



## The ERA-NET scheme under FP6 and FP7

### STATISTICS ON ERA-NET AND ERA-NET PLUS ACTIONS AND THEIR JOINT CALLS

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June 2012

#### Summary - Key findings

- **Number of ERA-NETs:** In total 71 ERA-NETs have been funded under FP6. A total of 83 different ERA-NETs and 26 ERA-NET plus actions are expected to be until the end of FP7. 32 of the original FP6 contracts will have received further funding for coordinating their activities under FP7. A total of 51 ERA-NETs will have started under FP7 on topics in addition to those that were covered under FP6, thus resulting in 122 different ERA-NET topics under FP6 and FP7.
- **EU-Funding:** The total funding ERA-NETs have received for coordination under FP6 is € 185 Million. The ERA-NET scheme under FP7 will be funded with around € 320 Million for the period 2007-2013, of which around € 150 Million for coordination and € 170 Million for the top-up funding of calls implemented with the ERA-NET Plus actions.
- **Successful in launching calls:** Almost all ERA-NETs succeed in launching joint calls: 66 of the 71 FP6 ERA-NETs have implemented joint calls (93%), and from those that started new under FP7 only 7 have not yet launched a call, most of which started only in 2010 or 2011.
- **Public funding mobilised close to € 1,7 Billion until 2011:** The total public funding of research implemented by ERA-NETs and ERA-NET Plus since between 2004 and 2011 amounts to more than € 1.697 Million. For the period 2012 – 2014 calls with a total volume of close to € 700 Million are already planned.
- **Annual call volume € 290 Million:** The public funding of research via calls launched by ERA-NET and ERA-NET plus actions has been growing steadily since the first calls in 2004 and adds currently up to € 290 Million per year.
- **Constantly high number of calls per year:** A total of 229 calls have been implemented by ERA-NETs and ERA-NET Plus from 2004-2011 and more than 50 are currently planned for 2012 - 2014. The number of implemented calls is rather stable since 2007 with 35- 40 calls per year and more.
- **FP6 ERA-NET and their successors are main contributors:** 90% of all public funding of calls has been generated by ERA-NETs that started under FP6 and their successors. Those ERA-NETs that have started under FP7 with a completely new topic have so far (until end of 2011) only raised call budgets of € 170 Million (10%) but have now started to mobilise substantial call budgets with currently 1/3 of the total budget of the 2011 calls.
- **Huge leverage effect on EU funding:** The leverage effect of the Framework Programme funding is 5,6 for FP6 more (1 € Framework Programme funding results in 5,6 € national and regional funding implemented by ERA-NETs), 13,2 for those that continue under FP7, 3,8 for the new FP7 topics and 2 for ERA-NET Plus. More than 15 of the initial FP6 ERA-NETs have achieved a leverage effect of 10 and, some even more than 25.
- **Broad participation:** On average nine countries participate to a call (compared to 12 countries per ERA-NET), with minor statistical deviation between themes.
- **Size and number of funded projects:** The average size of projects funded by ERA-NET and ERA-NET plus actions is € 780.000 (median: €690.000). An estimated total of 2200 – 2500 projects have been funded by ERA-NET and ERA-NET plus actions in the period from 2004 – 2011.
- **ERA-NET Plus leads to larger call budgets:** The ERA-NET Plus instruments results in substantially larger average calls budgets of € 22 Million compared to € 7 Million for all ERA-NET calls.
- **Virtual common pot and mixed mode as preferred funding modes:** The virtual common pot is applied in more than 75% of all call budgets. ERA-NET Plus calls rely on either the mixed mode (20% of all call budgets, 87 of all ERA-NET Plus calls) or the real common pot (3% respectively 13 %). In ERA-NET calls these funding modes are scarcely used (< 1%). The use is limited to fundamental research, social sciences or public procurement actions.

## Methodology and data categories

The report provides statistical data on ERA-NETs and ERA-NET Plus actions and the funding they have received under FP6 and FP7. The data for the number of ERA-NETs for 2012 and 2013 are based on proposals still under negotiations and topics currently foreseen for the Work Programme 2013.

The data for the calls implemented since the beginning of the ERA-NET scheme relies on information collected for each ERA-NET and its joint research activities; including those currently already planned for the years 2012-2014.

The methodology used for the data collection for the calls is the following:

1. In a first step all ERA-NET calls have been identified and the core data compiled from former surveys, project reports, ERA-NET webpages and NETWATCH data (*year of call closure, number of participating countries, budget [total public funding], funding mode [real common pot, virtual common pot, mixed mode], number of submitted proposals, proposals retained for funding<sup>1</sup>*)
2. In a second step coordinators have been asked whenever necessary to check and update data. (*Verification level is 98% of the budgets taken into account and 93% of all calls*)

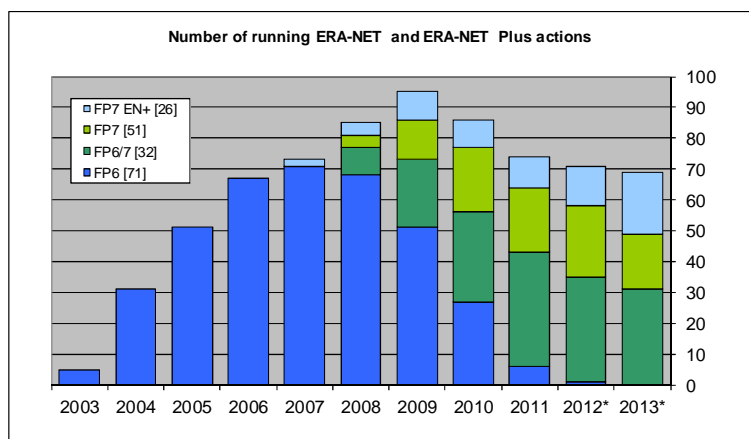
The categorisation of data takes into account the main changes from FP6 to FP7: (a) the new ERA-NET Plus instrument and (b) the shift from a centralised implementation with Member States proposing ERA-NETs to a decentralised approach with the thematic directorates implementing the ERA-NET scheme, giving them the possibility to develop dedicated strategies and call for ERA-NETs in selected topics under their annual work programmes. For the statistics, the actions have therefore been divided in the following categories:

- FP6 ERA-NETs [FP6]
- ERA-NETs that started under FP6 and continue with a new contract under FP7 [FP6/7]
- ERA-NETs that started with a new topic under FP7 [FP7]
- ERA-NET Plus actions [FP7 EN+]

The ERA-NETs and ERA-NET Plus are grouped mainly according to the current FP7 Structure (Cooperation, INCO, Infrastructures) with horizontal ones assigned to the best fitting category.

## Statistical data on ERA-NET and ERA-NET Plus actions and the funding they receive

In total 71 ERA-NETs have been funded under FP6. Under FP7 a total of 83 different ERA-NETs and 26 ERA-NET plus actions are expected to be funded.



Graph 1: Number of running ERA-NET and ERA-NET Plus actions over the period 2003-2011. \*Figures for 2012 and 2013 are estimates based on the respective FP7 Workprogrammes.

The Grant Agreement for the last FP6 ERA-NET finished in early 2012 (Graph 1). 32 of the initial FP6 contracts will have received further funding for coordinating their activities under FP7. A total of 51 ERA-NETs will have started under FP7 on topics that were not covered formerly.

<sup>1</sup> The data on submitted and funded proposals is not complete.

	FP6	FP6/7	FP7	FP7 EN+
Energy	5	1	3	3
Environment	14	2	5	2
Fundamental Sciences	5	1		
Health	11	5	4	
ICT			5	4
INCO	3		8	4
Industrial Technologies/SMEs	15	8	9	4
Infrastructures			3	
KBBE	8	8	12	3
Security	1	2		
SSH/SIS	4		2	4
Transport	5	5		2
<b>Total</b>	<b>71</b>	<b>32</b>	<b>51</b>	<b>26</b>

Table 1: Number of ERA-NET and ERA-NET Plus actions per Theme under FP6 and FP7 including horizontal ones reassigned to the closest Theme (FP6: 17, FP7: 7 ERA-NET, 3 ERA-NET Plus). Figures for 2012 and 2013 are estimates based on the respective FP7 Workprogrammes

The use of the ERA-NET scheme varies strongly for the different Themes (Table 1). The strongest areas under FP6 are Industrial Technologies and SMEs, KBBE, Environment and Health. Under FP7 most areas show continuity, with KBBE (knowledge based bio economy) having strengthened their activities, and the number of ERA-NETs in environment decreasing, partially by clustering existing ones. ICT, INCO and Infrastructures have started using the instrument under FP7. Fundamental sciences and many of the cross cutting topics are mostly not covered under FP7 due to the mismatch with the thematic structure.

EC contribution	FP6	FP6/7	FP7	FP7 EN+	FP7 total
Energy	12.876.995	2.000.000	6.479.990	40.000.000	48.479.990
Environment	37.052.063	3.998.931	9.901.529	13.000.000	26.900.460
Fundamental Sciences	12.301.472	2.382.504			2.382.504
Health	27.583.085	10.866.284	6.996.613		17.862.897
ICT			8.147.969	21.300.000	29.447.969
INCO	8.687.966		14.177.303	7.157.153	21.334.456
Industrial Technologies/SMEs	39.506.962	13.995.407	13.189.445	41.316.233	68.501.085
Infrastructures			3.749.812		3.749.812
KBBE	22.368.038	12.979.277	22.226.922	12.500.000	47.706.199
Security	1.800.000	4.527.000			4.527.000
SSH/SIS	10.551.590		3.599.726	22.090.000	25.689.726
Transport	11.863.794	13.304.580		14.000.000	27.304.580
<b>Total</b>	<b>184.591.965</b>	<b>64.053.983</b>	<b>88.469.309</b>	<b>171.363.386</b>	<b>323.886.678</b>
of which funded horizontally		7.249.063	7.017.555	35.500.000	49.766.618

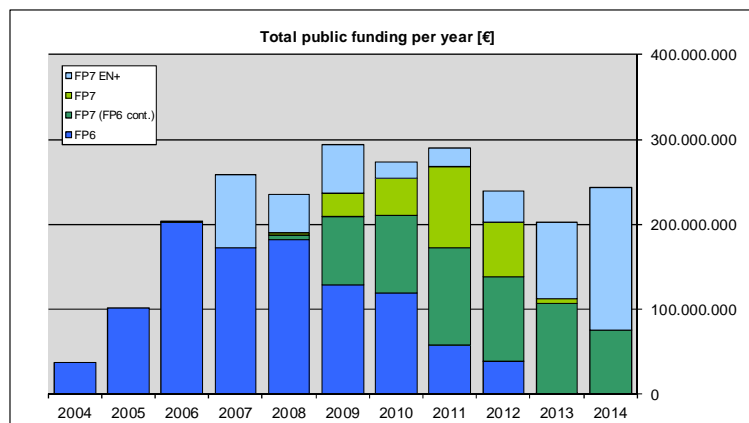
Table 2: Funding received by ERA-NET and ERA-NET plus actions per Framework Programme and theme. Figures for 2012 and 2013 are estimates based on the respective FP7 Workprogrammes

The total funding ERA-NETs have received (Table 2) for coordination under FP6 is around € 185 Million. The ERA-NET scheme under FP7 will be funded with around € 320 Million for the period 2007-2013, of which around € 150 Million are for coordination in ERA-NETs and around € 170 Million for topping-up of calls in ERA-NET Plus actions. The horizontal funding under FP7 results from the transition period 2007/8 where horizontal topics or topics not being addressed by the Themes could be submitted. This includes also the two first ERA-NET Plus actions as preparatory actions for the related ART.185 (EMRP, BONUS).

### ERA-NET and ERA-NET Plus actions: Joint calls for transnational research

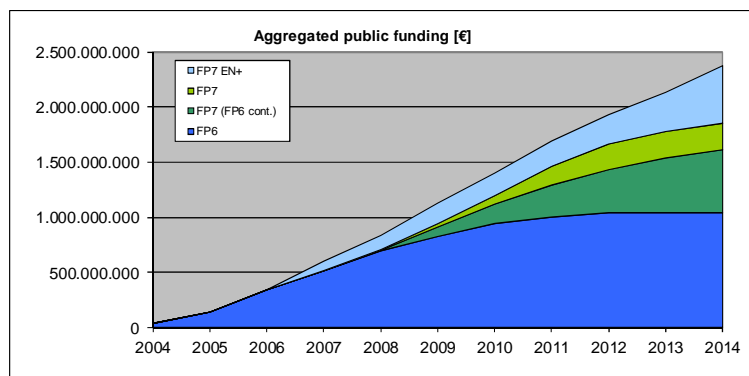
A total of 229 calls have been implemented from 2004-2011 and more than 50 are currently under preparation for 2012 – 2014 according to the information submitted by the ERA-NET coordinators. Almost all ERA-NETs have implemented calls; only 5 under FP6 and 7 under FP7 have not implemented any calls. The public funding of research by ERA-NET and ERA-NET plus actions has been growing quite steadily since the first calls in 2004 and adds up to currently € 290 Million per year (Graph 2). For the period 2012 – 2014 calls with a total volume of close to € 700 Million are already planned.

On average 9 countries participate to a call (compared to 12 countries per ERA-NET), with minor statistical deviation between themes. The average size of projects funded by ERA-NET and ERA-NET plus actions is € 780.000 (median: €690.000). An estimated total of 2200 – 2500 projects have been funded by ERA-NET and ERA-NET plus actions in the period from 2004 – 2011.



Graph 2: Total public funding per year for calls implemented by ERA-NET and ERA-NET Plus actions over the period 2004-2014 including already planned calls.

The FP6 ERA-NETs are overall still big contributors to the call budgets made available for transnational research. Those that continue into FP7 under a new contract keep momentum. Most of them are now in cruising mode with annual calls and substantial call budgets. The ERA-NET Plus actions have been strong in 2007 and 2009, and indicate substantial budgets for the calls resulting from the Work Programmes 2012 and 2013. Those ERA-NETs that started under FP7 with a new topic have are now started to mobilise substantial call budgets with currently 1/3 of the 2011 calls.

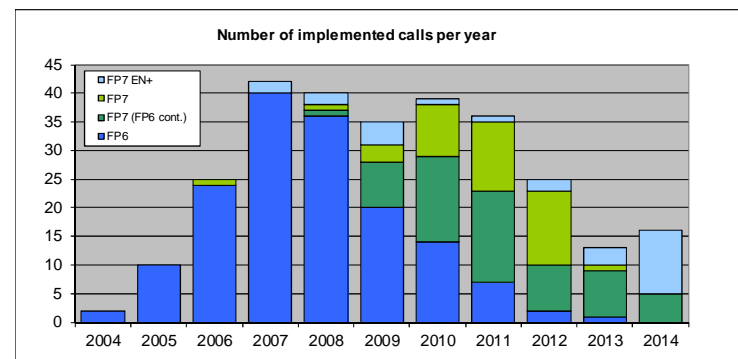


Graph 3: Total aggregated public funding for calls implemented by ERA-NET and ERA-NET Plus actions over the period 2004-2010

The total public funding of research implemented by ERA-NETs and ERA-NET Plus since its beginning until 2011 amounts (Graph 3) to € 1.697.000 Million and € 2.385.000 Million including the calls currently planned until end of 2014.

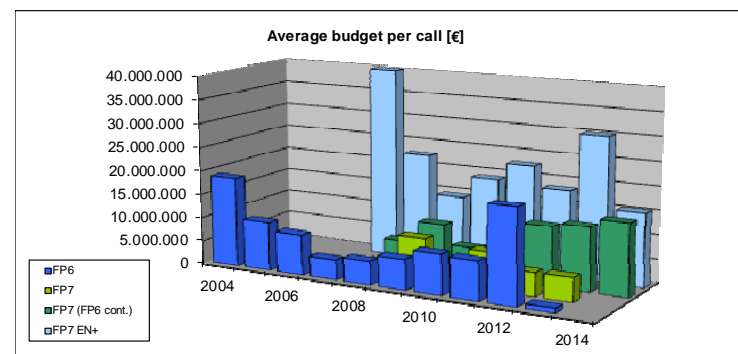
90% has been generated by ERA-NETs that started under FP6 and their direct successors. Those ERA-NETs that have started under FP7 with a completely new topic have so far (until end of 2011) only raised call budgets of € 170 Million (10%) but have now started to mobilise substantial call budgets with currently 1/3 of the total budget of the 2011 calls.

The leverage effect of the Framework Programme funding is 5,6 for FP6 more (1 € Framework Programme funding results in 5,6 € funding implemented by ERA-NETs), 13,2 for those that continue under FP7, 3,8 for the new FP7 topics and 2 for ERA-NET Plus. More than 15 of the initial FP6 ERA-NETs have achieved a leverage effect of 10 and, some even more than 25.



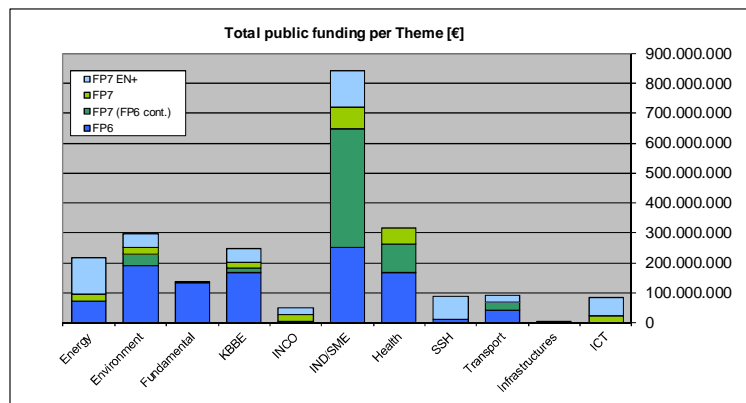
Graph 4: Number of calls implemented per year.

The number of implemented calls (Graph 4) is relatively stable since 2007 with 35 - 40 calls per year. For 2012 more than 25 calls are already planned. The ERA-NET Plus instruments results in substantially larger average calls budgets of € 22 Million compared to € 7 Million for all ERA-NET calls.



Graph 5: Average call volume for calls launched ERA-NET and ERA-NET Plus actions including currently planned calls.

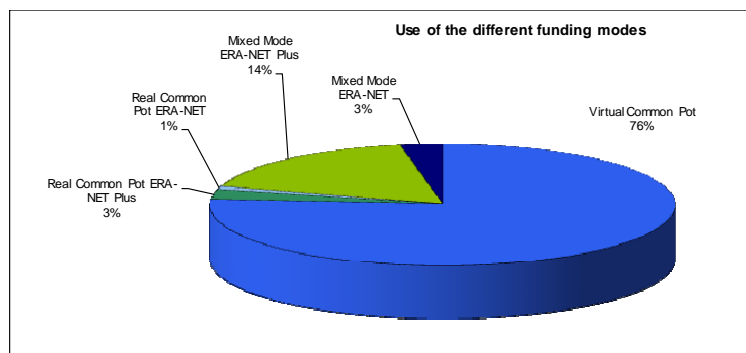
The total public funding realised per Theme (Graph 6) reaches € 850 Million for Industrial Technologies and SMEs (of which approximately € 100 Million result from horizontal ERA-NETs) and around € 250 - 300 Million for the Themes Environment, KBBE and Health. ICT, Energy and Social Sciences benefit particularly from the ERA-NET Plus activities.



Graph 6: Total public funding per Theme for calls implemented by ERA-NET and ERA-NET Plus actions over the period 2004-2014 including currently planned calls.

The question which funding mode to apply for funding transnational projects is a central issue of every call. The final decision for a funding mode that is used in a specific call will depend on the partners in the ERA-NET consortium and the respective flexibility of national programmes. The following funding modes are in use:

- **Real common pot:** Countries pool their national contributions to a common and centrally administered call budget. This provides funding for successful proposals irrespective of the applicant's nationality and results in transnational flows of funding (funding crosses borders).
- **Virtual common pot:** Countries and regions pay for their own participants without any cross border funding.
- **Mixed mode:** Parts of the call budget are reserved for a "real common pot" which allows compensating mismatch between national funding contributions and requested budgets for successful proposals when following the ranking list.



Graph 7: Funding modes used in ERA-NET and ERA-NET Plus calls [percentage of total public funding].

The most frequently used funding mode (Graph 7) is the virtual common pot with almost 75% of all call budgets. The ERA-NET Plus calls require that Member States use a funding mode that ensures a selection according to the ranking list resulting. As a consequence ERA-NET Plus actions rely on either the mixed mode (14% of all call budgets, 88% of all ERA-NET Plus calls) or the real common pot (2,6 respectively 12%). In normal ERA-NET calls these funding modes are scarcely used (< 1%). The use is limited to fundamental research, social sciences or public procurement actions.