

Bio-based Industries Joint Undertaking (BBI JU)

2015

ANNUAL ACTIVITY REPORT

In accordance with Article 16 of the Statutes of the BBI JU annexed to Council Regulation (EU) No 560/2014 and with Article 20 of the Financial Rules of the BBI JU.

The annual activity report will be made publicly available after its approval by the Governing Board.



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FACTSHEET

Name	Bio-based Industries Joint Undertaking
Objectives	<p>To contribute to the implementation of Regulation (EU) No 1291/2013 and in particular Part III of Decision 2013/743/EU;</p> <p>To contribute to the objectives of the BBI Initiative of a more resource efficient and sustainable low-carbon economy and increasing economic growth and employment, particularly in rural areas, by developing sustainable and competitive bio-based industries in Europe based on advanced biorefineries that source their biomass sustainably, and in particular to:</p> <ul style="list-style-type: none"> • demonstrate technologies that enable new chemical building blocks, new materials, and new consumer products from European biomass which replace the need for fossil- based inputs • develop business models that integrate economic actors along the whole value chain from supply of biomass to biorefinery plants to consumers of bio-based materials, chemicals and fuels, including by means of creating new cross-sector interconnections and supporting cross-industry clusters and • set up flagship biorefinery plants that deploy the technologies and business models for bio-based materials, chemicals and fuels and demonstrate cost and performance improvements to levels that are competitive with fossil-based alternatives.
Founding Legal Act	Council Regulation (EU) No 560/2014, of 6 May 2014
Executive Director	Interim Executive Director until 30 September 2015: Barend Verachtert Executive Director from 1 October 2015: Philippe Mengal
Governing Board	Chairman until 9 December 2015: Rudolf Strohmeier Chairman from 9 December 2015: Marcel Wubbolts
Other bodies	States Representative Group (SRG) Scientific Committee (SC)
Staff	In 2015 13 members of the staff were recruited.
2015 Budget	EUR 209 422 797 ¹

¹ Total budget includes operational budget (used for funding selected projects) & administrative (used for funding programme office activities).



Grants	<p>10 Grant agreements signed for a total value of EUR 49 653 711</p> <p>3 proposals retained for funding in December 2015 for a total value of EUR 73 741 237</p>
Strategic Research Agenda	<p>The Strategic Innovation and Research Agenda(SIRA) was not updated during 2015.</p>
Call implementation	<p>Number of Calls launched in 2015: 2 Call: 2015.1 and Call 2015.2* (*only Call 2015.1 evaluated in 2015).</p> <p>Number of proposals submitted (two Calls): 82</p> <p>Number of eligible proposals: 9 (Call 2015.1)</p> <p>Number of proposals retained for funding in Call 2015.1: 3</p> <p>Global project portfolio (since launch):</p> <p>Call 2014 (running): 10 projects</p> <p>Call 2015.1 (Grant Agreement preparation ongoing in 2015 with signatures expected in Q2 2016): 3 projects</p>
Participation in BBI JU funded projects	<p>Total number of participations in funded projects (Call 2014): 98 of which:</p> <ul style="list-style-type: none"> • 24.5 % are SMEs • 65.5 % are private for profit/large companies <p>Total number of participations in projects retained for funding (Call 2015.1): 25 of which:</p> <ul style="list-style-type: none"> • 36 % are SMEs • 64% are private for profit/large companies



EXECUTIVE SUMMARY

The European Council established the Bio-based Industries Joint Undertaking (BBI JU) on 6 May 2014 by Council Regulation No 560/2014. The Regulation was published in the Official Journal of the European Commission on 7 June 2014 and entered into force on 27 June 2014.

The year 2015 was an important year in the life of BBI JU as it reached operational capacity and financial autonomy on 26 October 2015. Prior to that, the European Commission was responsible for operations and designated an interim Executive Director from 23 July 2014 until 30 September 2015, when the Programme Office's permanent Executive Director took office.

It was also a year of significant milestones. In April 2015, BBI JU moved into its own premises in Brussels and the first staff members started working on the preparations for the first Open Info Day that took place in June 2015. In addition to that, the Programme Office, in collaboration with the European Commission services worked to fulfil all the legal requirements towards achieving the financial autonomy of the entity. The first Grant Agreements were signed during the summer of 2015.

During 2015, at the same time as the expansion of the Programme Office, two additional Calls were published. Call 2015.1 covered flagship innovation actions and was evaluated between September and October 2015 and resulted in three proposals which were retained for funding. Call 2015.2 covered research and innovation actions (RIAs) and demonstration innovation actions (DEMOS-IA) and will be evaluated between February and March 2016. The Annual Work Plan (AWP) for 2016 and the budget for 2016 were adopted on 16 December 2015.

Achievements for this year include managing the core business through the lifecycle of the BBI JU Calls for proposals, at the same time as recruiting staff and reaching financial autonomy, although the implementation of many of the procedures is still ongoing. Looking at the first batch of Grant Agreements signed in 2015, the leveraging effect of public investment is clear. These first projects funded by BBI JU have leveraged a total contribution from private partners of EUR 71 million. This amount includes in kind contributions in operational activities; in kind contributions in additional activities and financial contributions at project level of EUR 2 million delivered by large companies towards SMEs, Universities and Research facilities partners participating in their projects.

BBI JU is facing more challenges in 2016. The recruitment of Programme Office staff will be completed, and a review of the Strategic Innovation Research Agenda (SIRA) will be concluded. BBI JU's key performance indicators (KPIs) will be defined in order to be able to report more accurately on the progress made at programme and project levels. The BBI JU Programme Office internal procedures and processes will be further developed in addition to launching the 2016 Call for proposals and following up on evaluations, Grant Agreements and project launches.



1. IMPLEMENTATION OF THE ANNUAL WORK PLAN 2015

1.1. Key objectives for 2015 and associated risks

The key objective for BBI JU is to develop sustainable and competitive bio-based industries in Europe, based on advanced biorefineries that source their biomass sustainably by:

- demonstrating new technologies using European biomass to create new chemical building blocks, new materials, and new consumer products from European biomass;
- developing business models integrating economic actors along the value chain;
- setting-up flagship biorefinery plants deploying technologies & business models.

In 2015 BBI JU has implemented the strategic orientations developed in the Annual Work Plan (AWP) 2015:

- cross-sectorial integration along and across value chains. Calls in 2015 reflected the need to develop and deploy schemes for cascading the use of biomass, and requiring the establishment of new partnerships along the value chain and across sectors. With sustainability and competitiveness as a guiding principle, such projects can substantially optimise the use of biomass as a resource and maximise the derived value.
- ensuring sufficient and sustainable biomass supply.
- development of biorefinery technologies.
- secured market demand and customer awareness.

In addition, these Calls have had a strong focus on funding innovation actions, aiming to accelerate the implementation and deployment of the bio-based economy. This includes flagship projects that are based on prior results of research and demonstration at industrial scale.

During 2015 BBI JU risk management was integrated in the risk management exercise of the Directorate-General for Research and Innovation (DG RTD) of the European Commission. The main risks associated with the programme activities and the financial administration of the BBI JU were identified in the AWP 2015. For each risk, recommended actions were proposed on how to reduce the probability of a risk materialising into a problem or the severity of the exposure if the risk materialises. The implementation of the relevant mitigation actions has been closely monitored and reported to the management over the course of 2015.

All risks were managed so that only a minimum arose. One risk materialised when the Horizon 2020 IT tool for the submission and evaluation of proposal (SEP) did not allow some applicants to complete their application for the second Call of 2015. The problem was later resolved with the support from the IT tool management team. For one topic² of the first Call 2015 no proposal was submitted. The Bio-based Industries Consortium (BIC), in their role of leading the development and drafting of topics to be included in the AWP 2015, analysed this irregularity. The results of this analysis were

² BBI VC4.F3 - Innovative processes for sugar recovery and conversion from Municipal Solid Waste



subsequently presented to the BBI JU Governing Board, together with corrective actions that should prevent such situations from arising in the future. All risks identified in planning the 2015 activities have been re-assessed and updated during the preparation of the AWP 2016.

1.2. Research & Innovation activities

By the end of 2015, no information on scientific and technological achievements was available. However, kick-off meetings for the first BBI JU projects took place between July and August 2015 and first periodic reporting from these projects is due in 2017.

1.3. Calls for proposals and grant information

1.3.1. Progress against KPIs / Statistics

The list of the Key Performance Indicators (KPIs) relevant for BBI JU includes three groups of indicators:

- Horizon 2020 KPIs common to all JUs³ and further indicators linked to programme monitoring⁴;
- Indicators for monitoring Horizon 2020⁵ (Cross-Cutting Issues common to all JUs);
- Key Performance Indicators specific for BBI JU.

(See annex 12 for full list of KPIs in Tables I, II, and III respectively).

- **Horizon 2020 KPIs**

Little information can be given for 2015, as the majority of the data will be provided by BBI JU beneficiaries through project reporting. BBI JU projects resulting from the first BBI JU Call (2014) started in July 2015 and the first periodic reports are expected in March 2017. Projects resulting from the 2015 Call will be signed only in 2016. (See annex 12, Table I for details of KPIs.)

Some preliminary information can be provided regarding Call 2014 and Call 2015.1, (see table 1 below):

Call	EVALUATION	GRANTS	PAYMENTS
Call 2014	Time to inform (TTI) all applicants: 146 calendar days (target < 153 calendar days) Redress after evaluation: 0 cases	Time to grant (TTG): 240.8 calendar days (target TTG < 243 calendar days)	Time to pay (pre-financing): 14.3 calendar days (target < 30 calendar days)

³ Based on Annex II (PERFORMANCE INDICATORS) and Annex III (MONITORING) to Council Decision 2013/743/EU)

⁴ Indicators linked to monitoring of programme implementation, e.g. evaluation (time to inform the applicants, time to grant, etc).

⁵ Based on Annex III (MONITORING) to Council Decision 2013/743/EU).

Call	EVALUATION	GRANTS	PAYMENTS
Call 2015.1 (Flagship)	TTI all applicants: 86 calendar days (target 153 calendar days) Redress after evaluation: 0 cases	TTG: not applicable in 2015 (Coordinators informed in December 2015, Grant Agreement Preparation (GAP) process on-going)	N/A

- **Indicators for monitoring Horizon 2020 Cross-Cutting Issues**

Indicators for monitoring Horizon 2020 Cross-Cutting Issues can be partly extracted from the general statistics based on the submission and Grant Agreement signature stage for Call 2014 (10 ongoing projects). Further details will be available after the first project reporting in March 2017.

Widening the participation

The distribution of beneficiaries from the 15 European Union Member States who are currently participating in projects selected from the 2014 Call is shown in figures 1 and 2 below.

The highest number of beneficiaries originate from Germany (19 beneficiaries) followed by The Netherlands (17), Finland (15), and Belgium (9). Member States not included in the projects are (in alphabetical order): Bulgaria, Croatia, Republic of Cyprus, Czech Republic, Estonia, Greece, Hungary, Ireland, Luxembourg, Malta, Poland, Romania, Slovenia.

Figure 1: Distribution of Member States as BBI JU beneficiaries by number of beneficiaries in Call 2014 per country

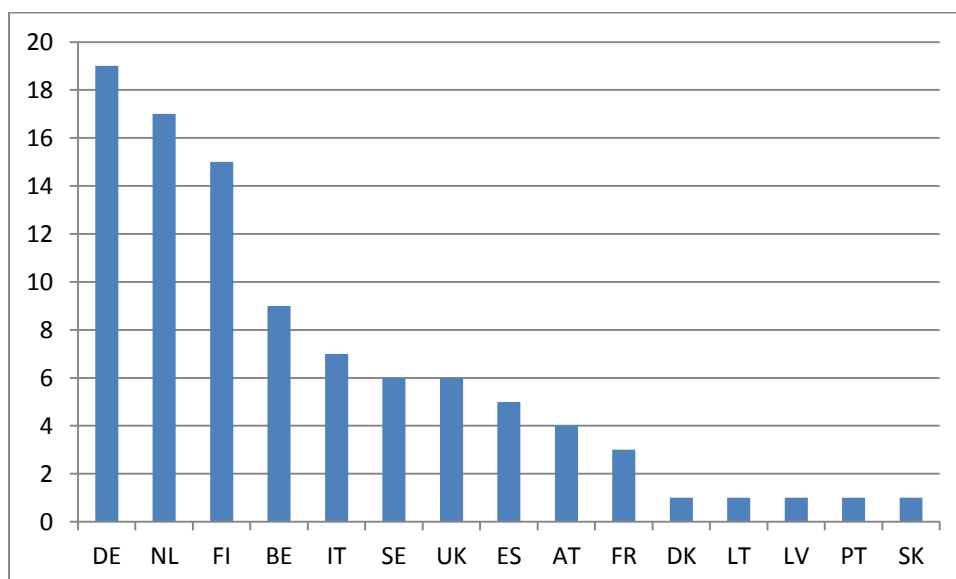
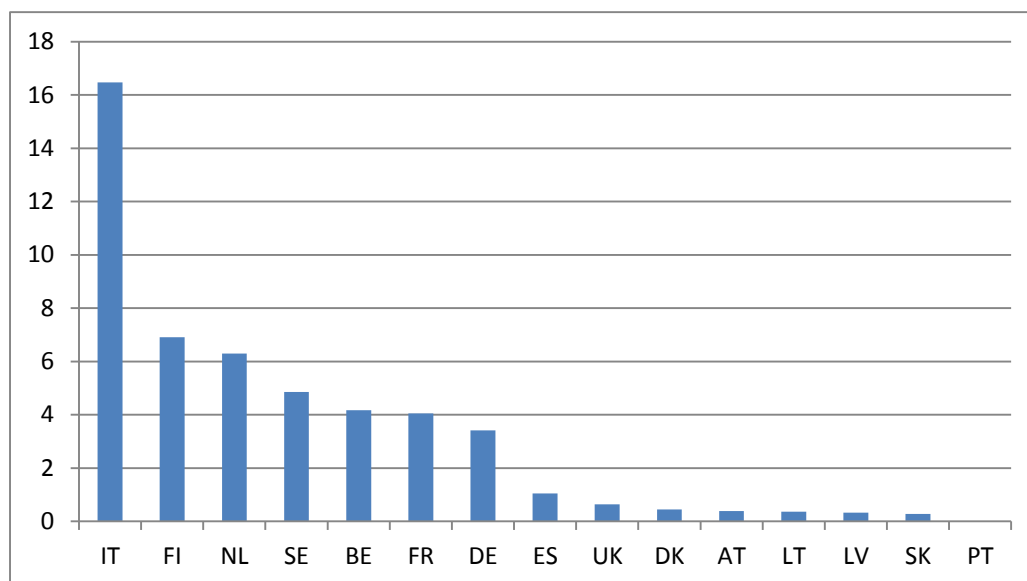




Figure 2: Distribution of beneficiaries by Member State and total amount of BBI JU financial contributions (EUR million)



Note: Call 2014 - total requested BBI JU budget - EUR 49 653 711.

From the Call 2014 the Member State receiving the highest financial BBI JU contribution is Italy. This is due to the only flagship project resulting from this Call being based in Italy with the project coordinator and two other Italian beneficiaries included in the consortium. Portugal is participating in a RIA with no BBI JU contribution, as the concerned beneficiary is a large industrial partner, who is not entitled to receive BBI JU funds, due to the specific derogation to the Horizon 2020 (H2020) Rules for Participation, provided for in the Commission Delegated Regulation (EU) No 623/2014.

There was one beneficiary from an Associated Country (Switzerland) with no BBI JU contribution in the 2014 Call.

In 2015 BBI JU started preparing a strategy to widen the participation of less active countries, regions and stakeholders, together with its founding members, the Bio-based Industries Consortium and the European Commission. The aim of this strategy is to encourage and promote a wider participation in future BBI JU Calls and to fully leverage the entire European bio-based industries' potential. The widening strategy was developed in consultation with the BBI JU States Representatives Group (SRG) and the BBI JU Scientific Committee (SC), whose members indicated their support for this strategy.

The widening strategy will contribute to:

- supporting inclusive growth in Europe and the development of the European Bioeconomy;
- opening up new investment opportunities in the European bio-based industrial sector;
- creating new jobs especially in rural areas;
- utilising the full biomass potential, research and innovation capacity of Europe;
- mainstreaming the bioeconomy concept and the BBI JU initiative.



The widening participation strategy includes an action plan at European, national and regional levels to mobilise stakeholders in BBI Call-related areas. Actions to be taken forward by BBI JU, BIC and the European Commission, are divided into the following four thematic blocks:

- promoting and raising awareness at European and national level;
- encouraging wider and inclusive participation;
- developing knowledge, know-how and partnerships;
- supporting the market uptake.

In the first semester of 2016, BBI JU will make a priority out of the following actions:

- reinforce involvement of the SRG to create a platform to exchange good practices, information and showcase business models;
- seek a better geographical balance within the SC;
- integrate the widening participation strategy within the SIRA and AWP;
- engage a larger number of ministries at national level;
- increase BBI participation and organisation of Infodays, partnering events, and other outreach activities proposed in the BBI JU communication plan;
- offer training sessions at national and regional level.

SMEs in BBI JU

SME participation shows that among the projects resulting from the 2014 Call, 23 out of 98 BBI JU beneficiaries were flagged as SMEs (24%) and 21% of the total BBI JU funding is going to SMEs. This amounts to EUR 10 397 346 so far.

Gender dimension

Data on gender balance issues, including the percentage of women project coordinators and participants in BBI JU projects will be collected during the project reporting procedures. There is already some data available on the percentage of women in the 10 ongoing BBI JU projects, resulting from the 2014 Call. Of the ten projects, two are being coordinated by women (First2Run, Provides).



Below is a summary of the percentage of women in BBI JU advisory groups, expert groups, evaluation panels, individual experts.

Table 2: Percentage of women in BBI JU advisory groups, expert groups, evaluation panels, individual experts

Name of group	Total number of experts (men & women)	Percentage of women
BBI JU Governing Board	10	10%
Scientific Committee	12	33%
States Representatives Group	48	46%
Expert-Evaluators Call 2014	34	41%
Expert-Evaluators Call 2015.1 (Flagship)	10	40%
Expert-Evaluators Call 2015.2 (RIA-DEMO-CSA)	56	47%

Data on International Cooperation are not presented, as there is no third-country participation among Grant Agreements signed in 2015 (Call 2014).

Bridging from discovery to market

As a result of the BBI JU 2014 Call for proposals, three Grant Agreements for innovation actions (IAs) were signed in 2015. This represents 33% of the ongoing BBI JU projects. However, those IAs receive 74%(EUR 36 711 003) of the total BBI JU financial contribution allocated.

Within the innovation actions, a share of EU financial contribution focussed on demonstration and first-of-a-kind flagship activities. Within the IAs, BBI JU Call 2014 delivered two demonstration actions (percentage of those IAs in the total BBI JU financial contribution: 40%) and one flagship IA (percentage of those IAs in the total BBI JU financial contribution: 34%).

Scale of impact of projects (Technology Readiness Level)

This data will be provided at the project reporting stage.

Private sector participation

The percentage of BBI JU beneficiaries from the private-for-profit sector within the 10 ongoing projects from BBI JU Call 2014 includes 63 beneficiaries representing the private-for-profit sector.



This corresponds to 65% of all BBI JU beneficiaries.

Type of Beneficiaries	Number of partners	Percentage of total participants number
Private-for-profit organisations	63	65%
Research organisations	22	23%
Higher education establishments	7	7%
Others	5	5%
Total	97	100%

Share of EU financial contribution going to private-for-profit entities (Enabling & industrial tech and Part III of Horizon 2020)

Within the 10 ongoing projects (BBI JU Call 2014), the BBI JU contribution going to the private-for-profit sector accounts for EUR 36 581 659. This corresponds to 74% of the total BBI JU funding allocated to the ongoing projects.

Type of Beneficiaries	BBI JU contribution EUR	Percentage of total BBI JU funding (rounded figures)
Private for Profit Organisations	36 581 659	74%
Research Organisations	7 444 969	15%
Higher Education Establishments	3 269 662	7%
Others	2 357 421	5%
Total	49 653 711	100%

Funding for PPPs

The only data available comes from the 10 Grant Agreements signed in 2015.

Total BBI funding EUR	Total in-kind contribution EUR	Total in-cash at a project level EUR	Total additional activities EUR	Total industry contribution including AA EUR
49 653 711	26 331 981	2 010 000	43 083 154	71 425 135

• Key Performance Indicators specific for BBI JU

The work on specific KPIs is ongoing. A preliminary exercise to identify main indicators at three levels of performance monitoring has been completed and their results have been discussed with the



European Commission and the Bio-based Industries Consortium, before BBI JU became autonomous in October 2015. The list is included in the AWP 2015 and is based on KPIs originating from the SIRA⁶.

In 2015 BBI JU focused on defining the KPIs which can be measured at project level and are in line with KPIs at the BBI JU programme level. These KPIs will form part of BBI JU's ongoing reporting and monitoring activities.

As part of this process, a questionnaire was developed including two kinds of indicators:

- those that relate to the specific objectives and level 2 KPIs (KPI1-KPI7 as indicated in the SIRA - see page 30);
- those that are linked to the overall impacts and relate to level 1 KPIs (socio-economic, environmental), as indicated in the AWP 2015. The questionnaire has been sent to BBI JU's 10 ongoing projects and preliminary data collected (see table below).

The consultation process is ongoing and includes both the modification of the questionnaires to better align programme- and project-level KPIs and the collection of feedback for the ongoing SIRA modifications (for clarification on the KPIs scope and definitions). Once this process has been finalised, the questionnaire will be used to collect data from projects that will be reflected in the annual reporting and in the internal monitoring of level 1 and 2 KPIs required for the annual reporting (first round expected in Q4/2016).

Table 3: Estimated contribution of 10 projects (Call 2014) to BBI JU specific KPIs (1- 7)

KPI description	Estimates based on Grant Agreement data from 2014 Call projects	Target by 2020
KPI1 New cross-sector interconnections in bio-based economy clusters	> 8	36
KPI 2: New bio-based value chains	10	10
KPI 3: Cooperation projects	10	200
KPI 4: New building blocks based on biomass of European origin validated at demonstration scale	6-7	5
KPI 5: New bio-based materials	5-6	50
KPI 6: New demonstrated 'consumer' products based on bio-based chemicals and materials	4	30
KPI 7: Flagships resulting from BBI JU funded projects	1-2	5

⁶ KPI (1-7) refer to Table 7 'BBI Key Objectives' in SIRA, page 28. Further KPIs are still under development including also the methodologies to estimate the targets and for their monitoring (e.g. Follow-up of additionality; sustainability)



Overview of topics for BBI JU-specific KPIs 1-7

Below an overview on topics, the resulting projects and their estimated contribution to BBI JU-specific KPIs (1- 7):

- Topic VC1.R1–2014: Efficient pre-treatment of lignocellulosic feedstock to advanced bio-based chemicals and biomaterials delivered one project
US4GREENCHEM: Combined Ultrasonic and Enzyme treatment of Lignocellulosic Feedstock as Substrate for Sugar Based Biotechnological Applications.
Contributes to KPIs 1, KPI 2, KPI3, KP4 and KP5.
- Topic VC2.R2 –2014: New sustainable pulping technologies delivered one project
PROVIDES: PROcesses for Value added fibres by Innovative Deep Eutectic Solvents,
Contributes to KPI1, KPI2, KPI3 and KPI5.
- Topic BBI VC2.R4 –2014: Fibres and polymers from lignin delivered 2 projects
SmartLi: Smart Technologies for the Conversion of Industrial Lignins into Sustainable Materials
Contributes to KPI2, KP3, and KPI4, KP5 and KPI6.
GreenLight: Cost effective lignin-based carbon fibres for innovative light-weight applications
Contributes to KPI1, KP2, KP3 and KP4/5.
- Topic BBI VC3.R6 –2014: Fermentation processes to obtain biosurfactants and specialty carbohydrates from agricultural and agro-industrial streams delivered 1 project
CARBOSURF: New processes for the fermentative production of glycolipid biosurfactants and sialylated carbohydrates
Contributes to KPI1, KPI2, KPI3 and KPI6.
- Topic BBI VC3.R7–2014: Protein products from plant residues delivered 1 project
PROMINENT: Protein Mining of Cereal side-streams Exploring Novel Technological Concepts,
Contributes to KPI 2, KPI 3, KPI 4 and KPI 6.
- Topic BBI VC4.R10–2014: Nutrient recovery from biobased waste streams and residues delivered 1 project
NewFert: Nutrient recovery from biobased Waste for fertilizer production
Contributes to KPI1, KPI2, KPI3 and KPI4.
- Topic BBI VC1.D2–2014: Chemical building blocks and value-added materials through integrated processing of wood delivered 1 project
ValChem: Value added Chemical building blocks and lignin from wood
Contributes to at least to KPI1, KPI2, KPI3 and KPI4.
- Topic BBI VC3.D4–2014: Functional additives from residues from the agro-food industry delivered one project
PULP2VALUE: Processing Underutilised Low value sugar beet Pulp into VALUE added products
Contributes to KPIs 1 to 7.
- Topic BBI VC3.F1–2014: Added value products from underutilised agricultural resources delivered 1 project



FIRST2RUN: Flagship demonstration of an integrated biorefinery for dry crops sustainable exploitation towards bio-based materials production
Contributes to all KPIs.

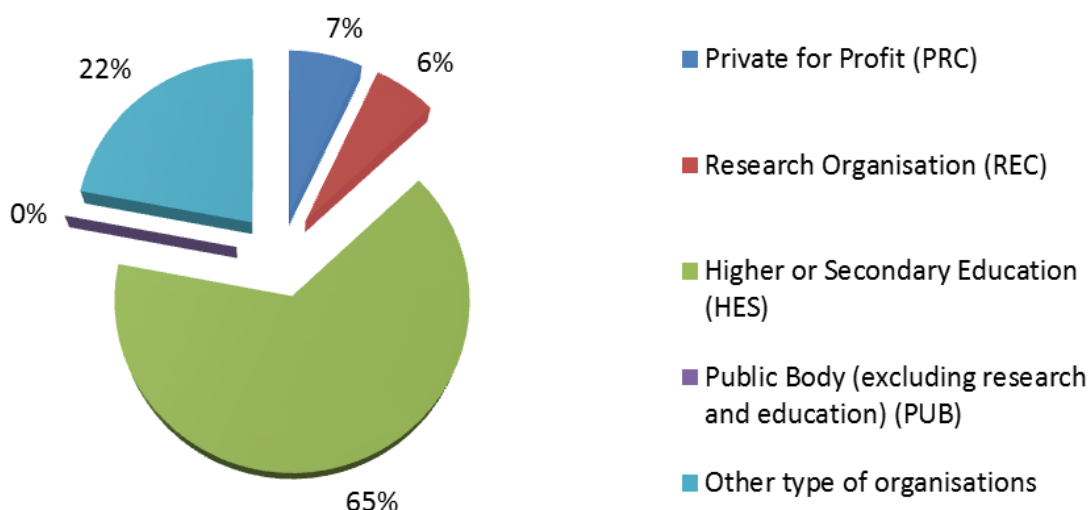
1.3.2. Evaluation: procedures and global evaluation outcome, redress, statistics

Call 2014

In 2015, the selection process and Grant Agreement preparation of Call 2014 continued. This first BBI JU call H2020-BBI-PPP-2014-1 had been published on 9 July 2014 (OJ C 215 of 9 July 2014) with a deadline of 15 October 2014 and an indicative budget of EUR 50 million. The evaluation of the proposals took place in November 2014⁷ and the results of the evaluation and the provisional ranking lists were adopted by the Governing Board on 22 January 2015. On this occasion, 10 proposals were retained for funding: 7 RIAs and 3 IAs (out of which 2 demonstration actions and 1 flagship). All H2020 deadlines were met to notify participants of the outcome of the evaluation. The Grant Agreement preparation process deadlines were also fully met, the contracts being signed on 11 and 12 June 2015.

In addition to the participation by country already presented in page 9 of this document, the participation by in this call was;

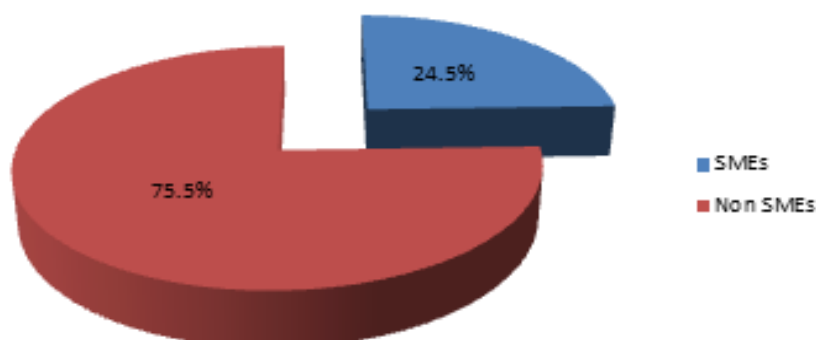
Figure 3: Type of participants in proposals retained for funding



⁷ More details can be found in the Annual Activity Report of 2014 available on the [BBI JU Website](#)



Figure 4: SME participation in proposals retained for funding



Calls 2015

In addition to that, in 2015 two Calls were launched based on the AWP 2015. The first Call (Call 2015.1) covered flagship innovation actions and the second Call (Call 2015.2) covered Research and Innovation Actions (RIAs), Innovation Actions (IAs) and more specifically demonstration actions (DEMO) and Coordination and Support Actions (CSA).

- **Innovation Action - Flagships**

The Call was published on 19 May 2015 as a single-stage Call with a deadline for submission on 15 September 2015. The indicative budget was EUR 100 million⁸ and the estimated value of the in kind contributions by the members other than the European Union or their constituent entities (BIC) was a minimum of EUR 40 million.

Topic	Type of action	Submitted Proposals	Eligible/admissible
BBI VC1.F1 - From lignocellulosic feedstock to advanced bio-based chemicals, materials or ethanol	Innovation Action - Flagship	6	6
BBI VC2.F2 - Valorisation of cellulose into new added value products	Innovation Action - Flagship	3	3
BBI VC4.F3 - Innovative processes for sugar recovery and conversion from Municipal Solid Waste (MSW)	Innovation Action - Flagship	-	-

The remote evaluation took place from 25 September until 14 October 2015. The Consensus meeting took place in Brussels between 19 and 21 October 2015. During the evaluation, 10 independent expert evaluators, 1 independent observer and 5 ethical experts were involved.

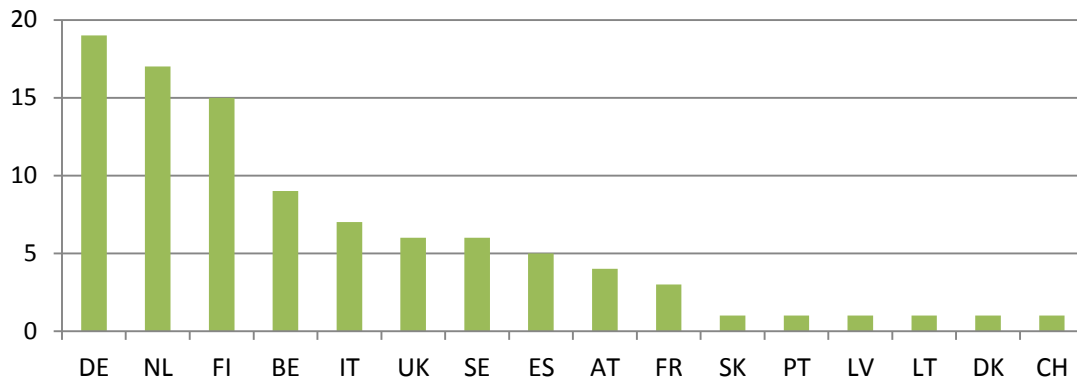
Following the recommendations formulated by the experts' panels and approved by the BBI JU Governing Board, the three first-ranked proposals were retained for funding. The deadline for the

⁸ This figure refers to the EU funding only.



Grant Agreement signature is 15 May 2016. Nine eligible proposals involving 105 participants were received.

The key figures of the participants in BBI JU Call 2015.1 (Flagship) are presented in Figure 3 below:

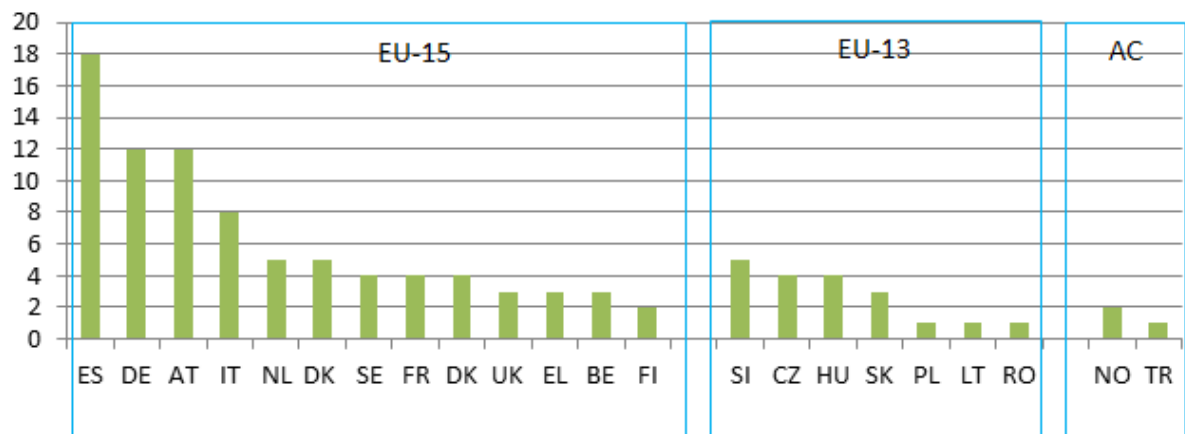


The Financial contribution in proposals retained for funding is:

- EU contribution (BBI JU funding): EUR 50 million
- Industry contribution: EUR 26.3 million
- Additional investments: approx. EUR 43 million⁹

The key figures of the participants in BBI JU Call 2015.1 (Flagship) are presented in Figure 3 below:

Figure 5: Eligible proposals for BBI JU Call 2015.1 Flagship Call by Member State



The Financial contribution in proposals retained for funding is:

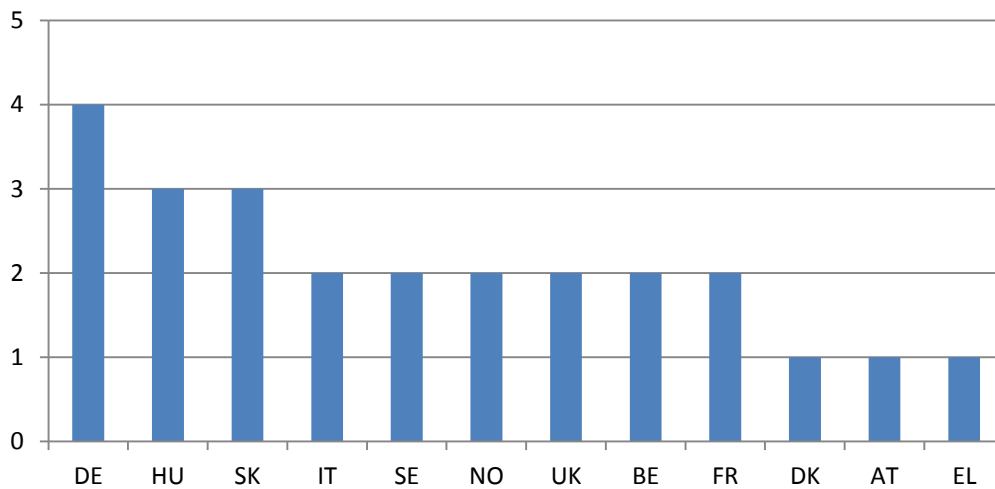
- EU contribution (BBI JU funding): EUR 74 million
- Industry contribution: EUR 36 million
- Additional investments: approx. EUR 600 million¹⁰

⁹ Preliminary (estimated) figures presented in the proposals

¹⁰ Preliminary (estimated) figures presented in the proposals

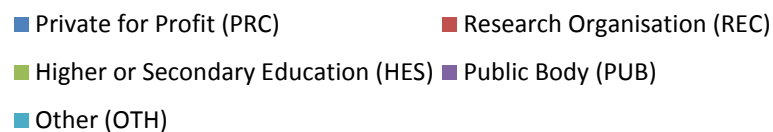


Figure 6: Number of participants in proposals retained for funding:



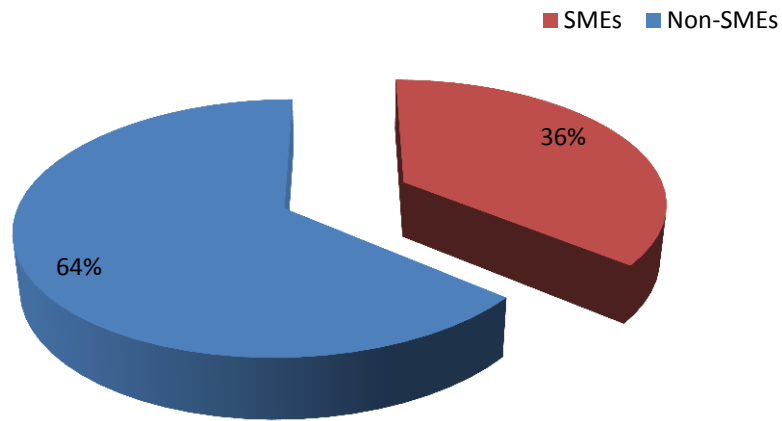
A total of 25 participants from 12 countries: 17 EU-15, 6 EU-13 and 2 AC

Figure 7: Type of participants in proposals retained for funding



Type of Participant	Number
Private-for-profit (PRC)	13
Research Organisation (REC)	4
Higher or Secondary Education (HES)	2
Public Body (excluding research and education) (PUB)	0
Other type of organisations, such as international organizations, associations and other non-profit organisations (OTH)	6

Figure 8: SME participation in proposals retained for funding



In Call 2015.1, 9 out of 25 participants are SMEs, which represents 36% of the total number of participants.

- **Research and innovation actions, Innovation Actions (DEMO) & Coordination and Support Actions**

The second Call in 2015 covered Research and Innovation Actions (RIA), Innovation Actions (IA) and more specifically Demonstration Actions (DEMO) and Coordination and Support Actions (CSA).

The Call was published on 25 August 2015 as a single-stage call with a deadline for submission of 3 December 2015. The indicative budget was EUR 106 million.^{11,12}

The estimated value of the in kind contributions by the members other than the European Union or their constituent entities (BIC) is a minimum of EUR 65 million. The evaluation of the proposals will take place between February and March 2016. During the evaluation, 58 independent experts, 2 independent observers and 10 ethical experts will be involved.

The information on the evaluation outcome will be published no later than 5 months after the proposal submission deadline, thus by 3 May 2016. The Grant Agreements must be signed no later than 8 months after the proposal submission deadline, thus by 3 August 2016.

¹¹ In case the budget of a given line cannot be consumed (totally or partially) the corresponding budget will be allocated to the topics under the other budget lines.

¹² This figure refers to the EU funding only.



Table 3: No of submitted proposals per topic for 2015.2 Call

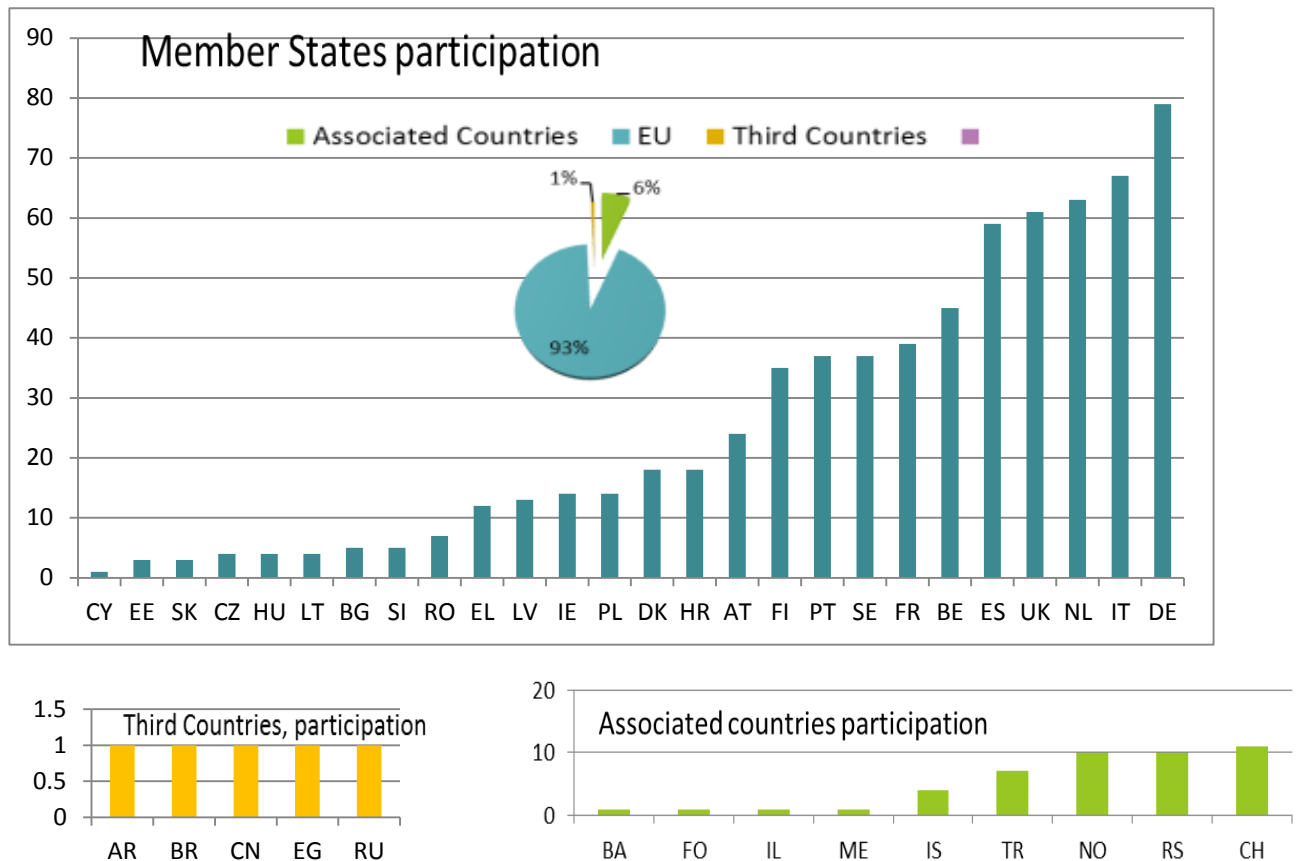
Topics	Submitted Proposals	Eligible/ admissible	Indicative budget (EUR million)
BBI.VC1.R1 - Conversion of lignin-rich streams from biorefineries	5	5	28
BBI.VC1.R2 - Pre-treatment of lignocellulose with simultaneous removal of contaminants and separation of lignin and cellulosic fractions	3	3	
BBI.VC1.R3 – Bio-based functional molecules for coating and surface treatment	3	3	
BBI.VC1.R4 – Separation and extraction technologies for added value compounds from wood and forest-based residues	3	3	
BBI.VC2.R5 - Practices increasing effectiveness of forest management	8	8	
BBI.VC2.R6 - Sustainable cellulose based materials	1	1	
BBI.VC2.R7 - Tailoring tree species to produce wood designed for industrial processes and bio-refining purposes	1	1	
BBI.VC3.R8 - Increasing productivity of industrial multi-purpose agricultural crops	3	3	
BBI.VC3.R9 - Valorisation of aquatic biomass	9	9	12
BBI.R10 - Innovative efficient biorefinery technologies	7	7	
BBI.VC1.D1 - Lignocellulosic feedstock into chemical building blocks and high added value products	7	7	64
BBI.VC2.D2 - Innovative cellulose-based composite packaging solutions	4	4	
BBI.VC3.D3 - Production of bio-based elastomers from Europe-grown feedstock	1	1	
BBI.VC3.D4 - High purity bio-based intermediates and end products from vegetable oils and fats	2	2	
BBI.VC3.D5 - Valorisation of agricultural residues and side streams from the agro-food industry	7	7	
BBI.VC4.D6 - Organic acids from Municipal Solid Waste	2	2	
BBI.D7 - Overcoming low product yields from fermentation processes	1	1	2
BBI. S1 - Standards and regulations	2	2	

BBI.S2 - Communication and awareness	2	4	
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The key figures of the participants in BBI JU Call 2015.2 (RIA/IA/CSA) based on the submission statistics are presented below:

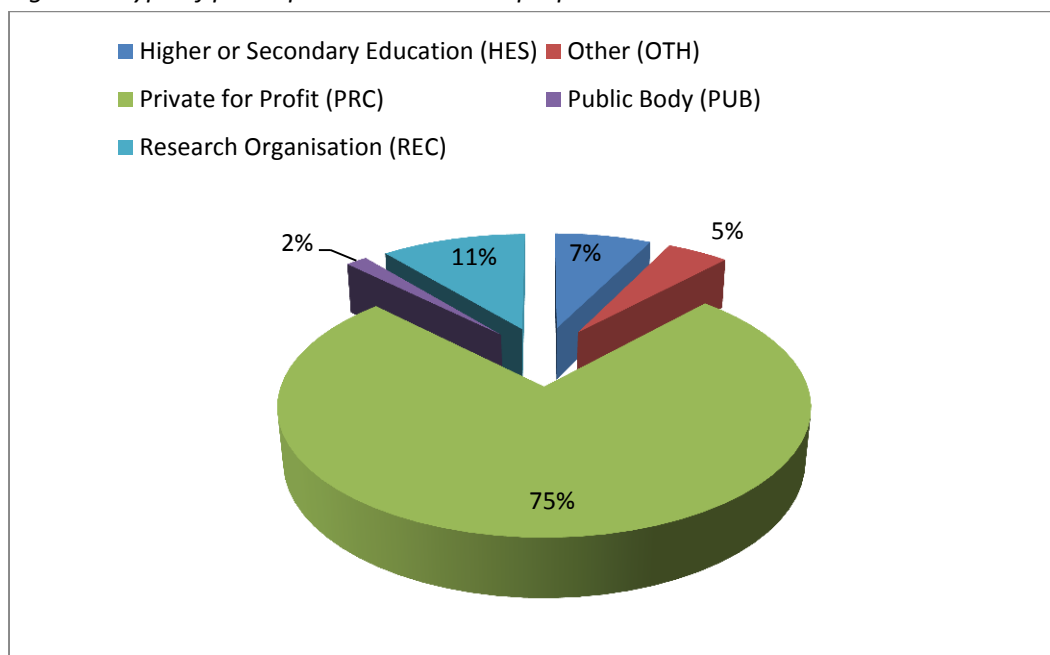
Call 2015.2 – Submission statistics

Figure 7: Percentage of participation in Call 2015.2 by country



Type of Participants	Number
Private for Profit (PRC)	373
Research Organisation (REC)	54
Higher or Secondary Education (HES)	36
Public Body (excluding research and education) (PUB)	8
Other type of organisations, such as international organizations, associations and other non for profit organisations (OTH)	23
TOTAL	494

Figure 9: Type of participants in submitted proposals



1.4. Dissemination and information about projects results

In 2015, the Grant Agreement preparation for projects under the BBI JU 2014 Call for proposals was successfully concluded, and the first 10 BBI JU-funded projects started in July and August 2015. As a result, project-related dissemination and information activities were limited to the second half of 2015, and were mainly focussed on disseminating and communicating project objectives, not project results (as concrete project results were limited in 2015). Project publications (Annex 3) in 2015 were therefore mainly limited to setting up the 10 project websites. Similarly, since projects only started in 2015 and concrete results were limited, no project-related patents (Annex 4) were available at the end of 2015.

In 2015, BBI JU undertook different communication activities to promote the 10 projects of Call 2014. Some examples include:

- A leaflet dedicated to the results of the Call 2014, including a short description of each of the 10 projects. These flyers were distributed to relevant audiences at different international events (e.g. the Bioeconomy Investment Summit, the Horizon 2020 Societal Challenge 2 info day, and the 7th European Innovation Summit) and local workshops (e.g. BBI JU info days organised by the Dutch, Polish and German National Contact Points).
- The BBI JU website was expanded in 2015, and now it includes a part dedicated to BBI JU projects (see <http://www.bbi-europe.eu/projects>). Data from the website analytics report for 2015 for the period between 1 August and 29 November 2015 shows that:
 - during this period the website received 26,182 visits from 15,496 unique visitors. The trends show the number of visits was fairly constant throughout the period.



- There were two peaks in August and September. The peak in August was partially due to a press release published in BBI webpage on 25 August: *New €106 million released by BBI JU to research innovative ways of using renewable resources*. This article is the only news item present in the top 10 most popular pages.
- During the Bioeconomy Investment Summit, a session was dedicated to the role of BBI JU in supporting bio-based investments. During this session, three Call 2014 project representatives were invited to give a presentation about their project's objectives and expected outcomes.
- At the 7th European Innovation Summit, hosted in the European Parliament, BBI JU was represented by the Executive Director at:
 - a combined breakfast conference with all the Joint Undertakings where the objectives and mission of each of them was presented to the press; a dedicated session where the Executive Director also presented the socio-economic impacts of the initiative;
 - the workshop dedicated to the future and innovation in the agricultural sector where he explained the added value and innovation possibilities for this sector.

1.5. Operational budget execution

For 2015, the European Commission contribution to the two Calls for proposals that were published in May and August, amounted to EUR206 390 497. The first Call, with a budget of EUR 100 million, was a flagship Call, and three projects were selected, with a total requested funding of EUR 73 741 237.

The balance of unused appropriations amounts to EUR 26 000 000. A buffer of EUR 258 863 has been left on the commitment to deal with the completion of the Grant preparation phase to cover small amendments to the Grant Agreements, if needed. Therefore, an amount of EUR 26 000 000 and an unused amount of EUR 1 846 292 from the 2014 Call is intended to be redeployed under the 'N+3' rule¹³ applicable to Joint Undertakings, during the 2016 financial year to supplement the 2016 Call for proposals.

This will be the subject of an amendment to the 2016 budget to be adopted by the BBI JU Governing Board. Once the Grant Agreements from Call 2015.1 are signed in May 2016, any unused part of the buffer may be de-committed and used to supplement the 2016 Call before the adoption of the ranking list.

The second Call of 2015, covering IAs Demos, RIAs and CSAs, was published with an overall budget of EUR 106 million. It is anticipated that the total amount will be consumed once the Call evaluations starting mid-February 2016 are concluded.

¹³ The 'N+3' rule is provided for in article 6(5) of the BBI JU Financial Rules.



1.6. In kind and financial contributions

Council regulation 560/2014¹⁴ setting up the BBI JU provides for the following contributions from members:

- The Union contribution shall be up to EUR 975 000 000 and will cover administrative costs (up to EUR 29 250 000) and operational costs;
- Contributions from members other than the Union or their constituent entities shall amount to at least EUR 2 730 000 000, to be divided as follows:
 - *For operational activities and additional activities*
 - i. In kind contributions to cover operational costs (referred to hereafter as in kind contributions in operational activities or IKOP).
 - ii. In kind contributions consisting of the costs incurred by them in implementing additional activities outside the work plan of BBI JU (referred to here after as in kind contributions in additional activities or IKAA) for at least EUR 1 755 000 000
 - iii. Financial contribution by the members other than the Union to the operational costs (referred to here after as in cash contributions) shall be at least EUR 182 500 000 over the period provided for in Article 1 of BBI JU Council Regulation
 - *For administrative costs*
 - iv. Up to EUR 29 250 000 in cash corresponding to 50% of the total maximum amount of running costs.

Reporting in kind contributions in operational activities (IKOP)

The proposal for a methodology for reporting of IKOP, submitted by the BBI JU was based on a methodology developed by another Joint Undertaking (Fuel Cells and Hydrogen JU). During 2015, discussions were held between BBI JU and various services of the European Commission, with regard to the proposed methodology and timeframe to report the in kind contributions. As this methodology was not yet agreed by December 2015, it has not been possible yet to report according to an accepted methodology on IKOP incurred in the ongoing projects.

Reporting in kind contributions in additional activities (IKAA)

Taking into account that the templates for the planning, reporting and certification of IKAA were developed by the European Commission in February 2016, no IKAA was officially reported by 31 December 2015. The first official report on IKAA is envisaged to be submitted in the course of 2016. In the absence of it, any reference to the value of delivered IKAA shall be considered as to reflect estimations of expected IKAA.

Reporting financial (in cash) contributions

In accordance with Article 12(4) of the BBI JU Statutes, BIC must deliver financial contributions of at least EUR 182 500 000 into the operational budget of the BBI JU, by 31 December 2024. In the course of the year 2015, no in cash contribution has been delivered by BIC to the operational budget of BBI JU. However, following the signature in 2015 of Grant Agreements related to the Call 2014, it is

¹⁴ Council Regulation (EU) No 560/2014 of 6 May 2014 establishing the Bio-based Industries Joint Undertaking, OJ L 169, 7.6.2014, p. 108–129



expected that an amount of EUR 2 010 000 of financial contribution will be delivered by BIC members in the coming years, directly into Call 2014 projects.

Under the current legal framework of the BBI JU, the financial contribution delivered at project level is not counted towards the target of EUR 182 500 000 provided for in Article 12(4) of the BBI JU Statutes.

The fact that the current legal framework does not allow counting the financial contributions delivered at project level towards the target provided for in Article 12(4) of the BBI JU Statutes has been signalled by BIC as a problem that would impede it to reach the target by 31 December 2024. During the year 2015, this matter has been discussed by BIC and the European Commission services, in order to identify a common solution. By the end of 2015 the European Commission was analysing the necessity, opportunity and political feasibility of amending the current legal framework and of imposing financial restrictions provided for in Article 4(5) of the Council Regulation. The result of this assessment is expected to be communicated by the European Commission to the Programme Office and to BIC in the course of 2016.



2. SUPPORT TO OPERATIONS

2.1. Communication activities

During 2015, BBI JU continued carrying out communication activities aimed at ensuring political and public awareness about the BBI JU's activities. Key external events during the year 2015 included:

- At a dedicated Info Day on 26 June 2015, BBI JU staff presented the Call 2015 topics, the relevant legal and financial framework and answered questions from potential participants. In total, 380 participants attended the Info Day. During the afternoon BBI JU hosted a dedicated matchmaking event for networking between participants. The networking was pre-arranged through the BBI JU partnering platform that offers a secure, web-based meeting tool and networking platform. Participants and organisations interested in forming a consortium to prepare a BBI JU proposal used the tool to identify potential consortium partners, and arranged to meet on-site at the Info day.
- Participation in the Bioeconomy Investment Summit at Brussels on 9 and 10 November 2015 to demonstrate how investment can bring speed and scale to the European Bioeconomy. During the two-day Summit, BBI JU was present throughout at a dedicated information booth, while BBI JU was represented in the session by the Executive Director. The session entitled, *Investing in bio-based activities* also included contributions from three BBI JU Call 2014 projects.
- BBI JU staff presented the Calls 2015 at various national Info Days organised by bio-economy national contact points. These included a wide range of European Member States, specifically Romania, Spain, Portugal, The Netherlands and Lithuania in September, Germany in October, and Poland in December.
- The Executive Director and the BBI initiative were featured in various online publications such as *Horizon 2020*¹⁵ and *International Innovation*.¹⁶
- The workshop '*Bio-based products for growth and jobs in the EU: the crucial role of regions in boosting the bioeconomy and the circular economy*', which took place during the Open Days initiative of the European Committee of the Regions and which was moderated by the Executive Director.
- Participation in the 7th European Innovation Summit, held in the European Parliament in December 2015, where BBI JU participated in a breakfast conference with other Joint Undertakings to present the objectives and missions of each of them to the Brussels media.
- The Innovation in Action event held at the European Parliament, during which the Executive

¹⁵ Mengal, P., All products based on fossil fuels could be made from biomass, in *Horizon*, published online 17 December 2015, accessed: http://horizon-magazine.eu/article/all-products-based-fossil-fuels-could-be-made-biomass-dr-philippe-mengal_en.html

¹⁶ Mengal, P., In training for the race to the world's best bioeconomy, in *International Innovation*, published online 26 November 2015, accessed: <http://www.internationalinnovation.com/training-race-worlds-best-bioeconomy/>



Director presented the socio-economic impacts of the initiative to a number of MEPs. During the workshop dedicated to the future and innovation in the Agricultural sector, BBI JU explained what possibilities for adding value and innovation the BBI JU initiative will have for this sector.

2.2. Legal and financial framework

On 23 December 2015 an amendment to the BBI JU Financial Rules was adopted. This was done following the proposal made by DG BUDG to clarify that the European Court of Auditors (ECAS) will base its work on the report done by a private audit company, although continuing to audit BBI JU annually.

2.3. Budgetary and financial management

The BBI JU 2015 budget was managed by Directorate F of DG RTD prior to the date of financial autonomy on 26 October 2015, after which BBI JU assumed control of the management of its budget. For the period January to October 2015, all BBI JU financial transactions were processed by DG RTD via the budget lines dedicated to BBI JU within the DG RTD budget structure. The budget report including business objects and financial accounts of BBI JU reflects officially, only the accounting transactions from 26 October to 31 December 2015. However, for reasons of transparency and taking into account that BBI was already involved in its own operations as of April 2015, an overview of the budget implementation for the whole year 2015 is provided in the budget report.

The main highlights of 2015 implementation are summarised below.

Operations

In 2015, the European Commission contribution to the two Calls for proposals that were published in May and August 2015 amounted to EUR 206 390 497. The first Call, published with a budget of EUR 100 million, was a flagship Call, and three projects were selected, with a total requested funding of EUR 73 741 237. The budget of the second call was EUR 106 million, and the evaluation took place in 2016.

Please see point 1.5 above for the detailed comment on operational budgetary execution.

Administration

The 2015 administrative budget was prepared on the assumption that by the end of the year:

- i) all 22 BBI JU staff would have been recruited and operational; and
- ii) all necessary furniture and equipment (and office supplies for the whole team) would have been purchased.



In fact, by the end of 2015 there were only 13 staff members in place, which had an obvious impact on the staff-related costs.

The main points to note are:

- Staff-related costs covering programme office salaries, recruitment, removal expenses, and missions (*title 1 costs*) were all substantially lower than budgeted costs as a consequence of the slower than foreseen pace of recruitment of BBI JU staff. The overall implementation is around 40% as at the end of 2015.
- Administrative costs (*title 2 costs*) show a greater than 85% execution rate mainly because the building costs were accurately budgeted, but low implementation for costs related to meetings and events (around 30%) and information/publishing (around 47%) .
- Under the 'N+3' rule, the unused budget appropriations are not lost and can be for instance reactivated to supplement the 2016 budget.

Table 4: 2015 Budgetary execution table

Revenues (Commitment Appropriations) (EUR)	Budget 2015 in EUR	Executed Budget 2015 in EUR	%
Revenue from fees and charges			
EU Contribution:	201 908 289	176 138 147	87.2%
– of which administrative (Title 1 and Title 2)	1 412 372	899 662	63.7%
– of which operational (Title 3)	200 495 917	175 238 485	87.4%
– of which funding of European Schools Type 2			
Third countries contribution (Incl. EEA/EFTA and candidate countries)	5 941 622	5 178 462	87.2%
– of which EEA/EFTA (Excl. Switzerland)	5 941 622	5 178 462	87.2%
– of which candidate countries			
Other contributions			
Administrative operations	1 572 886	998 077	63.5%
Revenues from services rendered against payment			
Correction of budgetary imbalances			
Interests generated			
Unused appropriations from previous years			
TOTAL	209 422 797	182 314 686	87.1%



Expenditure (Commitment Appropriations)	Budget 2015 in EUR	Executed Budget 2015 in EUR	%
Title 1 - Staff expenditure	1 500 100	616 231	41.07%
Salaries & allowances	1 243 200	553 628	44.53%
— of which establishment plan posts			
— of which external personnel			
Expenditure relating to staff recruitment	158 300	19 061	12.04%
Mission expenses	60 000	9 402	15.67%
Socio-medical infrastructure (inc training)	33 600	31 640	94.17%
Training			
External services			
Receptions, events and representation	5 000	2 500	50.00%
Social welfare			
Other staff related expenditure			
Title 2 - Infrastructure and operating expenditure	1 532 200	1 307 958	85.36%
Rental of buildings and associated costs	263 000	263 023	100.00%
Information, communication technology and data processing	158 300	127 645	80.63%
Movable property and associated costs	25 000	20 201	80.80%
Current administrative expenditure	16 100	15 411	95.72%
Postage / Telecommunications	9 700	3 912	40.32%
Meeting expenses	100 300	28 812	28.73%
R&D support, evaluations and reviews	759 800	759 800	100.00%
Information and publishing	190 000	89 154	46,92%
Studies	10 000	0	0.00%
Other infrastructure and operating expenditure			
Title 3 - Operational expenditure	206 390 497	180 390 497	87.40%
TOTAL	209 422 797	182 314 686	87.06%



EXPENDITURE (Payment appropriations)	Budget 2015	Executed Budget last 2 months 2015	%	Executed Budget 2015	%
Title 1 - Staff expenditure	1 500 100	227 987	15.20%	569 965	41.07%
Salaries & allowances	1 243 200	210 519	16.93%	541 627	43.57%
Expenditure relating to Staff recruitment	158 300	3 038	1.92%	13 908	8.78%
Mission expenses	60 000	6 635	11.06%	6 635	11.05%
Socio-medical infrastructure (inc training)	33 600	5 747	17.10%	5 747	17.10%
Receptions, events and representation	5 000	2 048	40.96%	2 048	40.96%
Title 2 - Infrastructure and operating expenditure	1 532 200	157 464	10.28%	533 440	34.82%
Rental of buildings and associated costs	265 000	68 740	25.94%	263 023	99.25%
Information, communication technology and data processing	158 300	18 985	11.99%	87 868	55.51%
Movable property and associated costs	70 000	20 201	28.86%	20 201	28.86%
Current administrative expenditure	16 100	1 776	11.03%	1 776	11.03%
Postage / Telecommunications	9 700	-	0.00%		0.00%
Meeting expenses	75 300	16 146	21.44%	28 279	37.56%
Running costs in connection with operational expenditure		-	0.00%		0.00%
Information and publishing	150 000	31 616	21.08%	66 447	44.30%
Studies	5 000	-	0.00%		0.00%
R&D support, evaluations and reviews	782 800		0.00%	65 846 ¹⁷	8.41%
Title 3 - Operational expenditure	18 042 892	-	0.00%	17 713 972	98.18%
TOTAL	21 075 192	385 451	1.90%	18 817 377	89.29%

¹⁷ Payment consumption reported by REA EUR 43,544 and an additional payment of EUR 22,302 made by BBI JU in 2015 for 2014 evaluators.



2.4. Procurement and contracts

In February 2015 a low-value tender was concluded for the cooperation and coordination services and related information facilities in order to enable bioeconomy stakeholders to network and arrange meetings at BBI JU brokerage events. This is provided as a networking tool called the BBI JU partnering platform, accessible from the BBI JU public website.

BBI JU has joined several framework contracts run by the European Commission in order to be able to purchase different goods and services such as furniture, IT equipment, and software, in a transparent and controlled manner.

2.5. IT and logistics

2.5.1. IT - Administrative

A common IT Security Policy and a common Work Plan for 2016 have been put in place together with the other JUs sharing the same infrastructure.

The common telephone infrastructure (PABX) was upgraded to allow the stable operation under the heavier workload involved with BBI (and Shift 2 Rail) moving into the White Atrium building.

BBI JU has joined multiple framework contracts managed by DG DIGIT with the purpose of procuring IT hardware and software assets and subscriptions needed for the smooth operation of BBI JU.

An asset management system (ABAC ASSETS) has been put in place.

2.5.2. IT – Operational

The H2020 IT systems provided by the Central Support Centre of DG RTD were put in place, and the access rights were configured.

2.5.3. Logistics

An SLA was signed with DG OIB to allow BBI JU to order essential office supplies needed for the day-to-day operations.

The offices of the staff members who joined BBI JU in 2015 were equipped with the essential pieces of furniture coming from a donation of the European Medicines Agency. A meeting room was also furnished.

2.5.4. Human Resources

Recruiting for the programme office brought in 13 staff members during 2015, including the Executive Director. Two additional recruitment procedures were finalised in 2015 with a starting date in 2016 for the new staff members.

In 2015 the main priority has been to ensure that all key functions necessary to achieve BBI JU financial autonomy were in place. The remaining staff positions will be filled during 2016.



3. Governing Board

The BBI JU Governing Board includes five representatives of the BIC and five representatives of the EC. During the meeting of 9 December 2015 Dr Marcel Wubbolts, Chief Technology Officer at DSM, was elected Chair and Dr Rudolf Strohmeier, Deputy Director-General in DG RTD, was elected Vice-Chair.

The five members representing the European Commission were designated by the Commission Decision 4255 (2014) of 27 June 2014 and in 2015 were: Rudolf Strohmeier (Deputy Director-General DG RTD), John Bell (Director, Bioeconomy Directorate, DG RTD), Clara de la Torre (Director, Key Enabling Technologies Directorate, DG RTD), Aldo Longo (Director, General Aspects of Rural Development and Research Directorate, DG AGRI) and Carlo Pettinelli (Director, Resources Based, Manufacturing and Consumer Goods Industries Directorate, DG ENTR).

The five members representing BIC in 2015 were Marcel Wubbolts (Chief Technology Officer, DSM), Mat Quaedvlieg (Director, Manufacturing SFPE & Member, Sappi Global Technology Development Board), Thomas Nagy (Executive Vice President, Supply Operations, Novozyme), Christophe Rupp-Dahlem (Director, Plant-based chemistry Innovation Programs, Roquette) and Christophe Luguel (Head of International Affairs, IAR Cluster).

The Governing Board adopted the following decisions in 2015¹⁸:

- funding of indirect actions pursuant to the 2014 Call for proposals;
- amendment of the AWP 2015;
- adoption of the Annual Activity Report (AAR) 2014;
- second amendment of the AWP 2015;
- appointment of the Executive Director;
- adoption of the Internal Control Standards of the BBI JU;
- approval of the date on which BBI JU will have the capacity to implement its own budget;
- funding of Indirect Actions pursuant to the 2015.1 Call for Proposals;
- adoption of BBI JU AWP and Budget for 2016.

3.1. Executive Director

The Executive Director was appointed by the Governing Board at the meeting of 1 September 2015 and started his mandate on 1 October 2015.

In line with normal practice for senior posts in the EU institutions, the recruitment process for the BBI Executive Director was handled by the European Commission's Directorate-General for Human Resources and Security. The vacancy notice was published in the Official Journal on 5 September 2014, with a deadline for applications of 3 October 2014.

¹⁸ Available on the BBI JU website, under 'Reference documents' at <http://www.bbi-europe.eu/about/reference-documents>



The European Commission set up a pre-selection panel, in which a representative of the industry partner (BIC) participated as an observer. This panel analysed all applications and identified the candidates with the best profile. These candidates were subsequently invited for interview with the pre-selection panel.

Following this stage of the process, the pre-selection panel drew up its conclusions and proposed a list of candidates for further interviews with the European Commission's Consultative Committee on Appointments (CCA). Candidates who were called for interview with the CCA were also asked to participate in a full-day assessment centre run by external human resources experts. On the basis of the interview and results of the assessment centre report, the CCA established a shortlist of candidates. This shortlist was submitted to the relevant Members of the European Commission for interviewing.

The European Commission adopted a shortlist of the most suitable candidates on 30 July 2015, which was passed on to the BBI Governing Board. On 1 September 2015, the Governing Board interviewed the first shortlisted candidate and finalised the selection of the Executive Director.

3.2. States Representatives Group

Following a first SRG meeting in 2014, two meetings were organised in 2015. The Governing Board, the European Commission and BIC, and the Chair of the Scientific Committee (SC) also participated in both meetings.

The main items addressed at the meeting held on 25 February 2015 were to provide the SRG with information on the outcome of the 2014 Call for proposals. During the meeting, the SRG worked on its opinion on the AWP 2015. The election of the second vice-Chair was held, and agreement was given by the group to amend the Rules of Procedure (substitution of the members by the power of attorney delegation, introducing a written decision process, and allowing BBI JU to cover travel costs of the SRG members and the Chair in light of the Governing Board decision BBI-GB-D-04/14 of 9 December 2014). There was also a brief presentation on the high-level policy group on bioeconomy and of the relevant national and regional activities in relation to BBI JU.

The SRG meeting of 28 October 2015 was used to discuss four key aspects on business – the status of BBI JU and its programme progress, the SIRA and 2016 AWP and the deployment and promotion of BBI JU at national level. The Programme Office also presented the widening participation strategy to the SRG. The main agreements given by the SRG members were to endorse the 2016 Annual Work Plan and to issue a positive opinion after the meeting. During the meeting the newly appointed Executive Director and the programme team were introduced to the SRG members and the BBI JU autonomy was announced. The SC chair presented the key messages to the members of the SRG, as the meetings were organised back to back



At this meeting a task force on deployment, dissemination and promotion of BBI JU activities was established. The aim of this task force is to identify further recommendations and 'lessons learnt' to improve these aspects at national level to be presented during the following SRG meeting.

3.3. Scientific Committee

The BBI Scientific Committee (SC) has been formally established in conformity with the BBI establishment rules. The selection procedure and criteria for the SC were adopted at the first Governing Board meeting on 27 June 2014. In 2015, the Scientific Committee met twice.

The second formal SC meeting took place on 23 February 2015 and focused on discussing the results of the first 2014 Call of proposals, and preparing the SC's advice on the scientific priorities to be addressed in the AWP 2016.

The third meeting of the SC was held on 27 October 2015 and was the first one fully organised by the BBI JU office. During the meeting the newly appointed Executive Director and the programme team were introduced to the SC members and BBI JU's autonomy was announced. The meeting covered the progress and achievements the BBI made since the previous meeting and ongoing work was discussed, including the BBI JU widening participation strategies, SIRA update, and the state of play of the AWP 2016. The SC members discussed the AWP 2016, produced key messages for the SRG meeting and gave their advice on the 2016 AWP. The Chair of the BBI JU Governing Board was also present, as well as the founding members (BIC and EC) and the Vice Chair of the SRG. Regarding the composition of the SC, by the end of 2015 the SC counted 12 members. One member (Antonia Rojas) left the SC during the year due to a conflict of interest (the company where the member was employed became a BIC member in March 2015). A gap analysis of the existing expertise in the SC is planned and the proposed action is to request the launch of a new selection process for additional experts on the SC.

The SC made excellent contributions to the AWP2016, and supported other activities by issuing concrete recommendations. The SC provided input into the two-stage process for the drafting of the BBI JU's 2016 Work Plan. The first stage was to define priorities on key research and innovation areas for the AWP 2016. The second stage was to review the draft 2016 AWP, while giving detailed recommendations and advice on the scientific content. All recommendations made by the BBI SC have been taken into account in the final version of the AWP 2016.



4. INTERNAL CONTROL FRAMEWORK

In line with Article 19 of the Council Regulation (EU) 560/2014 of 6 May 2014, the European Commission was responsible for the establishment and for the initial operation of BBI JU until the programme office could demonstrate the operational capacity to implement its own budget as an autonomous body.

In October 2015, the Governing Board approved the Readiness Assessment Report proposed by the Interim Executive Director of BBI JU, with the agreement of the Executive Director. The report concluded that BBI JU was ready to become autonomous by the end of October 2015. The implementation of the Internal Control Framework in BBI JU was among the key requirements for the autonomy, and in particular the following was considered:

- The Governing Board adopted the BBI JU Internal Control Standards (ICSs) on the basis of the 16 equivalent standards laid down by the European Commission for its own departments and having due regard to the risks associated with the Joint Undertaking management environment.
- In consequence and in compliance with the adoption of the ICSs, the interim Executive Director has put in place the internal management and control systems and the procedures that ensure the implementation of the Internal Control Framework. An action plan for the progressive implementation of the ICSs has been formulated at the same time.

4.1. Financial procedures

The Interim Executive Director adopted a manual of financial procedures to be used by BBI JU staff. This document describes the financial circuits for the implementation of the BBI JU budget. The financial circuits cover all financial operations taking into account the 'lean' structure of BBI JU and any risks associated with the management environment and the nature of the financing operations. They are established in order to standardise the mandatory steps of the processing of financial transactions and to clarify who the different actors are.

4.2. *Ex ante* controls on operational expenditure

Key processes and procedures for the execution of the budget, thus including the implementation of *ex ante* controls on operational expenditure, are included in the financial rules of BBI JU and in the manual of financial procedures. In 2015 *ex ante* controls on operational expenditure dealt with the pre-financing of projects from the 2014 Call.

The pre-financing payment operations are homogeneous (same requirements for all grant agreements). The processing and recording of the transactions in the accounting IT system (ABAC) are automated by the H2020 IT tools (SYGMA/COMPASS).

The level of automation and embedded controls is very high. In fact, SYGMA/COMPASS will control:



- the triggering of the payment process – the payment can only be processed after the signature of the Grant Agreement by both the coordinator and BBI JU, and in accordance with the deadline given for the start date of the grant;
- the correctness of the amount to pay (the amount identified in the grant agreement);
- the link to the correct budgetary commitment;
- the validity of the bank account at the payment moment;
- the appropriate recording of the contribution to the Participants Guarantee Fund;
- the existence of active EWS flags for any of the beneficiaries in the consortium.

There are three ABAC transactions involved in this process: request for pre-financing, payment request and payment order. They are automatically recorded in ABAC, which guarantees the same consistent standard quality for all the operations registered in ABAC.

The visas will be automatically transferred to ABAC, with the exception of 'passed for payment', which will be given by the authorising officer directly in ABAC.

4.3. Internal audit

Article 26 of BBI JU Financial Rules designates the Internal Auditor of the European Commission as the Internal Auditor of the JU. After financial autonomy on 26 October 2015, the Internal Auditor initiated the discussion with the Internal Audit Service of the Commission on the working arrangements and first assignments for the year 2016.

4.4. Risk management and conflict of interest

During 2015 BBI JU risk management was integrated in the risk management exercise of DG RTD. The main risks associated with the BBI JU's management were considered in the light of BBI autonomy, scheduled to take place in 2015. The roadmap to full autonomy was done in compliance with the DG RTD checklist of requirements to be fulfilled before the autonomy of the Joint Undertakings. The standardised procedure provided timelines, evaluated the degree of the effectiveness by identifying risks, and proposed actions to mitigate risks when appropriate. The process for autonomy went smoothly and autonomy entered into force on 26 October 2015.

Beyond its own rules of procedure, the Governing Board adopted the rules for the prevention and management of conflicts of interest in respect of its members. Specific measures are in place for the selection and engagement of experts in charge of the evaluation of grant applications, projects and tenders and for providing opinions and advice in specific cases.

4.5. Compliance and effectiveness of Internal Control

An assessment of the Internal Control Framework was included in the Readiness Assessment Report for BBI JU autonomy. An action plan has been formulated for the progressive implementation of the Internal Control Standards (ICSs). In this action plan, key requirements and responsible actors have



been identified and the status of implementation is assessed and monitored through an established timeline for implementation.

Conclusions of the readiness assessment report are :

Key requirements have been achieved. Key staff members have taken up on duty like the Accounting and Financial correspondent, and the ABAC system has been tested and was ready to go on production.

On that basis, the BBI JU was expected to be ready and capable of implementing legally, regularly and effectively its budget by 26 October 2016, which was therefore the date requested for its autonomy

Concerning ICS system, no assessment on compliance has been performed but an action plan analysing the status of implementation and next action has been drafted. The assessment of ICS compliance is being carried out in 2016 and its conclusions will be included in the AAR 2016.

The following comments on outstanding issues are still valid, at the end of the reporting period (31/12/2015):

- **Standard 4: Staff evaluation and development**

Status of implementation: A procedure has been put in place for the setting of individual objectives. In 2015 BBI JU requested a derogation to the Implementing Rules from the European Commission, 'Appraisal of temporary and Appraisal of contract staff'. In 2015 training has been focussed on the acquisition of skills necessary to achieve BBI JU's autonomy.

Timeline/Comments: In Q1 2016 individual objectives will be discussed with the staff, and the relevant implementing rules on staff appraisal will be adopted by the Governing Board. In Q1 2017 staff performance will be evaluated against individual objectives. In Q1 2016 BBI JU will develop a learning and development framework where individual training maps and training passports will be established.

- **Standard 5: Objective and performance indicators**

Status of implementation: KPIs for assessment of the achievement of BBI JU objectives are under preparation as explained in paragraph 1.3.1 above.

Timeline/Comments: Adoption of a questionnaire to collect relevant information by Q4 2016

- **Standard 10: Business continuity**

Status of implementation: The Business Continuity Plan (BCP) of BBI JU could only be prepared once the JU was settled in the White Atrium and shares the networks and facilities of the building together with the other JUs, which already have a joint BCP. First coordination activities were done at the end



of 2015 and BBI requested to join the agreement governing the BCP concluded between DG RTD and the other JUs of the research family.

A specific contract has been signed with the IT service provider (RealDolmen) for the activation of the disaster recovery plan as part of the BCP.

Timeline/Comments: BBI to access the joint BCP agreement (Q1 2016)

- **Standard 11: Document management**

Status of implementation: Established document management system for registration and classification of documents.

The BBI JU, together with the other 5 JUs located in the White Atrium building adopted the document 'Common IT Security Policy and Disaster Recovery'

Timeline/Comments: Procedures to ensure that all important documents are available in a coherent and effective filing system complemented by operational notes will be adopted by the Executive Director by Q1 2016.

- **Standard 12: Information and communication**

Status of implementation: BBI JU should elaborate a documented strategy for external communication, including clearly defined target audiences, messages and action plans.

An Internal Communication strategy shall also be defined.

The BBI JU, together with the other 5 JUs located in the White Atrium building adopted the document 'Common IT Security Policy and Disaster Recovery'.

Timeline/Comments: The adoption of a comprehensive communication strategy is scheduled for the Q1 2016, following the recruitment of the Communication Officer.

Regarding IT security, a mobile device policy will have to be put in place by July 2016 governing the security policies to be enforced on the mobile corporate devices and on the private ones where corporate data is stored

- **Standard: 15 Assessment of internal control systems**

Status of implementation: EC Guidelines on auto-evaluation of the internal control systems and of management of risks apply.

Timeline/Comments: A template for an annual assessment report will be adopted by Q4 2016.



5. MANAGEMENT ASSURANCE

5.1. Assessment of the Annual Activity Report by the Governing Board

The assessment of the 2015 Annual Activity Report by the BBI Governing Board is included as an annex.

5.2. Elements supporting assurance

As explained in previous chapters, BBI operations have been managed by DG RTD Directorate F prior to the financial autonomy of the JU on 26 October 2015. The handover of operations and the granting of full autonomy to BBI JU were based on the conclusion of a Readiness Assessment Report performed by the interim Executive Director of BBI JU, with the agreement of the Executive Director, and approved by the Governing Board of BBI JU. In this report, no significant weaknesses have been mentioned.

The state of implementation of the Internal Control Framework has been presented in chapter 3 above. It is an effective and efficient internal control system based on best international practices and includes, in particular, the elements laid down in Article 32(3) and (4) of Regulation (EU, Euratom) No 966/2012. It takes into account the structure and size of the BBI JU, the nature of the tasks entrusted to it, and the amounts and financial and operational risks involved. Its level of maturity has been evaluated appropriate to support the operational autonomy of the organisation. An action plan has been adopted for outstanding issues, and the framework sets periodic assessments of the Internal Control System.

5.3. Reservations

No weaknesses have been spotted. First audits on financed projects will be done only in 2017 so until then no error rate is measurable. Therefore no reservation is necessary.

5.4. Overall conclusion

In conclusion, the management of the JU has reasonable assurance that, overall, suitable controls are in place and working as intended, and risks are being properly monitored and mitigated.

Therefore, the Director of DG RTD F, in charge of the initial operation of the BBI JU until autonomy and the Executive Director of BBI JU, in their capacity as Authorising Officers for the periods pre- and post-autonomy, have signed the declarations of assurance presented in Chapter 5.



6. DECLARATION OF ASSURANCE

6.1. Declaration of Assurance up to 26/10/2015



Declaration of Assurance up to 26/10/2015

I, the undersigned,

Authorising Officer of the Bio-based Industries Joint Undertaking (BBI JU) until 26 October 2015,

In my capacity as authorising officer by delegation responsible for the establishment and initial operation of the BBI JU until it has the operational capacity to implement its own budget.

Declare that the information contained in this report gives a true and fair view¹.

State that I have reasonable assurance that the resources assigned to the activities described in this report have been used for their intended purpose and in accordance with the principles of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

This reasonable assurance is based on my own judgement and on the information at my disposal, such as the results of the self-assessment, ex-post controls, the work of the internal audit capability, the observations of the Internal Audit Service and the lessons learnt from the reports of the Court of Auditors for years prior to the year of this declaration.

Confirm that I am not aware of anything not reported here which could harm the interests of the Joint Undertaking.

Brussels, 15 June 2016



John Bell

Director Bioeconomy, DG RTD.F

¹ True and fair in this context means a reliable, complete and correct view on the state of affairs in the Joint Undertaking.



6.2. Declaration of Assurance from 26/10/2015 to 31/12/2015



Declaration of Assurance from 26/10/2015 to the 31/12/2015

I, the undersigned, Philippe Mengal

Executive Director of Bio-based industries Joint Undertaking

In my capacity as authorising officer by delegation as from 26 October 2015,

Declare that the information contained in this report gives a true and fair view¹.

State that I have reasonable assurance that the resources assigned to the activities described in this report have been used for their intended purpose and in accordance with the principles of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

This reasonable assurance is based on my own judgement and on the information at my disposal, such as the results of the self-assessment, ex-post controls, the work of the internal audit capability, the observations of the Internal Audit Service and the lessons learnt from the reports of the Court of Auditors for years prior to the year of this declaration.

Confirm that I am not aware of anything not reported here which could harm the interests of the Joint Undertaking.

Brussels, 29 February 2016

Philippe Mengal

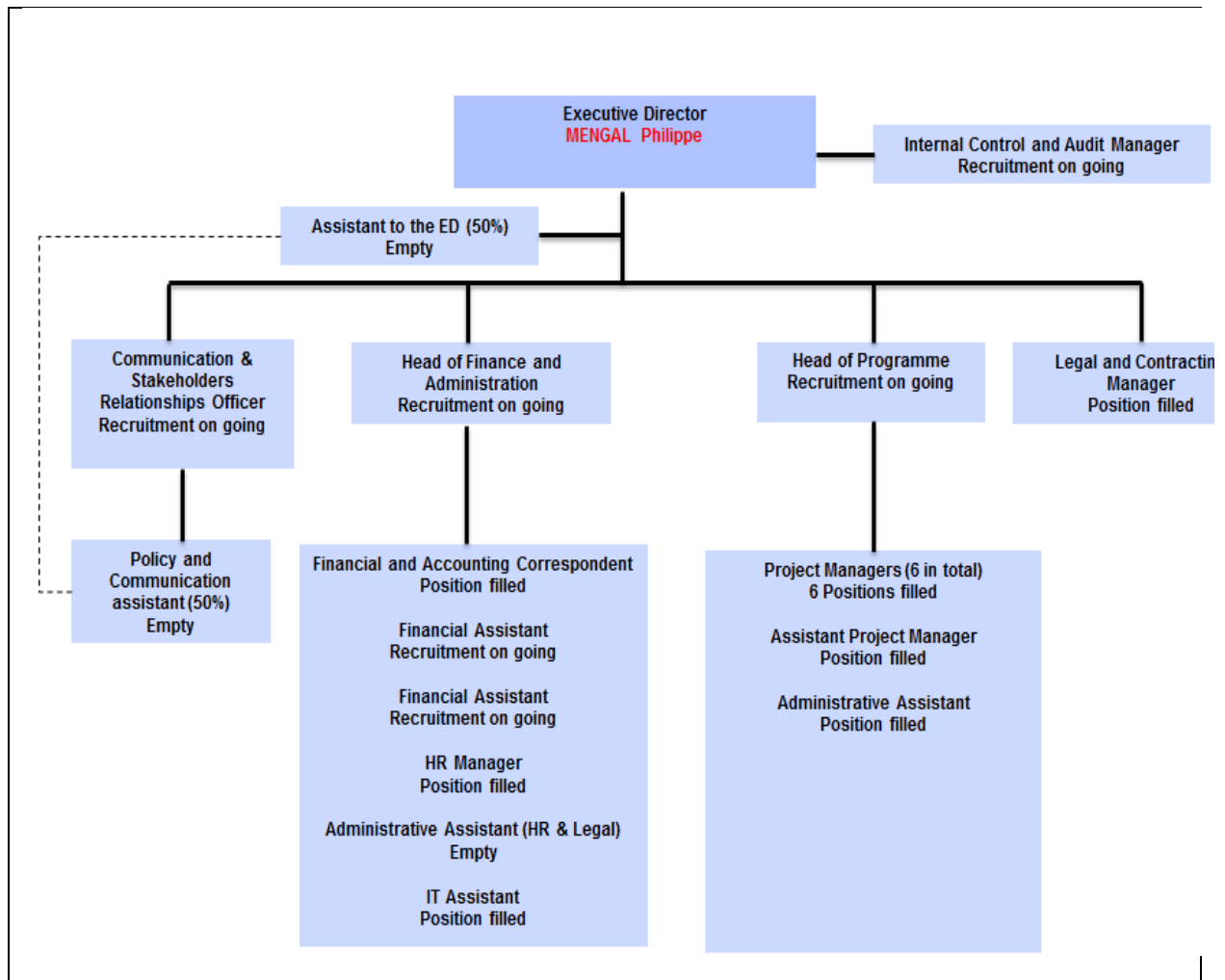
BBI JU Executive Director

¹ True and fair in this context means a reliable, complete and correct view on the state of affairs in the Joint Undertaking.



7. ANNEXES

1. Organisational chart



2. Staff Establishment plan

Function group and grade	2015			
	Request of the Joint Undertaking		Draft Budget Request	
	Permanent posts	Temporary Posts	Permanent posts	Temporary Posts
AD 16				
AD 15				
AD 14		1		1
AD 13		1		1
AD 12				
AD 11		2		2
AD 10		2		2
AD 9				
AD 8		2		2
AD 7		2		2
AD 6				
AD 5				
AD total		10		10
AST 11				
AST 10				
AST 9				
AST 8				
AST 7		3		3
AST 6				
AST 5				
AST 4				
AST 3				
AST 2				
AST 1				
AST total		3		3
AST/SC 6				
AST/SC 5				
AST/SC 4				
AST/SC 3				
AST/SC 2				
AST/SC 1				
AST/SC Total				
TOTAL		13		13
GRAND TOTAL	13		13	

Staff resources also include 5 GF IV and 4 GF III contract agents.



Note:

- 1 AD13 post published as AD7 and to be filled as AD7 in 2016
- 2 AD10 posts published as AD7 and filled as AD7
- 2 AD8 posts published as AD6 and filled as AD6
- 2 AST7 posts published as AST4 and AST2 and filled as AST4 and AST2

3. Publications from projects

As the first 10 BBI JU-funded projects only started in July and August 2015, the main publications produced by the projects themselves are their project-specific websites, which can be found on <http://www.bbi-europe.eu/projects>.

Other publications from projects created in 2015 include promotion materials describing the objectives (not results) of each project, and a limited amount of 'public' deliverables submitted to BBI JU in Q3-Q4 2015.

4. Patents from projects

As the first 10 BBI JU-funded projects only started in July and August 2015, no new patents were available at the end of 2015.

5. Scoreboard of Horizon 2020 common KPIs

Reported in point 1.3.1, see Table I.

6. Indicators for monitoring cross-cutting issues

Reported in point 1.3.1, see Table II.

7. Scoreboard of KPIs specific to BBI JU

Reported in point 1.3.1, see Table III.

8. Draft/final annual accounts

9. Materiality criteria

Not available yet.

10. Results of technical review

Not available yet.



11. List of acronyms

AAR	Annual Activity Report
AWP	Annual Work Plan
BBI JU	Bio-Based Industries Joint Undertaking
BCP	Business Continuity Plan
BIC	Bio-based Industries Consortium
CA	Commitment
CSA	Coordination and Support Actions
CSC	Common Support Centre
DEMOS-IA	Innovation Action for demonstrators
DG AGRI	Directorate-General Agriculture & Rural Development
DG ENTR	Directorate-General Enterprise & Industry
DG HR	Directorate-General Human Resources
DG RTD	Directorate-General Research and Innovation
EC	European Commission
GAP	Grant Agreement preparation
GB	Governing Board of the BBI JU
IAs	Innovation Actions
KPIs	Key Performances Indicators
NCPs	National Contact Points in Horizon 2020
PA	Payments
REA	Research Executive Agency
RIA	Research and Innovation Actions
SC	Scientific Committee of the BBI JU
SIRA	Strategic Innovation and Research Agenda
SMEs	Small and Medium-Size Enterprises
SRG	States Representatives Group of the BBI JU
TTG	Time to Grant
TTI	Time to Inform
TTP	Time to pay



12. Horizon 2020 indicators for Joint Undertakings (KPIs tables I to III)

- Table I shows the Horizon 2020 KPIs which apply to JUs, both under Industrial Leadership and Societal Challenges (Horizon 2020 Key Performance Indicators (Annex II - Council Decision 2013/743/EU)).
- Table II presents all indicators for monitoring of cross-cutting issues which apply to JUs (Annex III - Council Decision 2013/743/EU).
- In tables I and II, the numbers attributed to the indicators correspond with those in the Horizon 2020 indicators approved by the RTD Director-General and agreed by all the Research family DGs (according to Annexes II and III - Council Decision 2013/743/EU). The missing numbers correspond to KPIs not applicable to the JUs.
- KPIs and Indicators that correspond to those approved by the RTD Director-General are presented with a white background in the tables. They are aligned to what has been discussed between the Common Support Centre and the JUs. KPIs and monitoring indicators in tables I and II that do not correspond to those approved by the RTD Director-General are presented with a green background in the tables.
- Table III presents the KPI specific for each JU, as transmitted by the Programme Offices or the operational services.



TABLE I

Horizon 2020 Key Performance Indicators¹⁹ common to all JUs

		Key Performance Indicator	Definition/responding to question	Type of data required	Data to be provided by	Baseline at the Start of Horizon 2020 (latest available)	Target at the end of Horizon 2020	Automated
INDUSTRIAL LEADERSHIP	12	SME - Share of participating SMEs introducing innovations new to the company or the market (covering the period of the project plus three years);	Based on Community Innovation Survey (?). Number and % of participating SMEs that have introduced innovations to the company or to the market;	Number of SMEs that have introduced innovations;	BBi JU beneficiaries through project reporting	n.a. [<u>new approach</u> under Horizon 2020]	50%	Yes
	13	SME - Growth and job creation in participating SMEs	Turnover of company, number of employees	Turnover of company, number of employees;	BBi JU beneficiaries through project reporting	n.a. [<u>new approach</u> under Horizon 2020]	To be developed based on FP7 ex-post evaluation and /or first Horizon 2020 project results	Yes
SOCIETAL CHALLENGES	14	Publications in peer-reviewed high impact journals	The percentage of papers published in the top 10% impact ranked journals by subject category.	Publications from relevant funded projects (DOI: Digital Object Identifiers); Journal impact benchmark (ranking) data to be collected by commercially available bibliometric databases.	BBi JU beneficiaries through project reporting; Responsible Directorate/Service (via access to appropriate bibliometric	n.a. [<u>new approach</u> under Horizon 2020]	[<u>On average, 20 publications per €10 million funding (for all societal challenges)</u>]	Yes

¹⁹ Based on Annex II (PERFORMANCE INDICATORS) to Council Decision 2013/743/EU).



		Key Performance Indicator	Definition/responding to question	Type of data required	Data to be provided by	Baseline at the Start of Horizon 2020 (latest available)	Target at the end of Horizon 2020	Automated
					databases)			
	15	Patent applications and patents awarded in the area of the JTI	Number of patent applications by theme; Number of awarded patents by theme	Patent application number	BBi JU beneficiaries through project reporting; Responsible Directorate/Service (via worldwide search engines such as ESPACENET, WOPI)	n.a. [<u>new approach</u> under Horizon 2020]	On average, 2 per €10 million funding (2014 - 2020) RTD A6	Yes
	16	Number of prototypes testing activities	Number of prototypes, testing (feasibility/demo) activities, clinical trials	Reports on prototypes, and testing activities, clinical trials	BBi JU beneficiaries through project reporting	n.a. [<u>new approach</u> under Horizon 2020]	[To be developed on the basis of first Horizon 2020 results]	Yes
	17	Number of joint public-private publications in projects	Number and share of joint public-private publications out of all relevant publications.	Properly flagged publications data (DOI) from relevant funded projects	BBi JU beneficiaries through project reporting; Responsible Directorate/Service (via DOI and manual data input-flags)	n.a. [<u>new approach</u> under H202]	[To be developed on the basis of first Horizon 2020 results]	Yes
	18*	New products, processes, and methods launched into the market	Number of projects with new innovative products, processes, and methods,	Project count and drop down list allowing to choose the type processes, products, methods,	BBi JU beneficiaries through project reporting	n.a. [<u>new approach</u> under Horizon 2020]	[To be developed on the basis of first Horizon 2020 results]	Yes



		Key Performance Indicator	Definition/responding to question	Type of data required	Data to be provided by	Baseline at the Start of Horizon 2020 (latest available)	Target at the end of Horizon 2020	Automated
EVALUATION	NA	Time to inform (TTI) <u>all applicants</u> of the outcome of the evaluation of their application from the final date for submission of completed proposals	To provide applicants with high quality and timely evaluation results and feedback after each evaluation step by implementing and monitoring a high scientific level peer reviewed process	Number and % of information letters sent to applicants within target Average TTI (calendar days) Maximum TTI (calendar days)	BBi JU	FP7 latest know results?	153 calendar days	Yes
	NA	Redress after evaluations	To provide applicants with high quality and timely evaluation results and feedback after each evaluation step by implementing and monitoring a high scientific level peer reviewed process	Number of redresses requested	BBi JU	FP7 latest know results?		
GRANTS	NA	Time to grant (TTG) measured (average) from Call deadline to signature of grants	To minimise the duration of the granting process aiming at ensuring a prompt implementation of the Grant Agreements through a simple and transparent Grant preparation process	Number and % of grants signed within target Average TTG in calendar days Maximum TTG in calendar days	BBi JU	n.a. [new approach under Horizon 2020]	TTG < 243 days (as %of GAs signed)	Yes
	NA	Time to sign (TTS) grant agreements from the date of informing successful applicants (information letters)		Number and % of grants signed within target Average TTG in calendar days Maximum TTG in calendar days	BBi JU	n.a. [new approach under Horizon 2020]	TTS 92 calendar days	Yes



		Key Performance Indicator	Definition/responding to question	Type of data required	Data to be provided by	Baseline at the Start of Horizon 2020 (latest available)	Target at the end of Horizon 2020	Automated
PAYMENTS	NA	Time to pay (TTP) (% made on time) -pre-financing - interim payment -final payment	To optimize the payments circuits, both operational and administrative, including payments to experts	Average number of days for Grants pre-financing, interim payments and final payments; Average number of days for administrative payments; Number of experts appointed	BBi JU	FP7 latest know results?	-pre-financing (30 days) - interim payment (90 days) -final payment ((90days)	Yes
HR	NA	Vacancy rate (%)		% of post filled in, composition of the JU staff ²⁰	BBi JU	n.a. [new approach under Horizon 2020]		
JU EFFICIENCY	NA	Budget implementation/execution: 1. % CA to total budget 2. % PA to total budget	Realistic yearly budget proposal, possibility to monitor and report on its execution, both in commitment (CA) and payments (PA), in line with sound financial management principle	% of CA and PA	BBi JU		100% in CA and PA	Yes
	NA	Administrative Budget: Number and % of total of late payments	Realistic yearly budget proposal, possibility to monitor and report on its execution in line with sound financial management principle	Number of delayed payments % of delayed payments (of the total)	BBi JU			Yes

NOTES:

18* This indicator is not a legally compulsory one, but it covers several additional specific indicators requested for more societal challenges by the services in charge.

²⁰ Additional indicators can be proposed/discussed with R.1 and/or DG HR



TABLE II

Indicators for monitoring Horizon 2020 Cross-Cutting Issues²¹ common to all JUs

	Cross-cutting issue	Definition/Responding to Question	Type of Data Required	Data to be Provided by	Data to be Provided in/to	Direct Contribution to ERA	Automated
2	Widening the participation	2.1 Total number of participations by EU-28 Member State	Nationality of BBI JU applicants & beneficiaries (number of)	BBI JU applicants & beneficiaries at the submission and Grant Agreement signature stage	JU AAR RTD Monitoring Report	YES	Yes
		2.2 Total amount of EU financial contribution by EU-28 Member State (EUR millions)	Nationality of BBI JU beneficiaries and corresponding EU financial contribution	BBI JU beneficiaries at Grant Agreement signature stage	JU AAR RTD Monitoring Report	YES	Yes
NA		Total number of participations by Associated Countries	Nationality of BBI JU applicants & beneficiaries (number of)	BBI JU applicants & beneficiaries at the submission and Grant Agreement signature stage	JU AAR RTD Monitoring Report	YES	Yes
NA		Total amount of EU financial contribution by Associated Country (EUR millions)	Nationality of BBI JU beneficiaries and corresponding EU financial contribution	BBI JU beneficiaries at Grant Agreement signature stage	JU AAR RTD Monitoring Report	YES	Yes
3	SMEs participation	3.1 Share of EU financial contribution going to SMEs (Enabling & industrial tech and Part III of Horizon 2020)	Number of BBI JU beneficiaries flagged as SME; % of EU contribution going to beneficiaries flagged as SME	BBI JU beneficiaries at Grant Agreement signature stage	JU AAR RTD Monitoring Report		Yes

²¹ (based on Annex III to Council Decision 2013/743/EU)



	Cross-cutting issue	Definition/Responding to Question	Type of Data Required	Data to be Provided by	Data to be Provided in/to	Direct Contribution to ERA	Automated
6	Gender	6.1 Percentage of women participants in BBI JU projects	Gender of participants in BBI JU 2020 projects	BBI JU Beneficiaries through project reporting	JU AAR	YES	Yes
		6.2 Percentage of women project coordinators in BBI JU	Gender of MSC fellows, ERC principle investigators and scientific coordinators in other Horizon 2020 activities	BBI JU beneficiaries at the Grant Agreement signature stage	JU AAR	YES	Yes
		6.3 Percentage of women in BBI JU advisory groups, expert groups, evaluation panels, individual experts, etc.	Gender of memberships in advisory groups, panels, etc.	Compiled by Responsible Directorate/ Service/Joint Undertaking based on existing administrative data made available by the CSC	JU AAR	YES	
7	International cooperation	7.1 Share of third-country participants in BBI JU	Nationality of Horizon 2020 beneficiaries	BBI JU beneficiaries at the Grant Agreement signature stage	JU AAR RTD Monitoring Report	YES	Yes
		7.2 Percentage of EU financial contribution attributed to third country participants	Nationality of Horizon 2020 beneficiaries and corresponding EU financial contribution	BBI JU beneficiaries at the Grant Agreement signature stage	JU AAR RTD Monitoring Report	YES	Yes
9	Bridging from discovery to market ²²	9.1 Share of projects and EU financial contribution allocated to Innovation Actions (IAs)	Number of IA proposals and projects properly flagged in the WP; follow up at grant level.	Project Office – at GA signature stage he/she will be required to flag on SYGMA. Responsible Directorate/Service (WP coordinator)/Joint Undertaking - via tool CCM2	JU AAR RTD Monitoring Report		Yes

²² This indicator (9.2) is initially intended to monitor the Digital Agenda (its applicability could be only partial)



	Cross-cutting issue	Definition/Responding to Question	Type of Data Required	Data to be Provided by	Data to be Provided in/to	Direct Contribution to ERA	Automated
		9.2 Within the innovation actions, share of EU financial contribution focussed on demonstration and first-of-a-kind activities	Topics properly flagged in the WP; follow-up at grant level	Responsible Directorate/Service (WP coordinator)/Joint Undertaking - via tool CCM2	JU AAR RTD Monitoring Report		Yes
NA		Scale of impact of projects (High Technology Readiness Level)	Number of projects addressing TRL ²³ between ...(4-6, 5-7)?	BBi JU	JU AAR RTD Monitoring Report		
11	Private sector participation	11.1 Percentage of BBi JU beneficiaries from the private for profit sector	Number of and % of the total BBi JU beneficiaries classified by type of activity and legal status	BBi JU beneficiaries at Grant Agreement signature stage	JU AAR RTD Monitoring Report		Yes
		11.2 Share of EU financial contribution going to private for profit entities (Enabling & industrial tech and Part III of Horizon 2020)	BBi JU beneficiaries classified by type of activity; corresponding EU contribution	BBi JU beneficiaries at Grant Agreement signature stage	JU AAR RTD Monitoring Report		Yes
12	Funding for PPPs	12.1 EU financial contribution for PPP (Art 187)	EU contribution to PPP (Art 187)	Responsible Directorate/Service/	JU AAR		Yes
		12.2 PPPs leverage: total amount of funds leveraged through Art. 187 initiatives, including additional activities, divided by the EU contribution	Total funding made by private actors involved in PPPs - in kind contribution already committed by private members in project selected for funding - additional activities (i.e. research expenditures/investment of industry in the sector, compared to previous year)	BBi JU Services	JU AAR RTD Monitoring Report JU annual accounts (part of)		

²³ TRL: Technology Readiness Level



	Cross-cutting issue	Definition/Responding to Question	Type of Data Required	Data to be Provided by	Data to be Provided in/to	Direct Contribution to ERA	Automated
13	Communication and dissemination	13.3 Dissemination and outreach activities other than peer-reviewed publications - [Conferences, workshops, press releases, publications, flyers, exhibitions, trainings, social media, web-sites, communication campaigns (e.g. radio, TV)]	A drop down list allows choice of the type of dissemination activity. Number of events, funding amount and number of persons reached thanks to the dissemination activities	BBi JU Beneficiaries through project reporting	JU AAR RTD Monitoring Report	YES	Yes
14	Participation patterns of independent experts	14.2 Proposal evaluators by country	Nationality of proposal evaluators	Responsible Directorate/Service/Joint Undertaking in charge with the management of proposal evaluation	JU AAR		
		14.3 Proposal evaluators by organisations' type of activity	Type of activity of evaluators' organisations	Responsible Directorate/Service/Joint Undertaking in charge with the management of proposal evaluation	JU AAR	YES	
NA	Participation of RTOs and Universities	Participation of RTO ²⁴ s and Universities in PPPs (Art 187 initiatives)	Number of participations of RTOs to funded projects and % of the total Number of participations of Universities to funded projects and % of the total % of budget allocated to RTOs and to Universities	BBi JU beneficiaries at the Grant Agreement signature stage	JU AAR RTD Monitoring Report	YES	Yes
NA	Ethics	The objective is ensuring that research projects funded are compliant with provisions on ethics efficiently	% of proposals not granted because non-compliance with ethical rules/proposals invited to grant (target 0%); time to ethics clearance (target 45 days) ²⁵	Responsible Directorate/Service/Joint Undertaking	JU AAR RTD Monitoring Report		

²⁴ RTO: Research and Technology Organisation

²⁵ Data relates to pre-granting ethics review. This time span runs in parallel to granting process.



	Cross-cutting issue	Definition/Responding to Question	Type of Data Required	Data to be Provided by	Data to be Provided in/to	Direct Contribution to ERA	Automated
NA	Audit	Error rate	% of common representative error; % residual error	CAS	JU AAR RTD Monitoring Report		Yes
NA		Implementation of ex-post audit results	Number of cases implemented; in total €million; ' of cases implemented/total cases	CAS	JU AAR RTD Monitoring Report		Yes

Notes:

* Horizon 2020 applicants - all those who submitted Horizon 2020 proposals

* Horizon 2020 beneficiaries - all those who have signed a Horizon 2020 Grant Agreement

*Responsible Directorate - DG RTD Directorates and R&I DGs family in charge with management of Horizon 2020 activities

*Services -Executive Agencies and other external bodies in charge with Horizon 2020 activities

*Project officer - is in charge of managing Horizon 2020 projects in Responsible Directorate/Service including Executive Agencies



TABLE III

Key Performance Indicators specific for each single JU

#	Key Performance Indicator	Objective	Data to be Provided by	Baseline at the Start of BBI JU	Target at the End of BBI JU	Automated
BBI JU						
1	PPP leverage: - in cash contribution already committed by private members in project selected for funding	Private funding balancing public funding in all project types	BBI JU	n.a.	On programme level a total of 975 M Euro of private in kind /in-cash funding leverages the public funding	Yes
2	Balance (%) of R&D, demonstration and supporting projects	Reach an appropriate balance between research, innovation and deployment	BBI JU	n.a.	On programme level reach a balance of 30 – 30 – 34 % (of public funding	Yes
3	N° of new cross-sector interconnections in BBI projects	36 new cross-sector interconnections in bio-based economy clusters (new bridges creating cooperation between the 9 different sectors);	BBI JU	n.a.	36	
4	New bio-based value chains realised	At least 10 new bio-based value chains (new products and feedstock);	BBI JU	n.a.	10	
5	Number of new bio-based building blocks	5 new building blocks based on biomass of European origin validated at demonstration scale, further	BBI JU	n.a.	5	Yes



#	Key Performance Indicator	Objective	Data to be Provided by	Baseline at the Start of BBI JU	Target at the End of BBI JU	Automated
		increasing to 10 in 2030;				
6	Number of new bio-based materials	50 new bio-based materials (e.g. such as specialty fibres, plastics, composites and packaging solutions);	BBI JU	n.a.	50	
7	Number of new bio-based 'consumer' products	30 new demonstrated 'consumer' products based on bio-based chemicals and materials;	BBI JU	n.a.	<u>30</u>	
8	Number of flagship biorefinery plants started based on BBI demonstration projects	At least 5 flagships resulting from the BBI producing new bio-based materials, chemicals and fuels which have proven to become cost-competitive to the alternatives based on fossil resources (at least 1 per value chain);	BBI JU	n.a.	<u>5</u>	Yes