



European Securities and
Markets Authority

Budget 2020 amendment n.3



ESMA Revenue for 2020 – amendment n.3

Source of revenue	Budget 2020 n2 In Euro	Amending budget No.3/2020 In Euro	New amount after Budget Amendment 3/2020 In Euro
Contribution from National Competent Authorities from the Member States	22,015,379	- 800,212	21,215,167
Contribution from the European Union	17,389,880	- 1,725,723	15,664,157
Credit Rating Agencies' Fees	9,663,091	-17,125	9,645,966
Trade Repositories' Fees	2,841,976	- 128,493	2,713,483
SFTR Fees	527,182	-60,472	466,710
STS Fees	350,758	-112,047	238,711
EMIR 2.2.		1,717,620	1,717,620
Contribution from Observers	625,437	-22,733	602,704
Contribution from National Supervisory Authorities for delegated tasks	1,697,615		1,697,615
TOTAL	55,111,318	-1,149,185	53,962,133

ESMA Budgeted Expenditure for 2020 n.3

TITLE	Description	2020 Budget appropriations after Budget Reviews and Budget amendment 2/2020	Amending Budget No. 3/2020	New amount after Budget Amendment 3/2020
Chapter				
1	STAFF EXPENDITURE			
11	Staff in active employment	31,113,118	-837,185	30,275,933
12	Expenditure relating to staff management and recruitment	500,000	0	500,000
14	Socio-medical infrastructure	763,000	-42,000	721,000
16	Training	307,000	-20,000	287,000
1	TOTAL TITLE I	32,683,118	-899,185	31,783,933

2	INFRASTRUCTURE AND ADMINISTRATIVE EXPENDITURE			
20	Rental of building and associated costs	6,380,000		6,380,000
21	Information and communication technology	450,000		450,000
23	Current administrative expenditure	1,235,000	-20000	1,215,000
27	Representation expenses, receptions and events	6,000		6,000
2	TOTAL TITLE II	8,071,000	-20,000	8,051,000

3	OPERATING EXPENDITURE			
31	Training for a common supervisory culture	25,000		25,000
32	Collection of information: IT projects	9,695,000		9,695,000
34	Legal advice	75,000		75,000
35	Access to data for Economic Research	600,000		600,000
36	Mission expenses, travel and incidental expenses	400,000	-150000	250,000
37	Communications	727,200		727,200
38	Meeting expenses	360,000	-80,000	280,000
39	Services on operational matters	25,000		25,000
3	TOTAL TITLE III	11,907,200	-230,000	11,677,200

4	DELEGATED TASKS			
40	Single interface to Trade Repositories	400,000		400,000
41	Instruments Reference Data	2,050,000		2,050,000
4	TOTAL TITLE IV	2,450,000	0	2,450,000
TOTAL EXPENDITURE		55,111,318	-1,149,185	53,962,133

2020 Establishment Plan

Function group and grade	Posts (temporary agent)		Function group and grade	Posts (temporary agent)
AD 16	2			
AD 15	3		AST 11	
AD 14			AST 10	
AD 13	3		AST 9	
AD 12	7		AST 8	2
AD 11	14		AST 7	3
AD 10	17		AST 6	3
AD 9	39		AST 5	3
AD 8	30		AST 4	1
AD 7	57		AST 3	
AD 6	10		AST 2	
AD 5	32		AST 1	
AD total	214		AST total	12
TOTAL 226				

Annex 1: 2020 BUDGET AMENDMENT No.3 - REVENUE (in EUR)

2020 REVENUE	2020 REVENUE Opening budget for 2020	2020 REVENUE AMENDMENT No.1 [A]	2020 REVENUE AMENDMENT No.2 [B]	AMENDMENT No.3 OF 2020 BUDGET (C)	2020 REVENUE FOLLOWING AMENDMENT No.3 (B+C)	% revenue source in 2020
Fees Direct Supervision - TOTAL	13,383,007	13,383,007	13,383,007	1,399,484	14,782,491	27.6%
CRA	9,663,091	9,663,091	9,663,091	-17,125	9,645,966	18.0%
TR	2,841,976	2,841,976	2,841,976	-128,493	2,713,483	5.1%
SFTR	527,182	527,182	527,182	-60,472	466,710	0.9%
STS	350,758	350,758	350,758	-112,047	238,711	0.4%
EMIR 2.2.				1,717,620	1,717,620	3.2%
NCA's contribution - TOTAL	24,004,816	24,004,816	24,004,816	-822,945	23,181,871	43.2%
NCA's contribution (MFF, ESAs Review and CMU)	22,640,816	22,640,816	22,640,816	-822,945	21,817,871	40.7%
NCA's contribution to FIRDS	1,364,000	1,364,000	1,364,000	0	1,364,000	2.5%
EU subsidy and EU advances - TOTAL	20,112,045	17,639,880	17,389,880	-1,725,723	15,664,157	29.2%
EU subsidy (MFF, ESAs Review and CMU)	14,075,198	14,075,198	13,825,198	-308,405	13,516,793	25.2%
EU subsidy contribution to FIRDS	686,000	686,000	686,000	0	686,000	1.3%
EU advance EMIR 2.2	2,788,216	1,400,000	1,400,000	-1,400,000	0	0.0%
EU advance Benchmarks (ESAs Review direct supervision)	515,249	229,648	229,648	-12,483	217,165	0.4%
EU advance Data Service Providers (ESAs Review direct supervision)	2,047,382	1,249,034	1,249,034	-4,836	1,244,198	2.3%
Participation charges (ESMA 2020 conference)	200,000	0	0	0	0	0
SUB-TOTAL BUDGET (Fees, NCA's contributions, EU Subsidy, EU advances, FIRDS, Participation charges)	57,699,868	55,027,703	54,777,703	-1,149,185	53,628,518	100%
Annual contribution of NCA's and other external entities to TRACE	333,615	333,615	333,615	0	333,615	
TOTAL BUDGET	58,033,483	55,361,318	55,111,318	-1,149,185	53,962,133	

Annex 2: 2020 BUDGET AMENDMENT N.3 - EXPENDITURE (in EUR)

TITLE		2020 EXPENDITURE (Opening budget for 2020)	2020 EXPENDITURE (Amendment N.1) [A]	2020 EXPENDITURE (Amendment N.2) [B]	2020 EXPENDITURE (Budget transfer in July) [C]	AMENDMENT N.3 OF 2020 BUDGET (D)	2020 EXPENDITURE FOLLOWING AMENDMENT N.3 (C+D)	BUDGETARY COMMENTS
Chapter	Article							
Items								
1	TITLE 1 - STAFF EXPENDITURE							
11	Staff in active employment							
110	<i>Staff under Staff Regulations</i>							
1100	Staff salaries, allowances, insurance and grants	31,448,000	29,572,632	29,322,632	28,763,432	-1,290,800	27,472,632	Includes all salary related costs for TAs, CAs, SNEs and trainees
112	<i>Temporary workers</i>							
1120	Temporary workers	15,000	55,000	55,000	37,000	-12,000	25,000	Interims
113	<i>Contributions by the agency to pension scheme</i>							
1133	Contribution by the agency to pension scheme	3,377,483	2,397,686	2,397,686	2,312,686	465,615	2,778,301	Legal requirement under the recent change in the Staff Regulations
12	Expenditure relating to staff management and recruitment							
120	<i>Expenditure relating to staff management and recruitment</i>							
1200	Expenditure relating to staff management and recruitment	600,000	500,000	500,000	500,000	0	500,000	Recruitment costs, reimbursement of candidates, visibility of vacancy notices, SLAs with other institutions
14	Socio-medical infrastructure							
140	<i>Medical service</i>							
1400	Medical service	75,000	70,000	70,000	42,000	0	42,000	Medical check ups for staff, in line with the Staff Regulations
141	<i>Schools and kindergartens</i>							
1410	Schools and kindergartens	120,000	100,000	100,000	176,000	58,000	234,000	Expenditure in line with Social Measure approved by the Board in 2016
142	<i>Canteen</i>							
1420	Canteen and associated services	625,000	600,000	600,000	545,000	-100,000	445,000	ESMA's contribution to canteen costs and others
16	Training							
160	<i>Training</i>							
1600	Training	305,000	230,000	230,000	307,000	-20,000	287,000	Training and team building programmes
1	TOTAL TITLE 1	36,565,483	33,525,318	33,275,318	32,683,118	-899,185	31,783,933	
2	TITLE 2 - INFRASTRUCTURE AND ADMINISTRATIVE EXPENDITURE							
20	Rental of building and associated costs							
200	<i>Building rental, charges and taxes</i>							
2000	Building rental, charges and taxes	5,700,000	5,700,000	5,700,000	5,700,000	0	5,700,000	Building rental and associated costs
202	<i>Maintenance, works and refurbishment</i>							
2020	Maintenance, works and refurbishment	60,000	60,000	60,000	60,000	0	60,000	Building maintenance and works
209	<i>Other expenditure on building, security and movable property</i>							
2090	Other expenditure on building, security and movable property	800,000	620,000	620,000	620,000	0	620,000	Other expenditure related to building, building security and furniture, including costs for new premises
21	Information and communication technology							
210	<i>Information and communication technology</i>							
2100	ICT Office Supplies	600,000	450,000	450,000	450,000	0	450,000	In line with the expenditure for ICT office equipment and supplies
23	Current administrative expenditure							
230	<i>Current administrative expenditure</i>							
2300	Facility management services	410,000	410,000	410,000	390,000	-20,000	370,000	Facility management including postal charges and stationery costs
2304	Services on administrative matters	380,000	545,000	545,000	755,000	0	755,000	General administrative costs including cybersecurity.
2305	Subscriptions	60,000	85,000	85,000	85,000	0	85,000	General subscriptions
2308	Library expenditure	5,000	5,000	5,000	5,000	0	5,000	Specialised books
27	Representation expenses, receptions and events							
270	<i>Representation expenses, receptions and events</i>							
2700	Representation expenses, receptions and events	6,000	6,000	6,000	6,000	0	6,000	Representation expenses involving participation of third parties
2	TOTAL TITLE 2	8,021,000	7,881,000	7,881,000	8,071,000	-20,000	8,051,000	
3	TITLE 3 - OPERATIONAL EXPENDITURE							
31	Training for a common supervisory culture							
310	<i>Training costs</i>							
3100	Training costs	50,000	50,000	50,000	25,000	0	25,000	Training of NCAs on common supervisory culture and supervisory convergence
32	Collection of information: IT projects							
320	<i>ICT projects costs</i>							
3200	ICT projects costs	8,540,000	9,145,000	9,145,000	9,695,000	0	9,695,000	IT project costs. In line with the updated IT Work Programme. The increased costs are due to MMF, CSDR, and some internal tools
34	Legal advice							
340	<i>Legal advice</i>							
3400	Legal advice	150,000	150,000	150,000	75,000	0	75,000	Legal related costs
35	Access to data for Economic Research							
350	<i>Access to data for Economic Research</i>							
3500	Access to data for Economic Research	600,000	600,000	600,000	600,000	0	600,000	Acquisition of operational datasets and subscriptions
36	Mission expenses, travel and incidental expenses							
360	<i>Mission expenses</i>							
3600	Mission expenses	610,000	600,000	600,000	400,000	-150,000	250,000	Business trips related costs
37	Communications							
370	<i>Communications</i>							
3700	Translation and interpretation	257,000	300,000	300,000	467,200	0	467,200	Translation of guidelines and other relevant documents
3701	Communications services	260,000	160,000	160,000	260,000	0	260,000	Communications
38	Meeting expenses							
380	<i>General meeting expenses</i>							
3800	General meeting expenses	225,000	225,000	225,000	200,000	-80,000	120,000	General meeting costs
381	<i>Stakeholders Groups - Consultations</i>							
3810	Stakeholders Groups - Consultations	110,000	100,000	100,000	80,000	0	80,000	All stakeholder groups related expenditure
382	<i>Governance</i>							
3820	Governance	70,000	50,000	50,000	50,000	0	50,000	Management Board and Board of Supervisors
383	<i>Board of Appeal</i>							
3830	Board of Appeal costs	40,000	40,000	40,000	30,000	0	30,000	Board of Appeal costs
39	Services on operational matters							
390	<i>Services on operational matters</i>							
3900	Services on operational matters	85,000	85,000	85,000	25,000	0	25,000	Studies, impact assessments and other services for operations
3	TOTAL TITLE 3	10,997,000	11,505,000	11,505,000	11,907,200	-230,000	11,677,200	
	TOTAL EXPENDITURE TITLES 1, 2, 3	55,583,483	52,911,318	52,661,318	52,661,318	-1,149,185	51,512,133	
4	TITLE 4 - DELEGATED TASKS							
40	Single Interface to Trade Repositories (TRACE)							
400	<i>Single Interface to Trade Repositories</i>							
4000	Single Interface to Trade Repositories	400,000	400,000	400,000	400,000	0	400,000	Out of which, ESMA contribution: €66,385
41	Instruments Reference Data (FIRDS)							
410	<i>Instruments Reference Data</i>							
4100	Instruments Reference Data	2,050,000	2,050,000	2,050,000	2,050,000	0	2,050,000	Out of which, ESMA contribution: €686,000
4	TOTAL TITLE 4	2,450,000	2,450,000	2,450,000	2,450,000	0	2,450,000	
	TOTAL EXPENDITURE INCLUDING ALL TITLES AND DELEGATED TASKS	58,033,483	55,361,318	55,111,318	55,111,318	-1,149,185	53,962,133	