the executive agency comply with the principles of legality and regularity.

They may carry out ex-ante and ex-post controls on the executive agency's operations, including in relation to beneficiaries of contracts and subsidies. The contracts and agreements signed by the executive agency must expressly state that the beneficiaries undertake to accept these controls as well as controls by the Court of Auditors and OLAF.

In addition to the measures set down in the previous paragraph, the executive agency shall draw up an Annual Activity Report as well as other reports whose nature and frequency are determined in the executive agency's instrument of delegation.

The executive agency sets up a reporting system enabling the supervisory DGs to understand the link between the administrative expenditure and the different programmes managed by the executive agency.

The reporting and supervision provisions in the act of delegation are implemented by establishing working arrangements between the supervisory DGs and the executive agency.

5.2. Evaluation

5.2.1. Mandatory ex-ante evaluation/Cost benefit analysis (according to Art. 3 of Council Regulation (EC) No 58/2003)

Cost-benefit analysis of the externalisation of certain tasks regarding the implementation of the Competitiveness and Innovation Framework Programme (2007-2013) through an executive agency (Technopolis Ltd, November 2006)

Cost-effectiveness study concerning the externalisation of programme management tasks related to the second “Marco Polo” programme (2007-2013) (ECORYS Nederland BV, November 2006)

5.2.2. Measures taken following previous evaluation (lessons learned from relevant experiences in the past – if applicable)

n.a.

5.2.3. Terms and frequency of future mandatory evaluation (according to Art. 25 of Council Regulation (EC) No 58/2003)

In accordance with Art.25 of the regulation, the executive agency will be evaluated by the end of 2008 and again by the end of 2011.

6. CHARACTERISTICS AND OBJECTIVES

6.1. Programmes to be managed by the executive agency

- Intelligent Energy Europe Programme I (2003-2006)
- Competitiveness and Innovation Framework Programme – Intelligent Energy – Europe II Programme (2007-2013) and the Entrepreneurship and Innovation Programme (2007-2013)
- Marco Polo I programme (2003-2006) and the Marco Polo II programme (2007-2013)

6.2. Nature of tasks entrusted to the executive agency

The tasks to be entrusted to the Executive Agency for Competitiveness and Innovation will be laid down in detail in a specific Decision of the Commission (“instrument of delegation”). Such tasks of the Executive Agency for Competitiveness and Innovation will cover:

- managing all the phases in the lifetime of specific projects in the context of implementing the EIP and IEE work programmes under the CIP, as well as the Marco Polo II work programme adopted by the Commission, and the necessary checks to that end, by adopting the relevant decisions where the Commission has empowered it to do so;
- adopting the instruments of budget implementation and carrying out, where the Commission has empowered it to do so, all the operations necessary to manage the implementing measures and, in particular, those linked to the award of contracts and grants under the CIP and to the preparation of award decisions under Marco Polo II;
- gathering, analysing and passing on to the Commission all the information needed to guide and evaluate the implementation of the delegated programmes.

Along these general lines for the tasks to be entrusted to the executive agency the following implementing measures / projects will be delegated for the specific programmes:

- From the CIP Intelligent Energy – Europe Programme, all programme activities are to be delegated, with the exception of those studies and other actions to be contracted through call for tender procedure, whose strategic and political nature prevent delegation to the executive agency. Around 5% of total budget is estimated to be reserved for those activities, although the final figure will depend on the policy priorities during the programme implementation.
- From the CIP Entrepreneurship and Innovation Programme, the following activities will be delegated to the executive agency: 1. Business and Innovation Support Network: both project management and animation for the whole network. 2. Studies and other tender procedures: Actions with similar intervention mechanism and standardised methodology (namely sectoral competitiveness studies). 3. Innovation actions: Activities that have reached a high degree of standardisation and whose implementing methodology is well tested. This includes the IPR Helpdesk and regional innovation projects (RIS-NAC and IRE activities). 4. Eco-innovation projects: pilot and market replication projects, with an intervention mechanism close to that of the current LIFE programme (Environment strand).
- The agency will be entrusted with the management of all Marco Polo projects. The tasks that require political decisions will however be left to the Commission, namely the interface with the Marco Polo II committee and the budgetary authority and the strategic decisions (such as programme definition and co-ordination, strategic evaluation and strategic tenders) regarding the programme. The agency will also be in charge of the rest of the tasks needed to implement the Marco Polo II regulation, which is a continuation of the old Marco Polo regulation.

6.3. Advantages of delegating implementing tasks to an executive agency versus direct management by the Commission services

Principal advantages of the use of an executive agency in relation to a situation of internal management by the Commission are given in the following table:

Criterion	Advantages of the use of an executive agency
Effectiveness and flexibility in the implementation of the externalized tasks	<p>The experience of the current IEEA shows that using an executive agency can lead to increased effectiveness in the implementation of the delegated tasks. This stems from several key advantages offered by the agency:</p> <ul style="list-style-type: none"> – With its exclusive focus on programme implementation, an executive agency is a body specially geared to project management and free from the arbitration constraints that may exist inside Commission DGs. This enables staff to concentrate fully on the related tasks. By giving the programme implementation higher priority and enabling specialisation of the involved staff, using an executive agency leads to gains in efficiency and effectiveness. With management as the core activity of the executive agency, it has more scope to identify and develop new solutions in order to make best use of resources and addressing the needs of potential beneficiaries. This is a crucial advantage compared to the implementation inside the Commission DGs where managing programmes is done in the margins of policy work. – Further gains in effectiveness will be achieved by delegating the implementation of three similar programmes to the executive agency. Firstly, this will increase the size the current IEEA, thereby achieving economies of scale and reducing the share of costs for horizontal functions. Secondly, the delegation of the CIP EIP and the CIP IEE as well as the Marco Polo II Programme will bring those programmes closer together and create or enhance synergies between the programmes. – The executive agency can recruit a suitably skilled workforce with a high level of financial and technical expertise for the different areas covered by the programmes. Furthermore, contractual agents in executive agencies can be recruited for up to 5 years, with provision for renewal once followed by an indefinite contract. This helps reduce staff turnover with direct financial costs in terms of recruitment and training of new staff, and indirect costs through the loss of knowledge and continuity.
Simplification of the procedures used	As the IEEA experience has already shown, the focus on project management tasks and the targeting of financial management tasks within the executive agency lead to a higher proficiency in procedures and to a better and faster execution of tasks (such as contracting or payments) to the benefit of the beneficiaries.
Proximity of the externalized action to the final beneficiaries	The current IEEA has demonstrated that, as a body specially set up and geared for project management, it can respond better to demands by beneficiaries in the context of project management and also, more broadly, to the contacts that beneficiaries and applicants seek.

<p>Visibility of the Community as a promoter of the Community programme concerned</p>	<p>As a single contact point for beneficiaries and applicants, the executive agency can improve the visibility of the Commission as a promoter of the activities concerned in a coherent manner throughout the programmes managed.</p> <p>The fact that the executive agency is perceived by outsiders to be part of the Commission means that there is no reduction in the visibility of the Commission. Hence in particular for those parts where Technical Assistance Offices have been involved in the past, using an executive agency strengthens the visibility of the Community.</p>
<p>Maintenance of a suitable level of know-how inside the Commission</p>	<p>Generally, programming remains within the competence of the Commission DGs. All management posts in the executive agency will be filled by seconded permanent officials, with the result that the former will benefit from the experience of the latter. As the IEEA experience shows it is important and possible to maintain the link between policy and implementation, and to formally agree a “modus operandi”, to avoid any risk of loss of information.</p>

6.4. Theoretical comparison between in-house implementation scenario and executive agency scenario (in a fully operational year)

		Scenario 1: full in-house implementation		Scenario 2: use of the executive agency	
Type of staff	unit cost	No of posts	cost	No of posts	Cost
in the Commission DGs		185	21,645	29,7	3,475
• Officials & temporary staff	0,117	185	21,645	29,7	3,475
• Contractual /auxiliary staff	0,070	0	0	0	0
in the executive agency				159	13,834
• Seconded officials & temporary staff	0,120	---		37	4,440
• Contractual staff	0,077			122	9,394
Total staff and infrastructure expenditure		21,645		17,309	
Other administrative expenditure – audits, evaluations. special IT expenditure etc.		2,754		3,482	
Total cost		24,399		20,791	

7. ANTI-FRAUD MEASURES

Pursuant to Council Regulation (EC) No 58/2003 laying down the statute for executive agencies to be entrusted with certain tasks in the management of Community programmes, Furthermore, the following provisions for financial and administrative control apply:

- Control is exercised by the supervisory DGs in line with the procedures, conditions, criteria and parameters laid down in the instrument of delegation;
- the European Anti-Fraud Office (OLAF) enjoys the same powers in respect of the executive agency and its staff as it enjoys in respect of Commission departments. In its 4th meeting on 15 July 2005, the Steering Committee of the Intelligent Energy Executive Agency (IEEA) adopted “Internal rules to prevent fraud, corruption and any illegal activity detrimental to the Communities’ interests” for the IEEA. These rules will continue to apply and cover the following:
 - (a) the subscribing by the executive agency to the Inter-institutional Agreement of 25 May 1999 between the Parliament, the Council and the Commission concerning internal investigations carried out by OLAF pursuant to Article 20.4 of Council Regulation (EC) No 58/2003, and
 - (b) the executive agency’s measures to combat fraud and irregularities and to facilitate internal inquiries by OLAF, pursuant to Article 9.8 and Article 20.4 of Council Regulation (EC) No 58/2003 and to the respective Article of the instrument of delegation. These measures lay down cooperation and information obligations, not only for officials and agents in the executive agency, but also for staff not subject to the Staff Regulations or the CEOS.
- The legislative proposals affecting the executive agency can be selected by OLAF for fraud proofing; either in detail ex-ante or through a regular Inter service Consultation.
- The Court of Auditors examines the executive agency’s accounts in line with Article 248 of the Treaty.

All acts of the executive agency, and in particular all decisions adopted and contracts concluded by it, must provide explicitly that the Commission's Internal Audit Service, OLAF and the Court of Auditors may conduct on-the-spot inspections of the documents of all contractors and sub-contractors which have received Community funds under one or more programmes implemented by the executive agency.

With regard to the implementation of its operating budget, the executive agency applies the provisions in Commission Regulation (EC) No 1653/2004. The executive agency must implement the operational appropriations in the programme in line with the provisions in the Financial Regulation applicable to the General Budget of the European Communities. Accordingly, management and internal control systems covering the implementation of both the operational appropriations and the operating appropriations in the executive agency's budget have been put in place by the Director and operate properly.

8. **DETAILS OF RESOURCES⁷** (in mio €)

8.1. **Budget of the executive agency – Summary financial cost of the use of the executive agency**

Nature of expenditure	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total
Staff expenditure (8.1.1.)	5,442	9,468	9,676	9,951	10,171	10,281	10,336	9,896	8,490	83,711
Administrative and infrastructure expenditure (8.1.2.)	2,464	3,168	3,234	3,344	3,432	3,476	3,498	3,322	2,794	28,732
Other management expenditure (8.1.3.)	2,004	2,678	2,973	3,148	3,273	3,462	3,482	2,252	2,252	25,524
Total budget	9,910	15,314	15,883	16,443	16,876	17,219	17,316	15,470	13,536	137,967

⁷ For the calculation of costs for staff and administrative / infrastructure expenditure the following assumptions have been made:

- Annual costs for staff in the executive agency: seconded officials / temporary agents: 98.000 €, contractual agents: 55.000 €, overheads for all staff: 22.000 €.
- Annual costs for staff in the Commission: permanent officials / temporary agents: 93.000 €, contractual agents: 48.000 €, overheads for all staff: 24.000 €.

8.1.1. Staff expenditure – Number, type and costs of human resources in the executive agency (indicative forecast)

Type of staff		2007 ⁸	2008	2009	2010	2011	2012	2013	2014	2015	Total
Temporary staff in the EA – Seconded officials from the Commission	no. of posts	11	11	11	11	11	11	11	11	11	
	Cost	0,784	1,078	1,078	1,078	1,078	1,078	1,078	1,078	1,078	9,408
Other temporary staff in the EA	no. of posts	24	25	26	26	26	26	26	26	24	
	Cost	1,715	2,450	2,548	2,548	2,548	2,548	2,548	2,548	2,352	21,805
Contractual staff	no. of posts	77	108	110	115	119	121	122	114	92	
	Cost	2,943	5,940	6,050	6,325	6,545	6,655	6,710	6,270	5,060	52,498
Total – Number of posts		112	144	147	152	156	158	159	151	127	
Total – Costs		5,442	9,468	9,676	9,951	10,171	10,281	10,336	9,896	8,490	83,711

⁸ Most of the new staff (e.g. for CIP EIP and Marco Polo programmes) will be recruited in the course of 2007 and will only work during parts of 2007. Hence, the costs for new staff in the EA in 2007 are calculated as, on average, 50% of what is assumed as annual staff costs..

8.1.2. *Administrative and infrastructure expenditure*

Nature of expenditure	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total
Overhead costs for temporary staff	0,770	0,792	0,814	0,814	0,814	0,814	0,814	0,814	0,770	7,216
Overhead costs for contractual staff	1,694	2,376	2,420	2,530	2,618	2,662	2,684	2,508	2,024	21,516
Total	2,464	3,168	3,234	3,344	3,432	3,476	3,498	3,322	2,794	28,732

8.1.3. *Other management expenditure*

Nature of expenditure	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total
Experts for evaluation of proposals	0,700	1,050	1,180	1,140	1,200	1,090	1,100	0	0	7,460
Audits	0,230	0,269	0,338	0,422	0,446	0,728	0,728	0,728	0,728	4,617
Missions	0,264	0,519	0,545	0,626	0,667	0,684	0,694	0,684	0,684	5,367
Dissemination / Communication	0,240	0,260	0,260	0,260	0,260	0,260	0,260	0,140	0,140	2,080
Special IT expenditure	0,350	0,350	0,350	0,350	0,350	0,350	0,350	0,350	0,350	3,150
Other (intérimaires, translation etc.)	0,220	0,230	0,300	0,350	0,350	0,350	0,350	0,350	0,350	2,850
Total	2,004	2,678	2,973	3,148	3,273	3,462	3,482	2,252	2,252	25,524

8.1.4. Draft establishment plan of the executive agency (statutory agents – indicative forecast)

Category & grade	2007	2008	2009	2010	2011	2012	2013	2014	2015
AD14	1	1	1						
AD13									
AD12									
AD11	3	3	3						
AD10	7	7	7						
AD9									
AD8	3	3	3						
AD7	10	11	12						
AD6									
AD5	7	7	7						
Total category AD	31	32	33	33	33	33	33	33	31
AST*11									
AST*10									
AST*9									
AST*8									

AST*7	2	2	2						
AST*6									
AST*5									
AST*4	1	1	1						
AST*3									
AST*2	1	1	1						
AST*1									
<i>Total category AST</i>	4	4	4	4	4	4	4	4	4
Total	35	36	37	37	37	37	37	37	35

8.2. Financial resources freed by the use of the executive agency

8.2.1. Financial resources freed – Operational expenditure (see point 4.1.2. a))

Budget line	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total
02 02 01 CIP – EIP	2,100	2,100	2,100	2,100	2,100	2,100	2,100	2,100	2,100	18,900
Total	2,100	2,100	2,100	2,100	2,100	2,100	2,100	2,100	2,100	18,900

8.2.2. Financial resources freed – Administrative expenditure within the reference amount (see point 4.1.2. b))

Budget line	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total
02 01 04 04 CIP – EIP – Expenditure on administrative management	0,000	4,083	4,453	4,697	5,040	4,999	5,095	4,511	4,228	37,106
06 01 04 01 Marco Polo II – Expenditure on administrative management	0,100	0,100	0,100	0,100	0,100	0,100	0,100	0	0	0,700
Total	0,100	4,183	4,553	4,797	5,140	5,099	5,195	4,511	4,228	37,806

8.2.3. *Administrative expenditure not included in the reference amount – human resources and associated expenditure freed or frozen (see 4.3.)*

(a) Number and type of human resources freed by the transfer of tasks to the executive agency (staff to be assigned to other priorities within the Commission services)

Type of staff		2007	2008	2009	2010	2011	2012	2013	2014	2015
Permanent officials and temporary staff	A*AD	1,1	4,1	4,1	4,1	5,1	6,1	6,1	6,1	6,1
	B* C*/AST	3	6	13	14	14	14	14	14	14
contractual / auxiliary staff		1	3	5	5	5	5	5	5	5
Total		5,1	13,1	22,1	23,1	24,1	25,1	25,1	25,1	25,1

(b) Number and type of posts seconded to the executive agency (posts frozen in the Commission)

Type of staff		2007	2008	2009	2010	2011	2012	2013	2014	2015
Permanent officials and temporary staff	A*AD	11	11	11	11	11	11	11	11	11
	B* C*/AST									
Total		11	11	11	11	11	11	11	11	11

(c) Effect of the redeployment (i.e. frozen and freed human resources in the Commission) on the Commission's administrative expenditure (see point 4.1.2. c)

Nature of expenditure	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total
Costs (incl. overhead costs) for permanent officials and temporary staff in the Commission	1,767	2,469	3,288	3,405	3,522	3,639	3,639	3,639	3,639	29,004
Costs (incl. overhead costs) for contractual / auxiliary staff in the Commission	0,072	0,216	0,360	0,360	0,360	0,360	0,360	0,360	0,360	2,808
Total	1,839	2,685	3,648	3,765	3,882	3,999	3,999	3,999	3,999	31,812

8.2.4. *Financial resources freed – Administrative expenditure not included in the reference amount (administrative costs, other than human resources and associated costs) (see point 4.1.2. d)*

Budget line	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total
Total										

8.3. Operational expenditure (for information purposes)

8.3.1. Description of the actions to be implemented by the executive agency and their financial cost⁹ (commitment appropriations in mio €)

	2007	2008	2009	2010	2011	2012	2013	Total
CIP – Entrepreneurship and Innovation Programme (EIP)								
Operational objective No.1	Support, improve, encourage and promote the creation of an environment favourable to SME cooperation, particularly in the field of cross-border co-operation [Art.10.2(b) & Art.12]							
Action 1	SME co-operation and Services in support of business and innovation [Art.21 & annex III]							
Output (grants) ¹⁰	69,3	74,2	-	44,2	44,1	44,1	44,1	320,0
Operational objective No.2	Support, improve, encourage and promote all forms of innovation in enterprises [Art.10.2(c)]							
Action 1	Support national and regional programmes for business innovation [Art.13(b)]							
Action 2	Support services for trans-national knowledge and technology transfer and for the protection and management of intellectual property [Art.13(d)]							
Output (grants)	7,9	-	11,0	7,9	11,0	-	-	37,8
Operational objective No.3	Support, improve, encourage and promote eco-innovation [Art.10.2(d)]							
Action 1	Support eco-innovation pilot and market replication projects [Art.22])							
Output (grants)	-	25,0	26,0	31,0	31,0	33,0	35,0	181,0

⁹ As described under section 5.3

¹⁰ The uneven profile of commitment appropriations arises from the fact that the new Business and Innovation Support Network will operate on basis of multi-annual grant agreements. Payment appropriations and other project management tasks including monitoring of the quality of services provided to SMEs will have an even profile over time.

Operational objective No.4	Support, improve, encourage and promote enterprise and innovation related economic and administrative reform [Art.10.2(f)]							
Action 1	Contribute to the definition and promotion of competitiveness strategies related to industry and service sectors [Art.15(b)]							
Output	-	3,0	3,0	3,0	3,0	3,0	3,0	18,0
Total CIP – Entrepreneurship and Innovation Programme (EIP)	77,2	102,2	40,0	86,1	89,1	80,1	82,1	556,8
CIP – Intelligent Energy Europe Programme (IEE)								
Operational objective No.1	Provide for action to foster energy efficiency and the rational use of energy resources (SAVE) [Art.37.2(a)]							
Action 1	Improve energy efficiency and the rational use of energy in particular in the building and industry sectors, with the exception of actions covered by Art.41 (STEER) [Art.39(a)]							
Action 2	Support the preparation of legislative measures and their application [Art.39(b)]							
Output (grants)	20,8	22,1	27,7	33,4	45,0	47,6	54,6	251,2
Operational objective No.2	Provide for action to promote new and renewable energy sources and to support energy diversification (AL-TENER) [Art.37.2(b)]							
Action 1	Promote new and renewable energy sources for centralised and decentralised production of electricity and heat and supporting the diversification of energy sources, with exception of actions covered by Art.41 (STEER) [Art.40(a)]							
Action 2	Integrate new and renewable energy sources into the local environment and the energy systems [Art.40(b)]							
Action 3	Support the preparation of legislative measures and their application [Art.40(c)]							
Output (grants)	21,7	23,9	33,9	35,9	48,9	56,5	59,4	280,1

Operational objective No.3	Provide for action to promote energy efficiency and the use of new and renewable energy sources in transport (STEER) [Art.37.2(c)]							
Action 1	Support initiatives relating to all energy aspects of transport and the diversification of fuels [Art 41(a)]							
Action 2	Promote renewable fuels and energy efficiency in transport [Art 41(b)]							
Action 3	Support the preparation of legislative measures and their application [Art 41(c)]							
Output (grants)	10,6	15,9	18,2	19,3	27,4	30,4	37,4	159,2
Total CIP – Intelligent Energy Europe Programme (IEE)	53,1	61,9	79,8	88,6	121,3	134,5	151,4	690,6
Marco Polo II Programme								
Operational objective No.1								
Action 1	Modal shift actions, Catalyst actions, Common Learning actions, Motorways of the Sea actions and Traffic avoidance actions							
Output (grants)	56,0	59,0	62,0	64,0	67,0	70,0	73,0	450,0
Total Marco Polo II Programme	56,0	59,0	62,0	64,0	67,0	70,0	73,0	450,0

8.3.2. Description of the actions to be implemented by the Commission and their financial cost (commitment appropriations in mio €)

	2007	2008	2009	2010	2011	2012	2013	Total
CIP – Entrepreneurship and Innovation Programme (EIP)								
Operational objective No.1	Support, improve, encourage and promote access to finance for the start-up and growth of SMEs and invest in innovation activities [Art.10.2(a)]							
Action 1	Community financial instruments for SMEs [Art.17, 18, 19, 20] (implemented by the European Investment Fund)							
Output (grants)	(142,1)	(143,0)	(143,0)	(170,0)	(175,0)	(175,0)	(181,0)	(1129,1)
Operational objective No.2	Support, improve, encourage and promote all forms of innovation in enterprises [Art.10.2(c)], support, improve, encourage and promote eco-innovation [Art.10.2(d)], support, improve, encourage and promote entrepreneurship and innovation culture [Art.10.2(e)], and support, improve, encourage and promote enterprise and innovation related economic and administrative reform [Art.10.2(f)]							
Action 1	Innovation and eco-innovation pilot and market replication projects [Art.22], policy analyses, development coordination and twinning [Art.23], Entrepreneurship and innovation programme support measures [Art.24]							
Output (grants)	45,0	34,1	105,5	53,7	67,0	78,7	81,7	465,7
Total CIP – Entrepreneurship and Innovation Programme (EIP)	45,0	38,6	107,6	47,1	67,0	78,7	81,7	466,7
CIP – Intelligent Energy Europe Programme (IEE)								
Operational objective No.1	Provide for action to foster energy efficiency and the rational use of energy resources (SAVE), to promote new and renewable energy sources and to support energy diversification (ALTENER) and to promote energy efficiency and the use of new and renewable energy sources in transport (STEER) [Art.37]							
Action 1	Support the preparation of legislative measures and their application [Art.39(c), 40(c), and 41(c)]							

Output (grants)	2,8	3,3	4,2	4,7	6,4	7,0	7,9	36,3
Total CIP – Intelligent Energy Europe Programme (IEE)	2,8	3,3	4,2	4,7	6,4	7,0	7,9	36,3
Marco Polo II Programme								
Operational objective No.1								
Action 1								
Output (grants)								
Total Marco Polo II Programme								