



## **DECISION OF THE GOVERNING BOARD**

**adopting the Shift2Rail Joint Undertaking's Budget for 2016**

**N° 19/2015**

THE GOVERNING BOARD OF THE SHIFT2RAIL JOINT UNDERTAKING,

Having regard to the Statutes annexed to Council Regulation (EU) No 642/2014 on the Shift2Rail Joint Undertaking (hereinafter "the S2R JU Statutes") and in particular Article 8(h) thereof;

Having regard to the Financial Rules of the Shift2Rail Joint Undertaking (hereinafter "the S2R JU Financial Rules") adopted by Decision N° 21/2015 the Shift2Rail Joint Undertaking's Governing Board of 11 December 2015 and in particular Article 15 thereof.

Whereas:

The Governing Board of Shift2Rail Joint Undertaking is empowered to adopt the Shift2Rail Joint Undertaking 's annual budget, as proposed by the Executive Director, including the staff establishment plan indicating the number of temporary posts by function group and by grade as well as the number of contract staff and seconded national experts expressed in full-time equivalents;

HAS DECIDED AS FOLLOWS:

### *Article 1*

The annual budget of the Shift2Rail Joint Undertaking for 2016 set out in the Annex is adopted.

### *Article 2*

The Executive Director shall make this decision publicly available on the Shift2Rail Joint Undertaking's website.

*Article 3*

This decision shall enter into force on the day following that of its adoption.

Done at Brussels, on 11 December 2015

For the Governing Board



Henrik HOLELEI  
The Chairperson

Annex: Shift2Rail Joint Undertaking Annual Budget for 2016

# **SHIFT2RAIL JOINT UNDERTAKING**

**BUDGET 2016**

## Overviews

### Human Resources

Human Resources	2014		2015	2016
	Authorised under the Budget	actually filled as of 31/12/2014	Authorised under the Budget	Budget
Establishment plan posts : AD	2	1	4	4
Establishment plan posts : AST				
Establishment plan posts : AST/SC				
<b>Total Establishment plan posts</b>	<b>2</b>	<b>1</b>	<b>4</b>	<b>4</b>
Contract Agents	4	3	10	13
Seconded National Experts	0	0	0	0
<b>TOTAL STAFF</b>	<b>6</b>	<b>4</b>	<b>14</b>	<b>17</b>

### Financial Contribution to be collected or received (1)

REVENUES	2014	2015	2016
	Executed Budget	Budget	Budget
EU contribution (Incl EFTA)	18 047	1 352 212	26 509 179
Contributions from the members other than the Union	0	1 352 212	1 620 687
<b>TOTAL REVENUES</b>	<b>18 047</b>	<b>2 704 424</b>	<b>28 129 866</b>

(1) The industry contribution towards the 2014 budget as well as the part of the 2015 industry contribution not received in 2015 are foreseen to be collected in 2016. An amendment to the total contribution to be collected in 2016 will be introduced once the final amounts due have been confirmed.

### Expenditure (1)

EXPENDITURE	Appropriations Executed Budget 2014		Appropriations Budget 2015		Appropriations Budget 2016	
	Commitment	Payment	Commitment	Payment	Commitment	Payment
Title 1 - Staff expenditure	15 816	11 682	861 014	861 014	1 253 928	1 253 928
Title 2 - Infrastructure and operating expenditure	252 675	6 365	1 843 410	1 843 410	1 987 446	1 987 446
Title 3 - Operational expenditure	N/A	N/A	45 334 167	0	45 248 848	24 888 492
<b>TOTAL EXPENDITURE</b>	<b>268 491</b>	<b>18 047</b>	<b>48 038 591</b>	<b>2 704 424</b>	<b>48 490 222</b>	<b>28 129 866</b>

(1) The industry contribution towards the 2014 budget as well as the part of the 2015 industry contribution not received in 2015 are foreseen to be collected in 2016. An amendment to the

total expenditure 2016 will be made once the final amounts of the contributions 2014 and 2015 have been confirmed.

## 1. Staff Establishment Plan

### *Establishment plan posts*

Function group and grade	2014				2015		2016	
	Authorised Budget		Filled as of 31/12/2014		Authorised Budget		Budget	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16								
AD 15								
AD 14		1				1		1
AD 13								
AD 12								
AD 11								
AD 10								
AD 9		1				2		2
AD 8						1		
AD 7								
AD 6								
AD 5				1				1
AD TOTAL	0	2	0	1	0	4	0	4
AST 1-11								
AST TOTAL	0	0	0	0	0	0	0	0
AST/SC 1-6								
AST/SC TOTAL	0	0	0	0	0	0	0	0
TOTAL		2		1		4		4
GRAND TOTAL	2		1		4		4	

### *External personnel*

Contract agents	Authorised 2014	Recruited as of 31/12/2014	2015 estimate	Budget 2016
Function Group IV	2	3	5	7
Function Group III	1		3	3
Function Group II	1		2	3
Function Group I				
TOTAL	4	3	10	13

### *Seconded National Expert*

Seconded National Experts	2014 Authorised Budget	Filled as of 31/12/2014	2015 Authorised Budget	2016 Budget
TOTAL	0	0	0	0

## 2. Revenue

REVENUES	Revenues					
	Appropriations Executed Budget 2014		Appropriations Budget 2015		Appropriations Budget 2016	
	Commitment	Payment	Commitment	Payment	Commitment	Payment
<b>EU CONTRIBUTION incl EFTA</b>	<b>268 491</b>	<b>18 047</b>	<b>46 686 379</b>	<b>1 352 212</b>	<b>46 869 535</b>	<b>26 509 179</b>
- Administrative (Title 1 and Title 2)	268 491	18 047	1 352 212	1 352 212	1 620 687	1 620 687
- Operational (Title 3)			45 334 167	0	45 248 848	24 888 492
<b>CONTRIBUTION FROM MEMBERS OTHER THAN THE UNION (1)</b>	<b>0</b>	<b>0</b>	<b>1 352 212</b>	<b>1 352 212</b>	<b>1 620 687(1)</b>	<b>1 620 687(1)</b>
<b>TOTAL</b>	<b>268 491</b>	<b>18 047</b>	<b>48 038 591</b>	<b>2 704 424</b>	<b>48 490 222</b>	<b>28 129 866</b>

(1) The industry contribution towards the 2014 budget as well as the part of the 2015 industry contribution not received in 2015 are foreseen to be collected in 2016. An amendment to the total contribution to be collected in 2016 will be introduced once the final amounts due have been confirmed.

### 3. Expenditure

EXPENDITURE		Appropriations Executed Budget 2014		Appropriations Budget 2015		Appropriations Budget 2016	
		Commitment	Payment	Commitment	Payment	Commitment	Payment
<b>Ch</b>	<b>Title 1 - Staff expenditure</b>	<b>15 816</b>	<b>11 682</b>	<b>861 014</b>	<b>861 014</b>	<b>1 253 928</b>	<b>1 253 928</b>
<b>11</b>	<b>Salaries &amp; allowances</b>	5 656	5 656	636500	636500	1 048 856	1 048 856
	- <i>Establishment plan posts</i>			276 500	276 500	439 102	439 102
	- <i>External personnel</i>	5 656	5 656	360 000	360 000	609 754	609 754
<b>13</b>	<b>Mission expenses</b>	3 273	3 273	42 000	42 000	91 812	91 812
<b>15</b>	<b>Training</b>			13 500	13 500	33 931	33 931
<b>19</b>	<b>Other Staff related expenditure</b>	6 887	2 753	169 014	169 014	79 329	79 329
<b>Ch</b>	<b>Title 2 - Infrastructur e and operating expenditure</b>	<b>252 675</b>	<b>6 365</b>	<b>1 843 410</b>	<b>1 843 410</b>	<b>1 987 446</b>	<b>1 987 446</b>
<b>20</b>	<b>Rental of buildings and associated costs</b>	24 970		295 000	295 000	357 270	357 270
<b>21</b>	<b>Information, communicati on technology and data processing</b>			401 000	401 000	136 721	136 721
<b>22</b>	<b>Movable property and associated costs</b>	150 000		558 410	558 410	32 933	32 933
<b>23</b>	<b>Current administrativ e expenditure</b>			30000	30000	55 886	55 886
<b>24</b>	<b>Postage / Telecommuni cations</b>			1 000	1 000	24 949	24 949
<b>25</b>	<b>Meeting expenses</b>	6 365	6 365	80 000	80 000	89 816	89 816
<b>26</b>	<b>Running costs in connection with operational activities</b>			178 000	178 000	424 133	424 133

27	Information and publishing			175 000	175 000	444 092	444 092
29	Other infrastructure and operating expenditure	71 340		125 000	125 000	421 647	421 647
Ch	Title 3 - Operational expenditure	0	0	45 334 167	0	45 248 848	24 888 492
	<b>TOTAL</b>	<b>268 491</b>	<b>18 047</b>	<b>48 038 591</b>	<b>2 704 424</b>	<b>48 490 222</b>	<b>28 129 866</b>



#### 4. Quarterly estimate of cash payments and receipts

	1Q2016	2Q2016	3Q2016	4Q2016
<b>Starting Balance</b>		27 319 522	1 620 687	810 343
<b>Receipts</b>	28 129 866			
<b>Payments Administrative</b>	810 344	810 343	810 344	810 343
<b>Payments Operational</b>		24 888 492		
<b>End Balance</b>	27 319 522	1 620 687	810 343	0

The table has been created to show the difference in schedules on administrative and operational payments. The administrative expenditure has been divided equally throughout the year. The operational payments are provisionally foreseen in the second quarter 2016.

After the adoption of the Work Plan 2016, in case the payment appropriations for the year 2016 are not sufficient to cover the planned activities, additional payment appropriations will be requested from the Commission.

#### 5. Indicative schedule of payments in subsequent years

	Commitment Appropriations	Commitment Appropriations	Payment Appropriations		
	Budget 2015	Budget 2016	Budget 2016	Estimate 2017	Estimate 2018 and onwards
<b>2015 Operational Budget</b>	45 334 167		22 667 084		22 667 084
<b>2016 Administrative Expenditure</b>		3 241 374	3 241 374		
<b>2016 Operational Expenditure</b>		45 248 848	2 221 408	20 403 016	22 624 424
<b>Total</b>	45 334 167	48 490 222	28 129 866	20 403 016	45 291 508

This schedule of payments is to show the amount of Commitment Appropriations requested in 2016 and the Payment Appropriations required in 2016 and in the subsequent years to meet them. In line with H2020 rules, after the signature of grant agreements a pre-financing of 50% is foreseen. Further payments are foreseen after the reporting periods.

The in-kind contribution has **not** been included in these figures.

It should be noted that this table does not reflect any payments due from H2020 2014 MG.2 call under the Horizon 2020 Transport Work Programme 2014-2015 which are foreseen to be transferred under S2R JU management at the moment of financial autonomy. .

## 6. The overview of the financial contributions and a commitment of in-kind contributions from the Members other than the Union

This table shows the financial contributions foreseen for the given budget towards the administrative expenditure (Title 1 and Title 2) year and **the minimum** in-kind contribution foreseen towards the indirect actions in activities identified in the Work Plan of the given year. The amount of in-kind contribution foreseen is to cover the complete duration of the activity and not only the year under which it has been detailed.

CONTRIBUTIONS OVERVIEW	2014	2015	2016
CONTRIBUTIONS FROM MEMBERS OTHER THAN THE UNION	-	1 352 212	81 260 019
<i>Title 1 and Title 2 (financial)</i>	0 (1)	1 352 212	1 620 687 (1)
<i>Title 3 (in-kind)</i>	-		79 639 334 (2)
TOTAL CONTRIBUTIONS	0	1 352 212	81 260 019

(1) A contribution from the industry towards the budget 2014 is foreseen to be collected in 2016. This has not been included in the figures represented here.

(2) It is foreseen that calls for proposals for members included in 2015 and 2016 Annual Work Plans will be launched at the same time in Q4 2015. The resulting grants will be signed in 2016, thus the indicative minimum in-kind contributions from members to indirect actions are accounted for in 2016 budget (at minimum € 43 257 786 for 2015 and € 36 381 548 for 2016). This estimate is a minimum commitment from the members, and it might be further amended if the call amounts would change.