



State Research
Agency Annual
Action Plan 2021



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1 PRESENTATION

Royal Decree 1067/2015 of 27 November 2015 created the State Research Agency (hereinafter the Agency) and approved its Statute. Its effective constitution took place on 20 June 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 funded actions and their impact, and advice on the planning of actions or initiatives through which the R&D policies of the General State Administration are implemented.

The Royal Decree creating the Agency envisaged that until the Management Contract was approved by joint ministerial order of the Ministry of Economy and Competitiveness and the Ministry of Finance and Public Administrations, the Agency's actions would be developed 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 18 July, as well as the actions to be carried out derived from the approval of the scientific and technical research and innovation plans as established by Law 14/2011, of 1 June, and their corresponding annual action programmes.

However, Law 40/2015, of 1 October, on the Legal Regime of the Public Sector, abolished the State Agencies, which had a period of three years from its entry into force to modify their statutes and become one of the entities that, in accordance with this Law, were to constitute the new institutional public sector.

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

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

The new Article 108 ter, paragraph 2, of Law 40/2015 establishes that: "The actions of the State Agencies take place, in accordance with the annual action plan, under the validity and in accordance with the relevant multi-annual management contract (...).

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

The Annual Action Plan is the Agency's planning instrument, within the framework of the management contract, which sets out, on the basis of the resources available, the activities to be carried out in the corresponding year in order to achieve its objectives. It must be approved by the Governing Board before 31 January of the corresponding year and its content is developed in Article 23 of the Statute, according to which:

"The annual action plan shall include, inter alia, the following activities:

- a) Those of a formative and methodological nature, and the determination of management indicators for the Agency's activities.
- 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) The organisation and management of the scientific and technical evaluation of proposals requiring funding under the programmes and instruments assigned to the Agency or resulting from collaboration agreements and conventions.

The Annual Action Plan is structured in this document around six main lines of action, describing the activities through which the Agency's functions will be carried out and its objectives achieved, as well as the indicators that will make it possible to quantify their degree of fulfilment.

This Annual Action Plan has been approved by the Agency's Governing Board, as provided for in Article 23 of the Agency's Statute, at its meeting on 20 January 2021.

2 CONTEXT

2.1 OBJECTIVE AND AIMS

According to Article 2.1 of the Statute, "the Agency's own purpose 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 Spanish Administrations or entities or those of other countries or international organisations".

For its part, Article 2.2 establishes that "the Agency's aims 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 fostering of collaboration between the agents of the System and support for the generation of knowledge of high scientific and technical, economic and social impact, including those aimed at resolving society's major challenges, 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

Article 5 of the Agency's Statute provides that, for the fulfilment of its objects and purposes, the Agency shall perform the following functions:

- a) The management of the programmes, instruments and actions awarded to it within the framework of the State Scientific and Technical Research and Innovation Plans, any others expressly assigned to it by the General State Administration or those deriving from collaboration agreements entered into with other entities or from other actions, through the objective and impartial allocation of the available resources.
- b) The organisation and management of the ex ante and ex post scientific and technical evaluation of proposals, actions or initiatives when appropriate, using evaluation criteria based on internationally recognised scientific and technical merit, as well as those criteria established in the corresponding calls.
- c) The verification, monitoring and ex-post evaluation of the activities financed by the Agency and their scientific, technical and socio-economic impact, as well as the control of the justification of the fulfilment of the conditions and objectives of the grants received.
- d) The communication and dissemination of the results of the evaluations carried out.
- e) Monitoring the management, financing, justification and results of all actions directly executed by the Agency, as well as advising 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 actions in international forums will take place in coordination with the Ministry of Foreign Affairs and Cooperation when so determined necessary.
 - g) Dissemination and communication of the results of its activities and of the results of the research funded by the Agency.
 - h) The management of actions aimed at fostering collaboration, exchange, circulation, dissemination and exploitation of scientific and technical knowledge among the agents of the System.
 - i) The performance of activities or the provision of services entrusted to it by the General State Administration or, by virtue of contracts, agreements and, in general, legal business, 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 instruments and actions for which it is responsible.
 - l) Any other function entrusted to it.

2.3 BASIC PRINCIPLES OF ACTION

The Agency shall observe the principles of general interest by which the actions of public administrations must be governed. In the exercise of its specific functions, it shall also be governed by the following basic principles in accordance with Article 6 of its Statute:

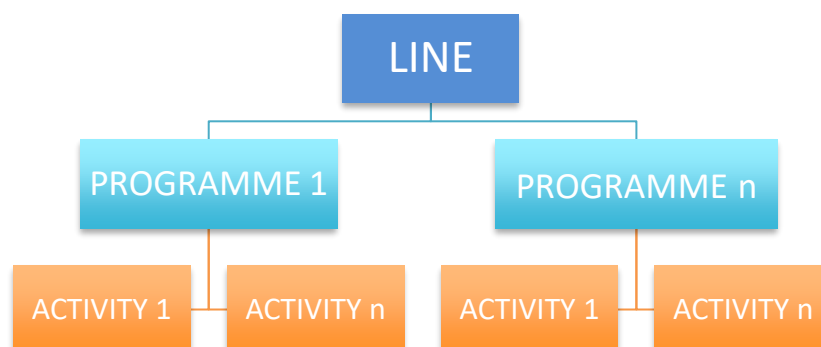
1. Autonomy, understood as the Agency's capacity to manage the means placed at its disposal to achieve the committed objectives.
2. Technical independence, based on the training, specialisation, professionalism and individual responsibility of the Agency's staff, who shall observe the applicable values of competence, professional ethics and public accountability.
3. Objectivity in the evaluation of 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 good governance obligations by the Agency's public officials, as well as accountability and commitments to present accurate and complete information on all results and procedures used in management.

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5. Effectiveness in its actions, using all means to achieve 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 e-accessibility and without prejudice to the necessary rigour.
 7. Inter-institutional cooperation, understood as the principle that seeks synergies in collaboration with other public or private, national and international administrations, agents and institutions 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 22 March, for the effective equality of women and men, and the thirteenth additional provision of Law 14/2011, of 1 June.

3 THE SIX LINES OF ACTION

The Agency's programming has been divided into six main lines of action, each of which has defined a number of main activities, mostly grouped into programmes. Each of the activities is composed 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, in percentage, for the effective compliance target of the indicator over the real defined workload. A table with the following information has been included in each programme:

Activity	Workload estimation	Actual workload indicator	Objective
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The column *Workload estimate* indicates the actual workload for the defined activity. This value may include, depending on the activity in question, both the workload arising from the powers and functions subrogated from the former Directorate General for Scientific and Technical Research and Directorate General for Innovation and Competitiveness of the Ministry of Economy and Competitiveness (first additional provision of Royal Decree 1067/2015, of 27 November), and those corresponding to the Agency's own powers and functions from the time of its entry into operation, or the sum of both.

All indicators are defined in relative terms, i.e. referenced to the estimated actual workload. The *Target* column indicates the degree of compliance in percentage that is expected to be achieved by 2020 for the indicator.

In some programmes the Target is not defined as a percentage of compliance with the actual workload of the activity, but in absolute terms. In these cases, the *workload estimation* parameter is omitted and the information given per programme is:

Activity	Indicator	Objective
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3.1 STRUCTURAL CONSOLIDATION AND DEVELOPMENT of the Agency.

Programme 1. Approval of 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 by article 108 ter of Law 40/2015, of 1 October, following the modification made by the thirty-fourth final provision of Law 11/2020, of 30 December, on the General State Budget for the year 2021.

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

Programme 2. Human Resources Management

This programme aims to advance in the design of the general framework for action in the area of human resources, which focuses on determining the working conditions of the Agency's public employees, including aspects relating to the organisation, structure and framework for action in the area of human resources, remuneration, etc., with the participation of the relevant staff representatives and trade union organisations.

The activities included in this programme are the following:

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

The Agency's Governing Board approved on 26 November 2019 a proposal for a multi-annual performance-based productivity programme (PCO), covering the years 2019 to 2022.

This programme aims to incentivise the productivity and performance of the Agency's staff, which will favour the fulfilment of its objectives, rewarding effort and dedication.

The aim is also to make jobs in the Agency attractive in order to help fill current vacancies and to retain qualified staff currently on secondment.

The PCO is based on the definition of objectives to be met and on the indicators for the achievement of these objectives and will be remunerated on a small part of the income generated annually from the reimbursement of grants and the provision of services.

In 2020, the OCP was submitted to the Ministry of Finance, which forwarded it to the Ministry of Finance for approval. During that year, several improvements were made to the proposal.

The Agency's target for 2021 is the approval and implementation of the Productivity by Objectives (PCO) system.

2. **Development and implementation of the Training Plan 2021.** A Training Plan will be drawn up to improve the skills necessary for the correct functioning of the organisation and the efficient provision of services. The Plan will be drawn up with the participation of workers' representatives.
3. **Drawing up and implementation of the 2021 Social Action Plan.** The social action aid plan for the Agency's employees for 2021 will be drawn up and implemented, covering both individual measures (aid for staff studies, health protection, descendants and ascendants, transport, disability, situations of gender violence and exceptional situations) and collective measures (medical check-ups, canteen aid, etc.).
4. **Measures for the incorporation of new staff into the Agency.** A specific competition will be approved, published and resolved during the year 2021 for the provision of civil servant posts in the Agency, which will allow a minimum of 40 currently vacant posts to be offered. Likewise, a study and proposal of posts to be included in the Public Employment Offer for the year 2021 will be carried out.

Activity	Indicator	Objective
Approval and implementation of the PCO	Approval of the programme by the Ministry of Finance and implementation of Productivity 2019	1
Elaboration and implementation of the Training Plan	Approval and implementation of the plan	1
Elaboration and implementation of the Social Action Plan	Approval and implementation of the plan	1
Measures to recruit new staff	Approval, publication and implementation of a transfer competition - preparation and submission of a proposal for the PEO	2

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

The Agency's Communication and Transparency Plan was approved at the Governing Board meeting of 4 December 2017. This document sets out the communication and dissemination instruments that will make the Agency's activities and actions visible to the outside world and to its 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 Agency's public officials, as well as accountability and commitments to present accurate and complete information on the results and procedures used in management. The specific measures for implementing this plan for 2020 are set out in Line 6.

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

On the other hand, we must continue to make progress in involving employees in the Agency's activities and issues of common interest, either through corporate mailings and/or general or Unit meetings. We consider it important to maintain regular contacts, in which all employees are informed, while at the same time allowing for interaction with the concerns and proposals of all staff.

Activity	Indicator	Objective
Design and implementation of the Agency's website	Implementation of the action	1
Design and implementation of the Agency's intranet.	Implementation of the action	1
Internal communications and briefings	Corporate mailings and meetings	10

Programme 4. Consolidation of common services.

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

The transfer has implied the implementation of the necessary horizontal services with its own resources, as the system of shared services that had been in place up to then with the Ministry of State has ceased to be in force.

In this way, during 2019 and 2020, the necessary services for the equipment and maintenance of the building have been contracted and work has begun on the ICT structure.

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

1. Implementation of the computing and storage infrastructures, and the associated support, security, backup and systems services, which will be shared with the Ministry of Attachment. The procurement process for these infrastructures was practically

completed at the end of 2020 and will be completed in early 2021, so that they can be deployed this year.

2. Procurement or commissioning and implementation of a new IT system for aid processing, based on the feasibility study developed during 2020.

Pending the preparation of this study and the implementation of the new computer system, the current computer applications for aid management will be maintained jointly with the Ministry of State.

Activity	Indicator	Objective
Implementation of computing and storage infrastructures, and associated support, security, backup and systems services.	Awarding of the service and commissioning.	1
Contracting or commissioning and implementation of the new IT system for aid processing.	Signing of the contract or order and start of the IT development.	1

3.2 LINE 2. MANAGEMENT of funding instruments.

The Agency's functions include the management of the programmes, instruments and actions awarded to it within the framework of the State Scientific and Technical Research and Innovation Plans, any others expressly assigned to it by the General State Administration or those deriving from collaboration agreements entered into with other entities or from other actions, through the objective and impartial allocation of available resources (article 5a of the Statute).

Within the framework of these State Plans, the Annual Action Programmes (hereinafter PAA) are the documents containing the actions programmed to promote and boost R&D&I, and the budget appropriations allocated for their financing through different funding bodies, including the State Research Agency, generally by means of competitive calls.

In turn, the Agency is responsible for the economic and budgetary management and the economic and financial control of the instruments and actions for which it is responsible [Article 5 k) of the Statute].

Therefore, the Agency's activity in this area has been subdivided into Programme 1: Instruction of the procedure for awarding calls and Programme 2: Economic and budgetary management. The indicators provided in these two programmes depend entirely on the actions programmed in the PAA and the available budget, so they have been estimated based on 2020 data.

Programme 1. Instruction of the procedure for the award of calls.

This programme has been divided into 4 key activities consisting of the different phases and tasks described below:

1. **Drafting and publication of calls.** This includes, in addition to drafting the texts of all calls, requesting the mandatory reports and authorisations, signing and publication in the BOE (Official State Gazette) and in the National Grants Database (hereinafter BDNS).

Qualitatively, the aim is to achieve homogenisation in the wording of the calls and in the data to be included in the BDNS in order to facilitate the process of submitting applications for aid and access to information for potential beneficiaries.

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 rectification and processing of possible withdrawals and the notification of the provisional and final decision proposal.

Qualitatively, the aim is to standardise notifications to beneficiaries and to improve procedures in order to shorten processing times.

3. **Maintenance of the system of entities.** The System of Entities is the repository where the entities applying for grants from the Agency must register, providing the necessary documentation to accredit both their legal nature and the valid representation of the natural persons designated as their legal representatives.

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

4. **Advice to applicants.** Throughout the application submission process and instruction of the calls for applications, it is essential to provide correct advice to the entities on the configuration of the application reports, the correct allocation of eligible costs, responsible declarations, hearing procedures, etc. This advice will be provided through the manuals and FAQ files published on the institutional website, as well as through e-mail accounts.

Activity	Workload estimation	Actual workload indicator	Objective
Drafting and publication of calls	19	No. of calls published	100%
Instruction	22.000	No. of files processed	100%

Maintenance of the system of entities	2.600	No. of applications for registrations/deregistrations/modifications processed	100%
Advice to aid applicants	17.000	Number of emails answered	100%

Programme 2. Economic and Budgetary Management

This programme has been divided into 5 key activities consisting of the different phases and tasks described below:

1. **Prior audit of the calls for aid that require it.** The number of calls subject to prior audit by the Delegate Auditor of the Ministry of Science and Innovation corresponds to those with chapter 8 available for funding.

This process includes, for each of the different accounting phases necessary to execute the expenditure (listed in point 4), the preparation of the documentation which, as regards the basic requirements for ex ante control, is set out in the Council of Ministers' Agreement of 30 May 2008.

2. **Review of the requirements for obtaining the status of beneficiary and for the payment of multi-annual aid.** This activity includes both the review of the responsible declarations and certificates provided by applicants and, in the event that prior authorisation has been given, verification through the web servers set up for this purpose of compliance with obligations to the Tax Agency and Social Security.

This review is carried out only once for each entity, irrespective 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:

Type of accounting document	Phase of the call
RC	Withholding of appropriations document accompanying the expenditure proposal for authorisation
A	Expenditure approval document, once the call has been authorised and published.
D	Commitment of expenditure, this document is used once the call has been resolved and the beneficiaries are known.

OP/OK	Recognition of the obligation and payment of the obligation or recognition of the obligation and proposal for payment (depending on whether the appropriations are Chapter 7 or Chapter 8 appropriations)
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- 4. Payment of grants.** In the payment of aid, as in the entire procedure for the financial management of aid, a distinction must be made between the Agency's own budget and the budget of the Secretariat of State, i.e. Chapter 7 or 8.

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

In the case of Chapter 8 transactions, once the accounting document has been recorded by the Financial Controller's Office, payment is authorised by the 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 Grants Database.

- 5. Advice to applicants for assistance.** Advice will be provided to beneficiaries, especially with regard to the presentation of guarantees and the characteristics of bank accounts. This advice will be provided through e-mail accounts available on the institutional website.

Activity	Workload estimation	Actual workload indicator	Objective
Prior monitoring of calls that require it	2	No. of calls audited	100%
Revision of eligibility requirements and payment of multiannualities	7.000	No. of revisions	100%
Issuance of accounting documents deriving from the concession	35.000	No. of accounting documents issued	100%
Payment of aid	17.000	No. of transfers made	100%
Advice to beneficiaries	800	No. of emails answered	100%

3.3 Scientific and technical evaluation of proposals.

The Agency is responsible for the organisation and management of the ex ante and ex post scientific and technical evaluation of proposals, actions or initiatives, where appropriate using evaluation criteria based on internationally recognised scientific and technical merit, as well as those criteria established in the corresponding calls, as set out in its Statute (Article 5b).

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

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

Programme 1. Evaluations derived from the PAA

This programme includes four activities:

1. **Management of individual peer reviews.** This activity starts 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 evaluation of each application. This process in turn involves close monitoring of the execution of the evaluations themselves and the reassignment of proposals to new evaluators in cases where the evaluators assigned in the first instance reject the proposal, or where there is a 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 organisation of the technical and human resources necessary to hold the commissions.
3. **Preparation of final evaluation reports.** This activity consists of the generation of the final reports that gather the information obtained from all the applications submitted and from the technical reports produced by the peer review and the technical commissions, all with the main objective of achieving the final prioritisation of all the proposals.
4. **Elaboration of allegation reports.** Possible allegations submitted by applicants, related to the scientific-technical evaluation of their proposals, must be studied in detail by experts or external collaborators, and the corresponding technical reports must be issued.

Activity	Workload estimation	Actual workload indicator	Objective
Management of individual peer reviews	46.445	No. of individual evaluations carried out	100%
No. of applications assessed	20.673	No. of applications assessed	100%
Management of the Technical Evaluation Commissions	165	No. of technical evaluation commissions held	100%
Final evaluation reports	20.673	No. of final evaluation reports completed	100%
Allegation and appeal reports	1.903	No. of allegation reports carried out	100%

Programme 2. External evaluations

This programme 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 Line 5). Once these institutions transfer the projects or actions to be evaluated to the Agency, the process followed is equivalent to that used in the evaluations derived from the PAA indicated in Programme 1, except for the development of the technical evaluation committees, which usually correspond to the entities or bodies responsible for funding these calls, depending on the particular characteristics of each of them.

Activity	Workload estimation	Actual workload indicator	Objective
Management of individual peer reviews	10.817	No. of individual evaluations carried out	100%
No. of applications assessed	5.704	No. of applications assessed	100%
Final evaluation reports	5.704	No. of final evaluation reports completed	100%
Allegation and appeal reports	71	No. of allegation reports carried out	100%

3.4 Line 4. Monitoring of aid.

The Agency's functions include monitoring and advising on the management, financing, justification and results of all actions directly implemented by the Agency [Article 5 e) of the Statute].

In turn, the same statute establishes that the Agency's functions shall include the verification, monitoring 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) [Article 5 c) of the Statute].

The Agency's activity in this area has therefore been subdivided into Programme 1 for the scientific and technical monitoring of the implementation of grants and Programme 2 for the economic monitoring of the implementation of grants.

Programa 1. Scientific and technical monitoring of the implementation of the grants.

Grants awarded following the proposal evaluation processes must be monitored to ensure that they are actually being implemented at the levels of excellence that justified their award. Furthermore, the assessment of the development of the aid programmes must serve to progressively improve the definition of these programmes. For all these reasons, the scientific and technical monitoring of the implementation of grants is one of the fundamental components of the Agency's activity.

This programme has been divided into six key activities covering the phases and tasks described below:

1. Management of the scientific-technical monitoring programmed in each call. This scientific-technical monitoring process is carried out following two different protocols for the assessment of the scientific-technical reports, depending on what is indicated in each of the calls. In both cases there are common tasks such as: the design and preparation of the report formats, the preparation of the computer applications for the presentation of the execution reports by the beneficiaries of the grants, the claiming of 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 assessed by external scientific and technical partners and reviewed and validated by SRA staff.
- The reports are assessed by the technical staff of the SRA.

Once the report has been assessed and validated, the assessment information is sent to the beneficiary of the aid. In the case of interim reports, and depending on the provisions of the

call, whenever the assessment is favourable, the corresponding certificates of conformity necessary for the release of subsequent payments will be issued. On the other hand, in cases where the assessment is unfavourable, the processing of the corresponding forfeiture of the right to payment or the files for the reimbursement of the aid, as the case may be, will be initiated. In the case of final reports, failure to submit or negative assessment thereof shall give rise to the initiation of partial or total reimbursement of the aid. The evaluation of the scientific-technical monitoring may be taken into account in the evaluation of applications for actions presented by the same PI or research group.

2. **Assessment of grants in follow-up meetings.** This activity consists of the development of meetings for the presentation and interim monitoring of the state of implementation of the funded activities under assessment. The face-to-face monitoring meetings will be led by the scientific and technological partners and may be attended by the external experts who carried out the evaluation, as well as officials from the monitoring subdivisions (thematic or transversal).
3. **On-site monitoring visits.** When foreseen in a call, scheduled inspection visits will be made. These actions are carried out by technical staff of the subdivisions in charge of scientific-technical monitoring.
4. **Resolutions authorising/refusing modifications to the conditions of the aid.** Those requests for modification of the conditions of the aid contemplated in the call for applications that are justified and appropriate in each case will be processed for authorisation. To this end, the collaboration of the scientific and technological collaborators may be requested, who will draw up the technical assessment reports that support the decisions to authorise or reject the modifications to the initial grant.
5. **Citizen information and advice to beneficiaries.** Throughout the entire process of the scientific and technical implementation of the grants, it is essential that beneficiaries are properly advised on the completion of the implementation reports, the submission of incidents, procedural doubts, etc. This advice will be provided primarily through e-mail accounts created for this purpose.

Scientific and Technical Thematic Programmes

Activity	Workload estimation	Actual workload indicator	%
Management of the scientific and technical monitoring of grants	12.583	No. of aid monitored	50%
Assessment of aid in follow-up meetings	2.467	No. of aid assessed in follow-up meetings	30%

On-site monitoring visits	340	No. of on-site visits	25%
Decisions authorising/refusing changes to the conditions of aid	6.500	No. of decisions modifying the conditions of aid	100%
Citizen information and advice to beneficiaries	15.650	No. of mails answered over the number of mails received	100%

Cross-cutting Science, Strengthening and Excellence Programmes

Activity	Workload estimation	Actual workload indicator	%
Management of the scientific and technical monitoring of grants	2.758	No. of aid monitored	50%
Assessment of aid in follow-up meetings	57	No. of aid assessed in follow-up meetings	30%
On-site monitoring visits	5	No. of on-site visits	25%
Decisions authorising/refusing changes to the conditions of aid	1.088	No. of decisions modifying the conditions of aid	100%
Citizen information and advice to beneficiaries	6.853	No. of mails answered over the number of mails received	100%

6. Improving the definition of target indicators.

Work continues within the working group created together with the Directorate General for Research, Development and Innovation with the aim of improving the models of the scientific-technical monitoring reports and the models of the evaluation reports of these reports, so that the indicators of compliance with objectives are clearly and quantifiably identified.

The proposal includes actions on IT applications to allow the exploitation of information on indicators and results, so as to improve the information systems necessary for the ex-post evaluation of aid programmes.

Activity	Indicator	Objective
Improving the definition of target indicators	Preparation of the document	1

7. Reports on the results of completed actions

Work has begun on the preparation of reports, by thematic area, on the scientific and technical results of the actions already completed, which will enable the evolution of the different thematic areas to be analysed.

Activity	Indicator	Objective
Ex-post analysis of completed actions	Preparation of the document	1

Programme 2. Financial monitoring of the implementation of aid.

A total of eight main actions are considered within this programme:

- 1. Administrative review of the supporting account and economic audit of the expenditure** of all files finalised by 31 December 2017. The phases of verification of the validity of the expenditure charged by the beneficiaries will depend on the type of supporting account, and may include from the verification of the ROAC (Official Register of Auditors) auditor's report to the exhaustive verification of all the supporting documents of expenditure provided by the beneficiary and, where appropriate, the processing of the request for rectification.

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2. **Monitoring visits.** When so stipulated in the general calls or in the regulations governing the European Structural Investment Funds (ESIF), on-site verification will be carried out, at the headquarters of the beneficiary entities, of the accounts and supporting documents for the expenditure provided, as well as, where appropriate, of the tangible fixed assets financed. This activity is envisaged for calls from 2013 onwards.
 3. **Reimbursements.** This procedure includes issuing the agreement to initiate the reimbursement, opening the hearing, assessing the allegations presented by the beneficiary and notifying the final reimbursement decision. It includes the issuing of the payment letters from the SRA, in the case of grants, or the request for the payment document form 069 to the Delegated Intervention in the case of loans and reimbursable advances, and the corresponding transfer to the beneficiary.
 4. **Preparation of reports in relation to appeals for reconsideration against reimbursement decisions.** Beneficiaries have one month from the day following notification to file an appeal for reconsideration against reimbursement decisions. These appeals must be reported prior to being sent 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).** All reimbursement files that are initiated must be registered in the BDNS.
 6. **Cancellation of guarantees and seizure of guarantees.** The procedure for the cancellation of guarantees submitted to the Caja General de Depósitos includes the issuance of the cancellation order in accordance with the models of the Caja General de Depósitos and the referral to the same, as well as the notification to the beneficiary that said referral has been made so that the latter may proceed to cancel the guarantee. The procedure for the seizure of guarantees includes notifying the beneficiary of the start of the procedure, as well as the opening of the hearing, the assessment of the allegations and, in the event that these are rejected, issuing the request for seizure and sending it to the Delegated Comptroller for audit and to the General Depositary's Office (Caja General de Depósitos).
 7. **Certification of European Structural Funds.** The certification of structural funds implies the justification before the Managing Authorities of the European Regional Development Fund and the European Social Fund of the eligible expenses of the co-financed projects, in order for the European Commission to proceed with the payment of the aids with these structural funds.
 8. **Advice to beneficiaries.** Advice will be provided to beneficiaries at all stages of the procedure, especially with regard to the submission of the supporting account. This advice will be provided through e-mail accounts available on the institutional website.

Activity	Workload estimation	Actual workload indicator	%
Administrative review of the supporting account and audit of expenditure	44.087	No. of files reviewed	31%
Follow-up visits	179	No. of visits made	100%
Start-up Agreements	34.627	No. of start-up agreements	34%
Resolutions	34.627	No. of reimbursement decisions	34%
Analysis of appeals for reconsideration	1.020	No. of reports sent to the General Secretariat	100%
No. of files cancelled/seized	800	No. of collateral cancelled, partially cancelled or seized	100%
Certification of EIE funds	7.000	No. of certified operations	100%
Advice to beneficiaries	20.500	No. of emails answered	100%

3.5 LINE 5. MANAGEMENT OF AGREEMENTS, ENTRUSTMENT OF MANAGEMENT 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 enter into the necessary management agreements and entrustments (Article 24 of the Statute).

The activities envisaged under this Line are as follows:

- 1. Collaboration agreements, management commissions and other legal instruments** with other public and private non-profit institutions.
- 2. Provision of services**, mainly in the field of scientific and technical evaluation of R&D&I activities of other institutions.

Activity	Indicator	Objective
Signing of agreements, entrustment of management and other legal instruments	No. of instruments signed	15
Activities for the provision of scientific and technical evaluation services	No. of activities carried out	80

3.6 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 commitment to present accurate and complete information on all results and procedures used.

In turn, its Statute establishes as one of the Agency's functions 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].

In order to respond to these requirements, this main line of action is divided into two distinct sets of activities: firstly, communication and dissemination, and secondly, representation at R&D meetings and forums.

Programa 1. Communication and dissemination

The communication and dissemination activities aim to give visibility and transparency to all of 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, the aim is to

disseminate the Agency's activities in order to improve the vision of its work in the scientific community and in the rest of Spanish society, and to adopt the necessary measures to guarantee maximum transparency in the exercise of its functions.

Presence in the media:

Activity	Indicator	Objective
Media references	No. of references	2
Press releases	No. of press releases	19
Social media: SRA activity	No. of content communicated through social networks	300
Media interviews	No. of interviews	2

State Research Agency events and briefings at events aimed at the scientific community and the management bodies of the beneficiary entities.

Activity	Indicator	Objective
Active participation in events	No. of papers and conferences	70
Conferences with the presidents and coordinators of the scientific areas	No. of days	2
Conferences with the presidents of the scientific areas	No. of days	2

Transparency measures in accordance with section 4.2 of the State Research Agency's Communication and Transparency Plan.

Activity	Indicator	Objective
Website advertising: updating and adding new content	No. of publications	100
Advertising in the National Grants Database	No. of publications	19
Translation into English of documents relevant to the Agency's activity.	No. of documents	2

Translation into English of extracts from the calls	No. of documents	19
Publication on the Transparency Portal of the documents relevant to the Agency's activity.	No. of documents	2
Annual Accounts of the State Investigation Agency	No. of documents	1

Programa 2. Representation at national and international forums

Given the importance of maintaining and strengthening the national and international dimension of the Agency's activities, representation activities will be developed in national and international meetings and forums related to matters within its scope of action, as well as representation in R&D policy forums when so determined by the Ministry of Science and Innovation. International activities include participation in the governing bodies of ERANETs and specialised working groups within the European Commission. National activities include boards of trustees, commissions, working groups and other specialised forums.

Activity	Indicator	Objective
Participation in international forums	No. of forums in which active participation takes place	65
Participation in national forums	No. of forums in which active participation takes place	80

4 HUMAN RESOURCES.

The staff of the State Investigation Agency as of 1 January 2021 is as follows.

Unit	No. of jobs		
	Filled	Vacancies	Total
Support Unit	6	3	7
General Secretariat	30	8	45
Division of Coordination, Evaluation and Scientific and Technical Follow-up	6	1	7
Coordination and Evaluation Subdivision	16	9	25
Scientific-Technical Thematic Programmes Subdivision	27	7	34
Cross-cutting Scientific and Technical Programmes, Strengthening and Excellence Subdivision	19	10	29
Division of Programming, Economic and Administrative Management	3	0	3
Planning and Administrative Management Subdivision	31	17	48
Economic Management Subdivision	15	2	17
Grant Monitoring and Justification Subdivision	26	37	63
European Funds Grants Management Subdivision	13	4	174
TOTALS	186	111	297

5 BUDGETARY RESOURCES.

The budget of the State Research Agency for the year 2021 is as follows:

Summary of income and expenditure	
Revenue	
Concept	Amount
Fees, public prices and other revenues	1.200.000
Current transfer	29.804.940
Actual investments: Repayments on capital operations	30.000.000
Capital transfer	764.709.590
Financial assets	20.000
Total income	825.734.530
Expenditure	
Concept	Amount
Staff costs	11.938.500
Current expenditure on goods and services	18.311.580
Financial expenses	650.000
Current transfers	104.860
Real investments	1.376.200
Capital transfers	793.333,390
Financial assets	20.000
Total expenditure	825.734.530

6 BASIC REGULATION

The basic regulations applicable to the management processes of the State Research Agency are as follows:

- Law 38/2003 of 17 November 2003 on General Subsidies.
- Law 28/2006, of 18 July 2006, on State Agencies for the improvement of public services.
- Law 14/2011, of 1 June, on Science, Technology and Innovation.
- Royal Legislative Decree 3/2011, of 14 November, approving the revised text of the Public Sector Contracts Act.
- Law 39/2015, of 1 October, on the Common Administrative Procedure of Public Administrations.
- Law 40/2015, of 1 October, on the Legal Regime of the Public Sector.
- Royal Decree 1067/2015, of 27 November, creating the State Research Agency and approving its Statute.