



**AGENCIA  
ESTATAL DE  
INVESTIGACIÓN**

Annual Action  
Plan of the State  
Research Agency  
for 2021



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## 1 PRESENTATION

Royal Decree 1067/2015, of November 27, created the State Research Agency (hereinafter Agency) and approved its Statute. Its effective constitution took place on June 20, 2016, with the constitutive meeting of its Governing Council.

The Agency was created with the mission of contributing to the promotion of scientific and technical research in all areas of knowledge through the competitive and efficient allocation of public resources, the monitoring of financed actions and their impact, and advice on the planning of the actions or initiatives through which the R&D policies of the General State Administration are implemented.

The Royal Decree creating the Agency provided that until the Management Contract was approved by joint ministerial order of the Ministry of Economy and Competitiveness and of Finance and Public Administrations, the performance of the Agency would be carried out in accordance with the criteria and guidelines established in the Initial Action Plan that is incorporated into the Report referred to in article 3 of Law 28/2006, of July 18, as well as the actions to be carried out derived from the approval of the scientific and technical research plans and innovation as established by Law 14/2011, of June 1 and its corresponding annual action programs.

However, Law 40/2015, of October 1, on the Legal Regime of the Public Sector, came to abolish the State Agencies, which had a period of three years from its entry into force to modify their statutes and become one of them. of the entities that, according to said Law, had to constitute the new institutional public sector.

For this reason, and not having approved a management contract due to the expected extinction of the legal regime of the State Agencies, and pending the adaptation to Law 40/2015, of October 1, the Agency has been approving since the year 2017 an Annual Action Plan, in accordance with article 23 of its statute, thus updating year after year the strategic lines contained in its Initial Action Plan.

Law 11/2020, of December 30, on General State Budgets for the year 2021, in its thirty-fourth provision, has modified Law 40/2015, of October 1, recovering state agencies as one of the legal figures institutional administration at the state level.

The new article 108 ter, section 2, of Law 40/2015 establishes that: "The action of the State Agencies occurs, in accordance with the annual action plan, under the validity and in accordance with the relevant multi-year management contract (...).

In view of the new regulation and in the meantime the Agency processes its management contract, the approval of the Annual Action Plan corresponding to the year 2021 is in order, which covers the new actions to be carried out this year, giving continuity to those included in the Initial Plan of Action and in the previous annual plans.

The Annual Action Plan is configured as the Agency's planning instrument, within the framework of the management contract, which includes, based on the available resources, the activities to be carried out in the corresponding year to achieve its objectives. It must be approved by the

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Governing Council before January 31 of the corresponding year and its content is developed in article 23 of the Statute, according to which:

“The annual action plan will include, among others, the following activities:

a) Those of a training, methodological nature and determination of management indicators of the activities that correspond to the Agency.

b) Those of management, monitoring and control of the actions that, in matters of scientific, technical and innovation research, correspond to the Agency in accordance with its purpose and functions.

c) Those of organization and management of the scientific-technical evaluation of the proposals that require financing charged to the programs and instruments assigned to the Agency or resulting from agreements and collaboration agreements”.

The Annual Action Plan is structured in this document around six main lines of action, describing the activities through which the functions of the Agency will be carried out and its objectives will be achieved, as well as the indicators that will allow its degree of compliance to be quantified.

This Annual Action Plan has been approved by the Governing Council of the Agency, as provided in article 23 of its Statute, in its session on January 20, 2021.

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## 2 CONTEXT

### 2.1 PURPOSES AND OBJECTIVES

According to article 2.1. of the Statute, "the Agency's own object is the financing, evaluation, management and monitoring of scientific and technical research activity aimed at the generation, exchange and exploitation of knowledge promoted by the General State Administration on its own initiative or in concurrence with other Administrations or Spanish entities or from other countries or international organizations"

For its part, article 2.2 establishes that "the purposes of the Agency are the promotion of scientific and technical research in all areas of knowledge through the efficient allocation of public resources, the promotion of excellence, the promotion of collaboration between the agents of the System and support for the generation of knowledge with a high scientific, technical, economic and social impact, including those aimed at solving the great challenges of society, and the monitoring of the activities financed as well as the necessary advice to improve the design and planning of the actions or initiatives through which the R&D policies of the General State Administration are implemented.

### 2.2 FUNCTIONS

The article 5 of the Agency's Statute establishes that, in order to fulfill its object and purposes, the Agency will carry out the following functions:

- a) The management of the programs, instruments and actions that are awarded within the framework of the State Plans for Scientific and Technical Research and Innovation, any other that is expressly assigned by the General Administration of the State or those that derive from the collaboration agreements entered into with other entities or other actions, through the objective and impartial allocation of available resources.
- b) The organization and management of the ex-ante and ex post scientific-technical evaluation of the proposals, actions or initiatives when appropriate, using evaluation criteria based on internationally recognized scientific and technical merits, as well as those criteria established by the corresponding calls.
- c) The verification, monitoring and subsequent evaluation of the activities financed by the Agency and their scientific, technical and socio-economic impact, as well as the control of the justification for compliance with the conditions and objectives of the aid received.
- d) The communication and dissemination of the results of the evaluations carried out.
- e) Monitoring of the management, financing, justification and results of any actions that are directly executed by the Agency, as well as advice on them.

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- f) Participation in national and international meetings and forums related to the matters pertaining to its object and purposes, and representation in R&D&i policy forums when so determined by the Ministry of Economy, Industry and Competitiveness. The Agency's action in international forums will take place in coordination with the Ministry of Foreign Affairs and Cooperation when deemed necessary.
  - g) The dissemination and communication of the results of its activities and the results of the research financed by the Agency.
  - h) The management of actions aimed at promoting collaboration, exchange, circulation, dissemination and exploitation of scientific and technical knowledge among System agents.
  - i) Carrying out activities or providing services entrusted to it by the General State Administration or, by virtue of contracts, agreements and legal transactions in general, by other entities.
  - j) The management of R&D actions financed with European funds and those resulting from Spanish participation in international programmes.
  - k) Economic and budgetary management and economic-financial control of the corresponding instruments and actions.
  - l) Any other function entrusted to it.

## 2.3 BASIC PRINCIPLES OF ACTION

The Agency will observe the principles of general interest by which the actions of the Public Administrations must be governed. In the exercise of its specific functions, it will also be governed by the following basic principles in accordance with article 6 of its Statute:

1. Autonomy, understood as the Agency's ability to manage the means made available to it to achieve the agreed objectives.
2. Technical independence, based on the training, specialization, professionalism and individual responsibility of the personnel at the service of the Agency, who must observe the applicable values of competence, professional ethics and public responsibility.
3. Objectivity in the evaluation of the scientific, technical and innovative merit in all its actions, which will be carried out using previously established criteria, known to all and based on international and commonly accepted standards.
4. Transparency in all administrative activities and compliance with the obligations of good governance by the public officials of the Agency, as well as accountability and commitment to present accurate and complete information on all the results and procedures used in the management.

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5. Efficiency in its performance, putting all the means to carry out the object and purpose defined in its Statute.

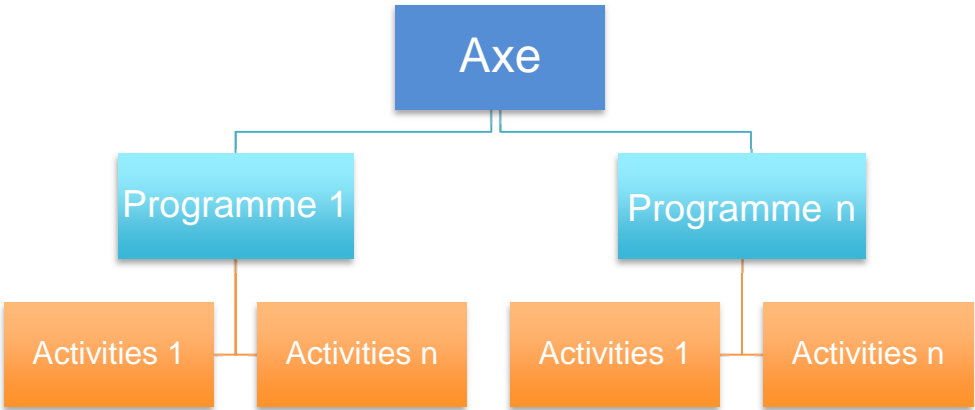
6. Efficiency in the allocation and use of public resources and continuous evaluation of the quality of management processes and action procedures, which will be carried out in accordance with the criteria of legality, speed, simplification and electronic accessibility and without prejudice to rigor necessary.

7. Interinstitutional cooperation, understood as the principle that seeks synergies in collaboration with other Administrations, agents and institutions, public or private, national and international, for the promotion of knowledge in all its fields.

8. Gender equality, promoting the gender perspective and a balanced composition of women and men in its bodies, councils and committees and activities in accordance with the provisions of Organic Law 3/2007, of March 22, for effective equality of women and men, and the thirteenth additional provision of Law 14/2011, of June 1.

### 3 THE SIX LINES OF ACTION

The Agency's programming has been divided into six lines of action, in each of which several main activities have been defined, grouped most of the time into programmes. Each of the activities is made up of different phases and tasks, according to the following scheme.



An indicator has been associated with each defined activity and, whenever possible, an estimate of the real existing workload has been established for each of these indicators, as well as a value, as a percentage, for the compliance objective effective indicator on the actual defined workload. A table with the following information has been included in each program:

Activity	Workload estimation	Real workload indicator	Target
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The Workload Estimate column indicates the actual workload for the defined activity. This value may include, depending on the activity in question, both the workload from the subrogated powers and functions of the former General Directorate of Scientific and Technical Research and General Directorate of Innovation and Competitiveness of the Ministry of Economy and Competitiveness (first additional provision of Royal Decree 1067/2015, of November 27), such as those corresponding to the powers and functions of the Agency from the moment of its start-up, or the sum of both.

All the indicators are defined in a relative way, that is, referenced to the estimated real workload. The Objective column indicates the degree of compliance in percentage that is expected to be achieved in 2020 for the indicator.

In some programs, the Objective is not defined as a percentage of compliance over the actual workload of the activity, but rather in an absolute way. In these cases, the Workload Estimate parameter is omitted and the information indicated by the program is:

Activity	Indicator	Objective
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### 3 LINE 1. CONSOLIDATION AND STRUCTURAL DEVELOPMENT of Agency

#### Programme 1. Approval on the Management Contract

During the year 2021, the Agency must undertake the preparation and approval of its management contract, through the procedure and with the content determined in article 108 ter of Law 40/2015, of October 1, after the modification operated by the Thirty-fourth final provision of Law 11/2020, of December 30, on General State Budgets for the year 2021.

Activity	Indicator	Objective
<b>Preparation, processing and approval of the Agency Management Contract, in accordance with article 108 ter of Law 40/2015, of October 1.</b>	Approval of the management contract	1

#### Programme 2. Arrangement of the Human Resources

This program aims to advance in the design of the general framework of action in the field of human resources that focuses on determining the working conditions of the Agency's public employees, including aspects related to the organization, structure and framework of action in matters of human resources, remuneration, etc., counting for this with the representatives of the corresponding staff and trade union organizations.

The activities included in this program are the following:

##### **1. Approval and implementation of a productivity system for meeting objectives.**

The Governing Council of the Agency approved on November 26, 2019 a proposal for a multi-year productivity program for meeting objectives (PCO), which covers the years 2019 to 2022.

The objective of this program is to encourage the productivity and performance of the Agency's personnel, which will favor the fulfillment of its objectives, rewarding effort and dedication.

It is also pursued to make the jobs at the Agency attractive, in such a way as to contribute to the coverage of currently existing vacancies and to retain qualified personnel currently assigned.

The PCO is based on the definition of objectives to be met and on the indicators of compliance with these objectives and will be paid on a small part of the income generated annually by reimbursement of aid and provision of services.

In 2020, the PCO was presented to the Ministry of affiliation, which transferred it to the Ministry of Finance, for approval. During this exercise various improvements have been made to the proposal.

The Agency's objective in 2021 is the approval and implementation of the productivity system for meeting objectives (PCO).

1. **Preparation and execution of the 2021 Training Plan.** A Training Plan will be drawn up aimed at improving the skills necessary for the proper functioning of the organization and the effective provision of services. The elaboration of the Plan will be carried out with the participation of the workers' representatives.
2. **Preparation and execution of the 2021 Social Action Plan.** The social action aid plan for Agency workers corresponding to 2021 will be prepared and executed, which will affect both individual measures (staff study aid, protection of health, descendants and ascendants, transport, disability, situations of gender violence and situations of an exceptional nature) as well as measures of a collective nature (medical examinations, dining aid, etc.).
3. **Measures for the incorporation of new personnel to the Agency.** A specific competition for the provision of jobs for civil servant staff in the Agency will be approved, published and resolved during the year 2021, which will allow a minimum of 40 currently vacant jobs to be offered. Likewise, a study and proposal of positions will be carried out to be included in the Public Employment Offer for the year 2021.

Activity	Indicator	Objective
<b>Approval and start-up of productivity by objectives</b>	Approval of the program by the Ministry of Finance and implementation of productivity 2019	1
<b>Preparation and execution of the Training Plan</b>	Approval and execution of the plan	1
<b>Preparation and execution of the Social Action Plan</b>	Approval and execution of the plan	1
<b>Measures for the incorporation of new troops</b>	Approval, publication and execution of a transfer contest preparation and presentation of a proposal for the OEP	2

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### Programme 3. Communication and visibility of the Agency's activities

The Agency's Communication and Transparency Plan was approved at the meeting of the Governing Council on December 4, 2017. This document includes the communication and dissemination instruments that will make it possible to give visibility to the Agency's activities and actions abroad and towards their employees. Likewise, the Plan includes the lines of action that mark transparency in administrative activities and compliance with the obligations of good governance by the public officials of the Agency, as well as accountability and commitments to present accurate information and information on the results and procedures used in the management. The specific execution measures of this plan for the year 2020 are specified in Axis 6.

Within this program and as a necessary instrument to be able to execute the Communication and Transparency Plan, in 2021 the Agency's website and intranet will be completed and put into operation, which will serve as a reference as a source of information and communication, as well as as well as to consolidate the institutional image of the Agency.

On the other hand, we must continue moving forward to involve workers in the Agency's activities and matters of common interest, either through corporate emails and/or general meetings or by Units. We consider it important to maintain regular contacts, in which all workers are informed, and at the same time allow interaction with the concerns and proposals of all staff.

Activity	Indicator	Objective
<b>Design and implementation of the Agency's website</b>	Execution of the action	1
<b>Design and implementation of the Agency's intranet.</b>	Execution of the action	1
<b>Internal communications and briefings</b>	Corporate emails and meetings	10

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#### Programme 4. Consolidation of common services.

During 2019, the Agency moved to a new headquarters in the building at Calle Torrelaguna, 58 bis, in Madrid.

The transfer has involved the start-up with its own means of the necessary horizontal services, as the shared services regime that had been maintained until then with the Ministry of affiliation ceased to be in force.

In this way, during the years 2019 and 2020, the necessary services have been contracted for the provision of equipment and maintenance of the building and actions have been initiated to have an ICT structure.

In order to consolidate the necessary services for the operation of the Agency, in 2021, the following activities will be undertaken:

1. Implementation of the computing and storage infrastructures, and the support services, security, backup and associated systems, which will be shared with the Assignment Ministry. The contracting process for these infrastructures was practically completed at the end of 2020 and will be completed at the beginning of 2021, so that they can be deployed during this year.
2. Hiring or commissioning and start-up of a new computerized aid processing system, based on the feasibility study prepared during 2020.

Until this study is prepared and the development and implementation of the new computer system is implemented, the current computer applications for aid management will be maintained jointly with the Ministry of affiliation.

Activity	Indicator	Objective
<b>Implementation of computing and storage infrastructures, and support services, security, backup and associated systems.</b>	Adjudication of the service and commissioning.	1
<b>Recruitment or order and start-up of the new computerized aid processing system.</b>	Signing of the contract or order and start of computer development.	1

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## LINE 2. MANAGEMENT of the financing instruments.

One of the functions of the Agency is the management of the programmes, instruments and actions assigned to it within the framework of the State Plans for Scientific and Technical Research and Innovation, any other that is expressly assigned by the General Administration of the State or the arising from collaboration agreements entered into with other entities or from other actions, through the objective and impartial allocation of available resources (article 5 of the Statute).

Within the framework of these State Plans, the Annual Action Programs (hereinafter PAA) are the documents that include the actions programmed to promote and promote R&D&i, and the budget credits assigned for their financing to through different funding bodies, including the State Research Agency, generally through competitive calls.

The Agency is responsible for economic and budgetary management and economic-financial control of the instruments and actions that correspond to it [article 5 k) of the Statute].

Therefore, the Agency's activity in this axis has been subdivided into Program 1: Instruction of the procedure for granting calls and Program 2: Economic and budgetary management. The indicators provided in these two programs depend entirely on the actions programmed in the PAA and the available budget, for which an estimate has been made based on the data for the year 2020.

### Programme 1. Instruction of the procedure for granting calls.

This program has been divided into 4 fundamental activities that are made up of the different phases and tasks described below:

1. **Drafting and publication of calls.** It includes, in addition to the drafting of the texts of all the calls, the request for the mandatory reports and authorizations, the signature and publication in the BOE and in the National Database of Subsidies
2. **Instruction.** This activity includes the technological configuration processes of the communication interfaces with the beneficiaries and internal processing applications, the administrative review of the applications, the correction and processing of possible withdrawals and the notification of the provisional and definitive resolution proposal.

Qualitatively, it is intended to homogenize the notifications to the beneficiaries, as well as improve the procedures to shorten the processing times.

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3. **Maintenance of the entity system.** The System of Entities is the repository where the entities requesting aid from the Agency must register by providing the necessary documentation to prove both their legal nature and the valid representation of the natural persons designated as their legal representatives.

This repository is connected to all the aid processing systems, so it is essential that all the information is kept up to date and that a registration system for new entities is allowed.

4. **Advice to applicants.** Throughout the process of submitting applications and instruction of the calls, it is essential to provide the entities with correct advice on the configuration of the application reports, correct allocation of eligible costs, declarations of responsibility, hearing procedures, etc. This advice will be done through the manuals and frequently asked questions files published on the institutional website, as well as through email accounts.

Activity	Workload estimation	Real workload indicator	Objective
<b>Drafting and publication of calls</b>	19	Number of calls published	100%
<b>Instruction</b>	22.000	No. of files processed	100%
<b>Entity system maintenance</b>	2.600	No. of requests for registrations/deregistrations /modifications processed	100%
<b>Advice to aid applicants</b>	17.000	Number of emails answered	100%

## Programme 2. Economic and Budget management

This program has been divided into 5 fundamental activities that are made up of the different phases and tasks described below:

1. **Prior inspection of calls for aid that require it.** The number of calls subject to prior control by the Delegate Intervention of the Ministry of Science and Innovation is that corresponding to those with chapter 8 available for financing.

This process includes, for each of the different accounting phases necessary to execute the expense (listed in point 4), the preparation of the documentation that, in relation to basic requirements for prior auditing, is included in the Council Agreement of Ministers of May 30, 2008.

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2. **Review of the requirements to obtain the condition of beneficiary and for the payment of multiannual aid.** This activity includes both the review of the responsible statements and certificates provided by the applicants and, in the event that prior authorization has been given, the verification through the web servers enabled for the purpose of compliance with the obligations with the Tax Agency and with Social Security.

This review is carried out only once for each entity, regardless of the number of grants awarded.

3. **Issuance of accounting documents.** The documents required to process the calls managed by the Agency are, depending on the stage of the procedure, the following:

<b>Accounting document</b>	<b>Convocation phase</b>
RC	Credit retention document that accompanies the expense proposal for authorization
A	Expenditure approval document, once the call has been authorized and published
D	Expenditure commitment, this document is used once the call has been resolved and its beneficiaries are known.
OP/OK	Acknowledgment of the obligation and payment of the same or acknowledgment of the obligation and payment proposal (depending on whether they are chapter 7 or chapter 8 credits)

4. **Payment of aid.** In the payment of aid, as in the entire economic management procedure thereof, it must be differentiated according to whether it is the Agency's own budget or the Secretary of State's budget, that is, chapter 7 or 8.

In the first case, and once the aid reflected in its respective OP document has been accounted for, it will be transferred to the unit in charge of managing the Agency's Treasury, to order the necessary transfers, always taking into account the situation of the Treasury.

In the case of chapter 8 operations, once the accounting document has been recorded by the Delegated Intervention, the ordering of the payment corresponds to the Public Treasury, a process in which the Agency does not intervene at any time.

All grants awarded, regardless of their form, must be registered in the National Grant Database.

5. **Advice to aid applicants.** Advice will be provided to the beneficiaries, especially with regard to the presentation of guarantees and characteristics of the bank accounts. This advice will be done through email accounts available on the institutional website.

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Activity	Workload estimation	Real workload indicator	Objective
<b>Prior control of the calls that require it</b>	2	No. of audited calls	100%
<b>Review of the requirements to obtain beneficiary status and payment of multiannual payments</b>	7.000	Number of revisions	100%
<b>Issuance of accounting documents derived from the concession</b>	35.000	No. of accounting documents issued	100%
<b>Payment of aid</b>	17.000	No. of transfers made	100%
<b>Advice to beneficiaries</b>	800	No. of emails answered	100%

### **LINE 3. Scientific and technical evaluation of the proposals.**

The Agency is responsible for the organization and management of the ex ante and ex post scientific-technical evaluation of the proposals, actions or initiatives, when appropriate using evaluation criteria based on internationally recognized scientific and technical merits, as well as those criteria established by the corresponding calls, as stated in its Statute (article 5 b).

The scientific-technical evaluation of the proposals and their internationally proven development protocols are the fundamental pillars that guarantee the proper functioning of the competitive competition based on criteria of excellence and the correct allocation of budget funds.

This axis of action is divided into three programs of activities: the first program includes the activities corresponding to the evaluations of the instruments included in the PAA, and the second program includes the evaluations corresponding to the collaboration agreements and the order of public prices with other entities external to the Agency. Finally, the third program refers to the elaboration of the protocols that will be used in the internal processes related to the evaluation and that will be duly disseminated.



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## Programme 1. Evaluations arising from AAP.

This program includes four activities:

1. **Management of individual peer evaluations.** This activity begins with the search for the best available experts in each of the thematic areas to which the proposals correspond, with the aim of obtaining a peer review of each of the applications. This process in turn entails a close monitoring of the execution of the evaluations themselves and the reassignment of the proposals to new evaluators in the cases in which the evaluators assigned in the first place reject it, or of discrepancy between the evaluations issued.
2. **Management of the Technical Evaluation Commissions.** This activity includes tasks such as the appointment of the members of the commissions themselves, as well as the organization of the technical and human resources necessary to hold them.
3. **Preparation of final evaluation reports.** This activity consists of the generation of the final reports that collect the information obtained from all the applications submitted and from the technical reports prepared through peer evaluation and the technical commissions, all with the main objective of achieving the definitive prioritization of all the proposals.
4. **Management of the Technical Evaluation Commissions.** This activity includes tasks such as the appointment of the members of the commissions themselves, as well as the organization of the technical and human resources necessary to hold them.
5. **Preparation of allegation reports.** The possible allegations presented by the applicants, related to the scientific-technical evaluation of their proposals, must be studied in detail by experts or external collaborators, issuing the corresponding technical reports.

Activity	Workload estimation	Real workload indicator	Objective
Management of individual peer evaluations	46.445	Number of individual evaluations carried out	100%
Number of applications evaluated	20.673	Number of applications evaluated	100%
Management of the Technical Evaluation Commissions	165	No. of Technical Evaluation Commissions held	100%
Final evaluation reports	20.673	Number of final evaluation reports	100%
Reports of allegation and appeals	1.903	No. of allegation reports	100%

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## Programme 2. Externals evaluation

This program refers to the evaluations of calls external to the Agency, both with public and private entities, with which a collaboration agreement has previously been signed for this purpose or in application of the order of public prices for evaluation activities (See Axis 5). Once these institutions transfer the projects or actions to be evaluated to the Agency, the process followed is equivalent to that developed in the evaluations derived from the PAA indicated in program 1, except for the development of the technical evaluation commissions, which usually correspond to the entities or bodies responsible for financing said calls, according to the particular characteristics of each of them.

Actividad	Workload estimation	Real workload indicator	Objective
<b>Management of individual peer evaluations</b>	10.817	Number of individual evaluations carried out	100%
<b>Number of applications evaluated</b>	5.704	Number of applications evaluated	100%
<b>Final evaluation reports</b>	5.704	Number of final evaluation reports made	100%
<b>Reports of allegation and appeals</b>	71	No. of allegation reports made	100%

## LINE 4. FOLLOW-UP of the grants

Among the functions of the Agency is the monitoring of the management, financing, justification and results of any actions that are directly executed by the Agency, as well as advising on them [article 5 e) of the Statute].

In turn, the same statute establishes that the Agency will have among its functions the verification, follow-up and subsequent evaluation of the activities financed by it and their scientific, technical and socio-economic impact, as well as the control of the justification of compliance with the conditions and objectives of the aid granted [article 5 c) of the Statute].

Therefore, the Agency's activity in this axis has been subdivided into Program 1 for scientific-technical monitoring of the execution of aid and Program 2 for economic monitoring of the execution of aid

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### 3.1 Programme 1. Scientific and technical monitoring or the implementation of the grant.

The grants awarded after the evaluation processes of the proposals must be monitored to verify that they are actually developed within the levels of excellence that justified their award. In addition, the assessment of the development of aid programs should serve for the progressive improvement of the definition of said programs. For all these reasons, the scientific-technical follow-up work on the execution of the grants constitutes one of the fundamental components of the Agency's activity. This program has been divided into six fundamental activities that cover the phases and tasks described below::

**1. Management of the scientific-technical follow-up scheduled in each call.** This scientific-technical monitoring process is carried out following two different protocols for the evaluation of the scientific-technical reports, depending on what each of the grant calls indicates. In both cases there are common tasks such as: the design and preparation of the formats for the reports, the preparation of the computer applications for the presentation of the execution reports by the beneficiaries of the aid, the claim of the reports not received or the correction of those that are not complete, among others.

Once the scientific-technical reports have been received, they are assessed using two different procedures:

- The reports are evaluated by external scientific-technical collaborators and reviewed and validated by AEI staff.
- The reports are evaluated by the technical staff of the AEI.

Once the report has been assessed and validated, the information from said assessment is sent to the beneficiary of the aid. In the case of intermediate reports, and depending on what the call dictates, provided that the assessment is favorable, the corresponding certificates of conformity necessary for the release of the following payments will be issued. On the other hand, in cases in which the assessment is unfavorable, the processing of the corresponding loss of right to collection or the aid reimbursement files will begin, as the case may be. In the case of the final reports, the non-submission or negative assessment of the same, will lead to the start of partial or total reimbursement of the aid. The evaluation of the scientific-technical follow-up may be taken into account in the evaluation of requests for actions presented by the same IP or research group

**2. Assessment of aid in follow-up meetings.** This activity consists of the development of meetings for the presentation and intermediate follow-up of the state of execution of the financed activities subject to evaluation. The face-to-face monitoring sessions will be directed by the scientific and technological collaborators and may be attended by external experts who

carried out the evaluation, as well as officials from the monitoring subdivisions (thematic or transversal).

3. **On-site follow-up visits.** When this is foreseen in a call, the inspection visits that are scheduled will be made. These actions are carried out by technical civil servants from the subdivisions in charge of scientific-technical follow-up.
4. **Resolutions of authorization/denial of modifications of the aid conditions.** Those requests for modification of the conditions of the aid contemplated in the call that are justified and appropriate in each case will be processed for authorization. For this, the collaboration of the scientific and technological collaborators who will carry out the technical evaluation reports that support the decisions of authorization or denial of the modifications of the initial concession may be requested.
5. **Citizen information and advice to beneficiaries.** Throughout the process of the scientific-technical execution of the grants, it is essential to provide correct advice to the beneficiaries in terms of completing the execution reports, submitting incidents, procedural doubts, etc. This advice will be done primarily through email accounts created for this purpose.

Activity	Workload estimation	Real workload indicator	%
<b>Management of the scientific-technical monitoring of grants</b>	15.341	Number of grants subject to monitoring	50%
<b>Assessment of aid in follow-up meetings</b>	2.524	Number of aids assessed in follow-up meetings	30%
<b>On-site follow-up visits</b>	345	No. of on-site visits	25%
<b>Resolutions of authorization/denial of modifications of the aid conditions</b>	7.588	Number of resolutions modifying the aid conditions	100%
<b>Citizen information and advice to beneficiaries</b>	22.503	Number of emails answered on the number of emails received	100%

#### 6. Improvement in the definition of objective indicators.

Work continues within the working group created together with the General Directorate of Research, Development and Innovation with the aim of improving the models of scientific-technical follow-up reports and the models of evaluation reports of said reports, so that clearly and quantifiably identify the indicators of achievement of objectives.

The proposal includes actions in computer applications that allow the use of information on indicators and results, so as to improve the information systems necessary for the ex post evaluation of aid programs.

Activity	Indicator	Objective
<b>Improvement in the definition of objective indicators</b>	Preparation of the document	1

## 7. Reports on the results of actions already completed

The preparation of reports has begun, by thematic areas of the scientific-technical results of the actions already completed, which will allow the evolution of the different thematic areas to be analyzed.

Activity	Indicator	Objective
<b>Ex-post analysis of the actions already completed</b>	Preparation of the document	1

## Programme 2. Economic monitoring of grant implementation.

In this program a total of eight main actions are considered:

- 1. Administrative review of the supporting account and economic audit of expenses** of all files completed as of December 31, 2017. The verification phases of the validity of the expenses allocated by the beneficiaries will depend on the type of supporting account, and may include from the verification of the ROAC auditor report (Official Register of Auditors of Accounts ) up to the exhaustive verification of all the proof of expenses provided by the beneficiary and, where appropriate, the processing of the rectification request.
- 2. Follow-up visits.** Follow-up visits when so established by the calls in general or the regulations governing the European Structural Investment Funds (EIE), verification will be carried out in situ, at the headquarters of the beneficiary entities, of the accounting and supporting documents for the expenditure contributed, as well as, where appropriate, financed tangible fixed assets. This activity is proposed for calls from 2013 onwards
- 3. Refunds.** This procedure includes the issuance of the reinstatement start agreement, opening of the hearing process, assessment of the allegations presented by the beneficiary and notification of the definitive refund resolution. It includes the issuance of payment letters from the AEI, in the case of subsidies, or the request for the model 069 payment document to the Delegate Intervention in the case of loans and reimbursable advances, and the corresponding transfer to the beneficiary.
- 4. Preparation of reports in relation to appeals against reinstatement resolutions.** Beneficiaries have one month from the day following the notification to file an appeal for

reversal against the refund resolutions. These appeals must be reported prior to their referral to the General Secretariat, together with a copy of the file, for study by the legal department.

5. **Maintenance of the National Grants Database (BDNS).** It will be necessary to register in the BDNS the reinstatement files that are initiated.
6. **Cancellation of guarantees and seizure of guarantees.** The procedure for cancellation of guarantees presented to the Caja General de Depósitos includes the issuance of the cancellation order according to the models of the Caja and the referral to it, as well as the notification to the beneficiary that said referral has been made so that he proceeds to cancel the guarantee. The procedure for the seizure of guarantees includes notification to the beneficiary of the start of the procedure, as well as the opening of the hearing process, the assessment of the allegations and, in the event that they are rejected, issuance of the request for seizure and sending of the same to the Delegate Intervention for its control and to the General Deposit Fund..
7. **Certification of European Structural Funds.** The certification of structural funds implies the justification before the Management Authorities of the European Regional Development Fund and the European Social Fund of the eligible expenses of the co-financed projects, so that the European Commission proceeds to pay the aid with said funds. structural.
8. **Advice to beneficiaries.** Advice will be provided to the beneficiaries at all stages of the procedure, especially with regard to the presentation of the supporting account. This advice will be done through email accounts available on the institutional website.

Activity	Workload estimation	Real workload indicator	%
<b>Administrative review of the supporting account and expenditure audit</b>	44.087	Number of files reviewed	31%
<b>Follow-up visits</b>	179	Number of visits made	100%
<b>Refund Start Agreements</b>	34.627	No. of start-of-reimbursement agreements	34%
<b>Resolutions</b>	34.627	Nº de resoluciones de reintegro	34%
<b>Analysis of replenishment resources</b>	1.020	Nº de informes remitidos a la Secretaría General	100%
<b>No. of files cancelled/seized</b>	800	Nº de garantías canceladas total o parcialmente o incautadas	100%
<b>EIE funds certification</b>	7.000	Nº de operaciones certificadas	100%
<b>Advice to beneficiaries</b>	20.500	Nº de correos contestados	100%

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## LINE 5. MANAGEMENT OF AGREEMENTS, MANAGEMENT ASSIGNMENTS AND PROVISION OF SERVICES.

The Agency is responsible for carrying out the activities or providing the services entrusted to it by the General State Administration or, by virtue of contracts, agreements and, in general, legal transactions, by other entities [article 5 i) of the Statute ]. Also, for the exercise of its functions, the Agency may sign the agreements and management assignments that are necessary (article 24 of the Statute).

The activities contemplated in this Axis are the following:

- 1. Collaboration agreements, management assignments and other legal instruments** with other public and private non-profit institutions.
- 2. Provision of services**, fundamentally in terms of scientific-technical evaluation of R&D&i activities of other institutions.

Activity	Indicator	Objective
<b>Signing of agreements, management assignments and other legal instruments</b>	No. of instruments subscribed.	15
<b>Activities for the provision of scientific-technical evaluation services</b>	Number of activities carried out	80

## LINE 6. COMMUNICATION, DISSEMINATION and REPRESENTATION in R&D forums.

One of the Agency's basic principles of action is transparency in all its administrative activities, accountability and the commitment to present accurate and complete information on all the results and procedures used..

In turn, its Statute establishes as one of the functions of the Agency the management of actions aimed at promoting collaboration, exchange, circulation, dissemination and exploitation of scientific and technical knowledge among the agents of the System [article 5 h) of the Statute].

To respond to these requirements, this Line of Action is divided into two sets of differentiated activities: first, communication and dissemination, and second, representation at R&D meetings and forums.

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## Programa 1. Communication and dissemination

The communication and dissemination activities seek to give visibility and transparency to all the Agency's actions through the participation of its management and technical staff in events, and through its presence in the media, including social networks. In short, it is about disseminating the Agency's activities to improve the vision of work in the scientific community and in the rest of Spanish society, and adopt the necessary measures to guarantee maximum transparency in the exercise of its functions..

Presence in the media:

Activity	Indicator	Objective
<b>References in the media</b>	Number of references	2
<b>Press releases</b>	Number of press releases	19
<b>Social networks: Activity of the AEI</b>	Number of contents communicated through social networks	300
<b>Media interviews</b>	No. of interviews	2

Acts and informative meetings of the State Research Agency in events aimed at the scientific community and the management bodies of the beneficiary entities.

Activity	Indicator	Objective
<b>Active participation in events</b>	Number of presentations and conferences	70
<b>Meetings with the presidents and coordinators of the scientific areas.</b>	Nº of journeys	2
<b>Meetings with the presidents of the scientific areas</b>	Nº of journeys	2



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## Programa 2. Representation in national and international forums

Activity	Indicator	Objective
<b>Website advertising: updating and inclusion of new content</b>	Number of publications	100
<b>Advertising in the National Grant Database</b>	Number of publications	19
<b>Translation into English of the relevant documents of the Agency's activity.</b>	Number of documents	2
<b>Translation into English of the extracts of the calls</b>	Number of documents	19
<b>Publicity on the Transparency Portal of the documents relevant to the Agency's activity</b>	Number of documents	2
<b>Annual Accounts of the State Research Agency</b>	Number of documents	1

Given the importance of maintaining and promoting the national and international dimension of the Agency's own activities, representation activities will be carried out at national and international meetings and forums related to matters within its scope of action, as well as representation in forums of R&D policy when so determined by the Ministry of Science and Innovation. Within the activities of an international nature, the participation in the governing bodies of the ERANETs and specialized working groups within the European Commission stands out. National activities include boards of trustees, commissions, working groups and other specialized forums.

Activity	Indicator	Objective
<b>Participation in international forums</b>	Number of forums in which you actively participate	65
<b>Participation in national forums</b>	Number of forums in which you actively participate	80

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## 4 HUMAN RESOURCES.

The staff of the State Investigation Agency as of January 1, 2021 is detailed below.

Unidad	Nº Puestos de trabajo		
	Cubiertos	Vacantes	Total
Unidad de Apoyo	6	3	7
Secretaría General	30	8	45
División de Coordinación, Evaluación Y Seguimiento Científico y Técnico	6	1	7
Subdivisión de Coordinación y Evaluación	16	9	25
Subdivisión de Programas Temáticos Científico-Técnicos	27	7	34
Subdivisión de Programas Científico-Técnicos Transversales, Fortalecimiento y Excelencia	19	10	29
División de Programación y Gestión Económica y Administrativa	3	0	3
Subdivisión de Planificación y Gestión Administrativa	31	17	48
Subdivisión de Gestión Económica	15	2	17
Subdivisión de Seguimiento y Justificación de Ayudas	26	37	63
Subdivisión de Gestión de Ayudas de Fondos Europeos	13	4	174
<b>TOTALES</b>	<b>186</b>	<b>111</b>	<b>297</b>

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## 5 BUDGETARY RESOURCES.

El presupuesto de la Agencia Estatal de Investigación para el año 2021 es el siguiente:

Resumen de ingresos y gastos	
Ingresos	
Concepto	Importe
Tasas, Precios públicos y otros ingresos	1.200.000
Transferencia corriente	29.804.940
Inversiones reales: Reintegros por operaciones de capital	30.000.000
Transferencia de capital	764.709.590
Activos financieros	20.000
<b>Total ingresos</b>	<b>825.734.530</b>
Gastos	
Concepto	Importe
Gastos de Personal	11.938.500
Gastos corrientes en bienes y servicios	18.311.580
Gastos financieros	650.000
Transferencias corrientes	104.860
Inversiones reales	1.376.200
Transferencias de capital	793.333,390
Activos financieros	20.000
<b>Total gastos</b>	<b>825.734.530</b>

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## 6 BASIC REGULATION

La normativa básica aplicable a los procesos de gestión de la Agencia Estatal de Investigación es la siguiente:

- Ley 38/2003, de 17 de noviembre, General de Subvenciones.
- Ley 28/2006, de 18 de julio, de Agencias estatales para la mejora de los servicios públicos.
- Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
- Real Decreto Legislativo 3/2011, de 14 de noviembre, por el que se aprueba el texto refundido de la Ley de Contratos del Sector Público.
- Ley 39/2015, de 1 de octubre, del Procedimiento Administrativo Común de las Administraciones Públicas.
- Ley 40/2015, de 1 de octubre, de Régimen Jurídico del Sector Público.
- Real Decreto 1067/2015, de 27 de noviembre, por el que se crea la Agencia Estatal de Investigación y se aprueba su Estatuto.