



European  
Commission

# **Fifth FP7 Monitoring Report**

## **MONITORING REPORT 2011**

**29/08/2012**

Research and  
Innovation

# TABLE OF CONTENTS

<b>0</b>	<b>EXECUTIVE SUMMARY .....</b>	<b>1</b>
<b>1</b>	<b>INTRODUCTION .....</b>	<b>2</b>
<b>2</b>	<b>FP7 PARTICIPATION PATTERNS IN 2011 .....</b>	<b>4</b>
<b>2.1</b>	<b>Overall participation .....</b>	<b>4</b>
2.1.1	<i>Calls, proposals, applicants and corresponding success rates.....</i>	5
2.1.2	<i>Project costs, requested EU contribution and corresponding success rates ...</i>	5
2.1.3	<i>Signed grant agreements, participants and EU contribution.....</i>	9
<b>2.2</b>	<b>Participation by funding scheme.....</b>	<b>9</b>
<b>2.3</b>	<b>Participation by type of organisation.....</b>	<b>10</b>
2.3.1	<i>Academia participation .....</i>	12
2.3.2	<i>Participation of research organisations.....</i>	13
2.3.3	<i>Industry participation .....</i>	13
<b>2.4</b>	<b>International and regional dimensions of FP7 .....</b>	<b>17</b>
2.4.1	<i>EU Member States .....</i>	18
2.4.2	<i>Candidate and Associated Countries.....</i>	20
2.4.3	<i>Third Countries.....</i>	22
2.4.4	<i>Regional dimension.....</i>	24
<b>2.5</b>	<b>Women participation and the gender dimension in FP7 .....</b>	<b>29</b>
2.5.1	<i>Patterns of women participation in FP7 projects.....</i>	29
2.5.2	<i>Women participation in FP7 advisory groups, panels and committees .....</i>	32
<b>3</b>	<b>FP7 IMPLEMENTATION IN 2011 – MANAGEMENT AND QUALITY ISSUES .....</b>	<b>33</b>
<b>3.1</b>	<b>Dissemination activities.....</b>	<b>33</b>
3.1.1	<i>Internet.....</i>	33
3.1.2	<i>National Contact Points meetings.....</i>	35
<b>3.2</b>	<b>Quality assessment of proposal evaluation and the redress procedure.....</b>	<b>36</b>
3.2.1	<i>Proposal evaluation.....</i>	36
3.2.2	<i>Redress procedure .....</i>	37
<b>3.3</b>	<b>The FP7 Ethics Framework - Ethics reviews and ethics audits .....</b>	<b>38</b>
<b>3.4</b>	<b>Time-to-grant .....</b>	<b>40</b>
<b>3.5</b>	<b>Independent assessment of FP7 implementation by National Contact Points.....</b>	<b>41</b>
3.5.1	<i>Project life cycle .....</i>	41
3.5.2	<i>FP7 in general context.....</i>	42
<b>3.6</b>	<b>Simplification.....</b>	<b>44</b>
3.6.1	<i>Simplification measures in FP7 .....</i>	44
3.6.2	<i>Perception of simplification in FP7 by National Contact Points .....</i>	46
<b>3.7</b>	<b>Monitoring sustainable development in FP7 .....</b>	<b>48</b>
3.7.1	<i>FP7 and the renewed EU Sustainable Development Strategy .....</i>	48
3.7.2	<i>Web-based monitoring tool on research for sustainable development .....</i>	49
3.7.3	<i>Achievements regarding FP7 contribution to sustainable development .....</i>	49
<b>4</b>	<b>FP7 IMPLEMENTATION IN 2011 – SPECIAL FOCUS .....</b>	<b>50</b>
<b>4.1</b>	<b>European Research Council .....</b>	<b>50</b>
4.1.1	<i>The ERC Executive Agency (ERCEA) .....</i>	52
4.1.2	<i>The ERC peer review evaluation process .....</i>	52
4.1.3	<i>ERC calls .....</i>	54
<b>4.2</b>	<b>The Research Executive Agency (REA) .....</b>	<b>55</b>
4.2.1	<i>The REA in 2011 .....</i>	56
4.2.2	<i>Programme management in the REA.....</i>	56
4.2.3	<i>Overall appreciation .....</i>	58

<b>4.3</b>	<b>Marie Curie Actions</b> .....	<b>58</b>
4.3.1	<i>General overview</i> .....	58
4.3.2	<i>Focussing on researchers' careers</i> .....	59
4.3.3	<i>Implementation of the calls</i> .....	61
<b>4.4</b>	<b>EURATOM</b> .....	<b>62</b>
4.4.1	<i>Nuclear fission and radiation protection</i> .....	62
4.4.2	<i>Fusion energy</i> .....	63
<b>4.5</b>	<b>Joint Technology Initiatives</b> .....	<b>64</b>
4.5.1	<i>Clean Sky Joint Undertaking</i> .....	65
4.5.2	<i>Innovative Medicines Joint Undertaking (IMI)</i> .....	67
4.5.3	<i>ARTEMIS (Embedded Computing Systems) and ENIAC (Nanoelectronics) Joint Undertakings</i> .....	68
4.5.4	<i>Fuel Cells &amp; Hydrogen Joint Undertaking (FCH JU)</i> .....	71
<b>4.6</b>	<b>Article 185 (ex-169) Initiatives</b> .....	<b>72</b>
<b>4.7</b>	<b>Risk-Sharing Financial Facility (RSFF)</b> .....	<b>74</b>
<b>4.8</b>	<b>Participation of SMEs</b> .....	<b>76</b>
4.8.1	<i>Funding for SMEs under the Themes of the Cooperation Programme</i> .....	76
4.8.2	<i>Funding for SMEs under the Cooperation Themes by country</i> .....	79
<b>5</b>	<b>FP7 ACHIEVEMENTS AND FIRST PROJECT OUTCOMES</b> .....	<b>81</b>
<b>ANNEX A:</b>	<b>MONITORING SYSTEM FOR FP7</b> .....	<b>82</b>
<b>ANNEX B:</b>	<b>STATISTICAL TABLES ON PARTICIPATION PATTERNS</b> .....	<b>85</b>
<b>ANNEX C:</b>	<b>STATISTICAL RESULTS OF NCP SURVEY ON FP7 PROMOTION AND IMPLEMENTATION IN 2011</b> .....	<b>91</b>
<b>ANNEX D:</b>	<b>GLOSSARY</b> .....	<b>100</b>
<b>ANNEX E:</b>	<b>KEY REFERENCES</b> .....	<b>103</b>

## 0 EXECUTIVE SUMMARY

The Fifth FP7 Monitoring Report covers the implementation of the Framework Programme in the years 2007-2011. It is based on the FP7 Monitoring system, which was designed as an internal management tool using a core set of performance indicators.

In section 2 this document provides a detailed analysis of FP7 participation patterns in 2011. FP7 implementation management and quality issues are the focus of section 3 and include the current situation with regard to the simplification process and also the results of a survey on the perception of FP7 implementation and simplification by National Contact Points (NCPs). Section 4 presents some of the elements of the Framework Programme which deserve a special focus. Section 5 looks at the early achievements of the programme.

The FP7 Monitoring system is complementary to existing systems of data collecting and monitoring at operational level and within different DGs. While a substantial part of the report is based on existing material which has been already (at least partially) released, each annual Monitoring Report provides an integrated view on the different strands of FP7 activities.

The following selected facts and figures highlight some of the main findings of this report:

- The *magnitude of FP7* is illustrated by the impressive participation figures: During the first five years of FP7, 307 concluded calls received more than 95.000 proposals, out of which more than 79.000 – involving a staggering more than 386.000 applicant organisations and individuals – were included in the evaluation procedure, and more than 16.000 – involving more than 85.000 participants – were finally retained for negotiations, with a corresponding requested EU funding of € 25,7 billion. Proposals and applicants had an average success rate of 20% and 22%, respectively.
- On the *participation of Small and Medium Enterprises (SMEs)*, it is estimated that during the first five years of FP7 implementation 17% of all participants in signed grant agreements were SMEs.
- On the *gender dimension of FP7 participation*, it is estimated that 26% of contact persons for scientific aspects in FP7 funded projects are female. A more detailed analysis shows significant variations among the different thematic areas of FP7 as well as among the EU Member States.
- The significant *international dimension of FP7* is illustrated by the fact that during five years it funds projects with participant organisations from as many as 169 countries. Outside the group of EU and Associated Countries the biggest participants are the USA, China, Russia, Brazil, South Africa, India, and Ukraine.
- On the *redress and ethical review* procedures, out of the 2.678 requests for redress received, only 48 led to a re-evaluation, whereas 1.382 ethical reviews were organised so far with no project having been stopped.

Feedback from readers and users is most welcome as it will help to improve the next reports to be produced under the FP7 monitoring system.

Please, send comments to:

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# 1 INTRODUCTION

The legislative basis for FP7 states that "the overriding aim of the Seventh Framework Programme is to contribute to the Union becoming the world's leading research area. This requires the Framework Programme to be strongly focused on promoting and investing in world-class state-of-the-art research, based primarily upon the principle of excellence in research [...] The objectives [...] should be chosen with a view to building upon the achievements of the Sixth Framework Programme towards the realisation of the European Research Area and carrying them further towards the operation of the European Research Area to underpin the development of a knowledge-based economy and society in Europe which will meet the goals of the Lisbon strategy in Community policies." <sup>1</sup>

A new structure was designed to capture the broad range of research activities funded by the European Union under FP7. The objectives of FP7 have been grouped into four categories: "Cooperation", "Ideas", "People" and "Capacities". For each type of objective, there is a specific programme that corresponds to one of the main areas of EU research policy. In addition, the Joint Research Centre's (JRC) direct actions relating to non-nuclear research are grouped under a specific programme with its own budget allocation. The JRC's direct actions in the field of nuclear research and the indirect actions supported by the EURATOM 7<sup>th</sup> Framework for Programme for Nuclear Research and Training Activities comprise distinct strands of FP7.

That structure can be further broken down into the general headings given in the diagram below. In broad terms:

- The Specific Programme *Cooperation* provides project funding for collaborative, transnational research. The programme is organised through themes such as health, energy, transport etc.
- The Specific Programme *Ideas* provides project funding for individuals and their teams engaged in frontier research. This programme is implemented by the European Research Council (ERC).
- The Specific Programme *People* funds actions to improve the training, career development, and mobility of researchers between sectors and countries worldwide. It is implemented through the Marie Curie Actions and Specific Actions to Support ERA policies (in particular EURAXESS).
- The Specific Programme *Capacities* funds actions that are designed to improve Europe's research infrastructure and the research capacity of SMEs. It also hosts smaller programmes relating to *Science in Society, Regions of Knowledge, Research Potential, International Cooperation*, and the *Coherent Development of Research Policies*.

This structure of FP7 is illustrated in Table 1 below. Figure 1 shows the budget breakdown for FP7.

FP7 builds on the achievements and good practice of earlier Framework Programmes with a good deal of continuity both at an operational level and in terms of strategic objectives. There are however, a number of novelties which represent a significant change compared to previous Framework Programmes. These novelties were presented in more detail in the [First FP7 Monitoring Report](#).

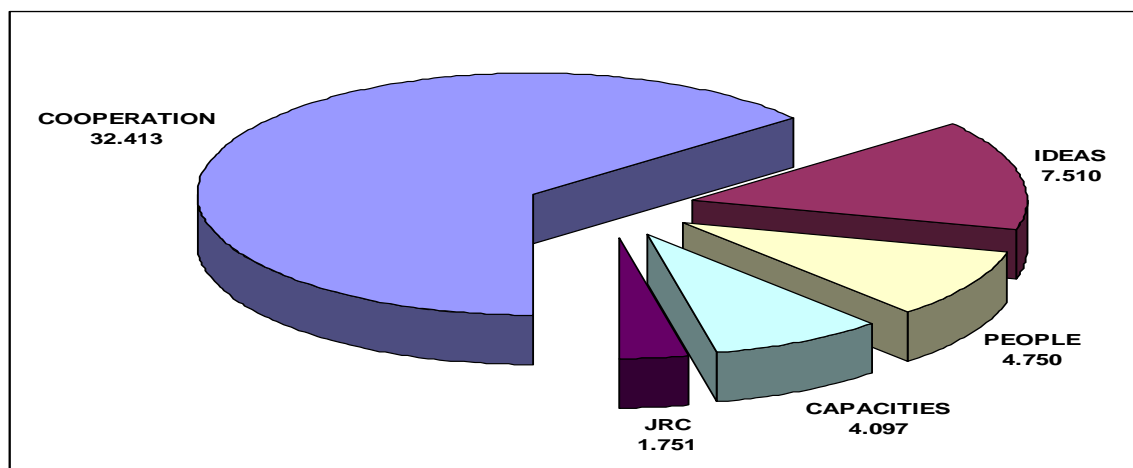
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<sup>1</sup> Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013).

**Table 1:** Structure of FP7 – Specific Programmes and Thematic Areas.

Specific Programmes	Thematic Areas	Abbreviation used in graphs
<b>COOPERATION</b>	Health	Health
	Food, Agriculture, and Biotechnology	KBBE
	Information and Communication Technologies	ICT
	Nanosciences, Nanotechnologies, Materials and new Production Technologies	NMP
	Energy	Energy
	Environment (including Climate Change)	ENV
	Transport (including Aeronautics)	Transport
	Socio-economic Sciences and Humanities	SSH
	Space	Space
	Security	Security
	General Activities	General
<b>IDEAS</b>	Starting Independent Researcher Grants	ERC
	Advanced Investigator Grants	ERC
<b>PEOPLE</b>	Initial Training of Researchers	MarieCurie
	Lifelong Training and Career Development	MarieCurie
	Industry - Academia Partnerships and Pathways	MarieCurie
	The International Dimension	MarieCurie
	Specific Actions	MarieCurie
<b>CAPACITIES</b>	Research Infrastructures	INFRA
	Research for the Benefit of SMEs	SME
	Regions of Knowledge	Regions
	Research Potential	Potential
	Science in Society	Society
	Coherent Development of Research Policies	Policies
	Activities of International Cooperation	INCO
<b>EURATOM</b>	Indirect Actions	Fusion Energy Nuclear Fission and Radiation Protection
	Direct Actions	Nuclear Field (undertaken by JRC)
<b>JRC (Direct Actions)</b>	Prosperity in a Knowledge Intensive Society	
	Solidarity and the Responsible Management of Resources	
	Security and Freedom	
	Europe as a World Partner	

**Figure 1:** FP7 budget breakdown in € million (FP7 EURATOM budget of € 2,7 billion over 5 years not included).



## 2 FP7 PARTICIPATION PATTERNS IN 2011

### 2.1 Overall participation

This section aims to provide a comprehensive statistical overview of FP7 implementation in 2011 as well as a comparative overview of the period 2007-2011. The data used in this section are exclusively drawn from the Common Research Data (CORDA) warehouse.

Some of the terms used throughout this section which require definition or clarification are the following:

- A call for proposal is *concluded* when data on the evaluation and selection outcome are available and have already been communicated to the respective FP7 Programme Committees at the time of data extraction.
- The dataset of *included* proposals, on which the analysis of participation patterns and success rates in this section is based, consists of *eligible* proposals, i.e. submitted proposals that fulfil the formal eligibility criteria set by the respective calls for proposals, without taking into account:
  - duplicate and withdrawn proposals;
  - eligible first stage proposals in the case of two-stage calls.
- *Success rates* are always calculated as ratios of *retained* to *included* proposals.

This report is based on statistical data on calls for proposals with closure dates in 2007, 2008, 2009, 2010 and 2011, which have been concluded by February 2012. The reported numbers of concluded calls are not final, especially for 2011, and are likely to rise in the course of FP7 as more calls are concluded and recorded in the CORDA database. For this reason the reported statistical data for past years are always retrospectively updated in subsequent Monitoring Reports; this is also applied in this report to the data for 2007, 2008, 2009 and 2010, which have been updated according to the latest available information. It is, therefore, important to keep in mind the preliminary nature of the 2011 data included in this report, as later updates are likely to affect the analysis.

Recently signed grant agreements are continuously added in the CORDA database in the course of the Framework Programme implementation, and figures on signed grant agreements are accordingly updated. Due to the constantly changing picture of grant agreement statistics, the time lag of this procedure, and the consequent limited availability of data on grant agreements signed during the most recent year at the moment of data extraction, the Monitoring Reports follow the convention of only presenting cumulative statistics on grant agreements instead of statistics on a year by year basis.

#### **Box 1:** Data issues and methodology

The Monitoring Report 2011 is based on data from the E-CORDA. Data extraction was carried out on February 16, 2012. The presented tables and data analysis are based on 307 calls.

It should be noted that the proposals figures for 2011 are based on the calls concluded in 2011, while signed grant agreement figures are based on the grants signed in 2011.

For EURATOM, data for collaborative projects on Fusion is not included. Data on Galileo financing is also not included in the report.

The FP7 proposals and participants database contains information on calls for proposals for which validated evaluation and selection data is available centrally and has already been communicated to the respective FP7 Programme Committee configurations. Call-specific evaluation and selection results enter the system almost on a daily basis and are then validated by the responsible Commission services. Commission services cannot be held responsible for the quality and content of applicant-supplied information contained in submitted proposals.

In FP7 the problem of the existence of multiple entries on participants is addressed by the introduction of a

'Unique Registration Facility' (URF) for participants.

Information on the type of activity and legal status, including SME status, at the proposal submission phase is provided by the applicant organisation; this information is not verified by Commission services before the proposal is retained for negotiation and, consequently, is subject to considerable identification and measurement error which limits the reliability of this type of data. It is expected that such inconsistencies will be sorted out with the introduction of more intelligent data acquisition system, such as a revised version of the Electronic Proposal Submission System (EPSS).

Summary statistics on FP7 including proposals, applicants and success rates by funding scheme, applicant activity type and nationality are based on (i) eligible proposal and participants data submitted to single stage calls for proposals and (ii) second stage eligible proposal and participants data for FP7 calls for proposals involving two-stage proposal submission and evaluation procedures, without taking into account data from proposals submitted to the first stage of the calls. First stage proposals are, in most cases, reduced or outline versions of the full proposal and they do not provide data on participants other than the coordinator and, therefore, no meaningful statistics on participant nationality or type of activity can be compiled. Following evaluation, each proposal is associated to an Evaluation Summary Report (ESR) and the resulting evaluation outcome. Those proposals that pass to the second stage of the evaluation are submitted in full together with complete participants' data thus allowing for statistical analysis, and first stage data are overwritten by second stage data. Following the second stage evaluation each proposal is once again associated with the corresponding ESR, evaluation outcome and, finally, an EC decision.

The following limitations in the availability of financial data in "Ideas" and "People" proposals need to be carefully considered when drawing conclusions on the basis of reported statistics:

Applicants' data in proposals submitted under the Ideas (ERC) and People (Marie Curie Actions) specific programmes generally refer to hosting organisations rather than to individual applicants. In proposals submitted under Ideas/Capacities no activity types are specified for the hosting organisations. Information on activity type is available only when the grant agreement is signed.

In proposals submitted under People data on total cost and requested EU contribution are generally not provided; the only exception is a limited number of People related calls for proposals for Coordination and Support Actions (CSA), which contain data on total cost and requested EU contribution both at proposal and applicant level.

### ***2.1.1 Calls, proposals, applicants and corresponding success rates***

The 46 calls for proposals with call closures date in 2011 recorded in CORDA by February 2012 attracted in total 16.212 applications for funding. The majority of submitted proposals (90% or 14.567) was 'included' (as defined above), and about a fifth of those (2.813) were retained for funding negotiations with an overall success rate of 19% – comparable to the average success rate of the 2007-2011 period (20%).

In February 2012 included and retained proposals involved a total of 59.955 and 12.932 applicants respectively with an overall success rate of 22%. The so-far recorded numbers of applicants in retained proposals are almost the same as in 2010 (13.710), but significantly lower than those recorded in 2009 (19.471), while their success rates are lower to those of last year (23,9%) and is the average for the five years (22%).

The aggregate figures for the period 2007-2011 show that for a total of 307 concluded calls, 95.862 proposals were submitted, out of which 79.145 – involving 386.812 applicants – were included, and 16.089 – involving 85.248 applicants – retained for negotiations. The average success rate for the five years period was 20% in terms of proposals and 22% in terms of applicants.

### ***2.1.2 Project costs, requested EU contribution and corresponding success rates***

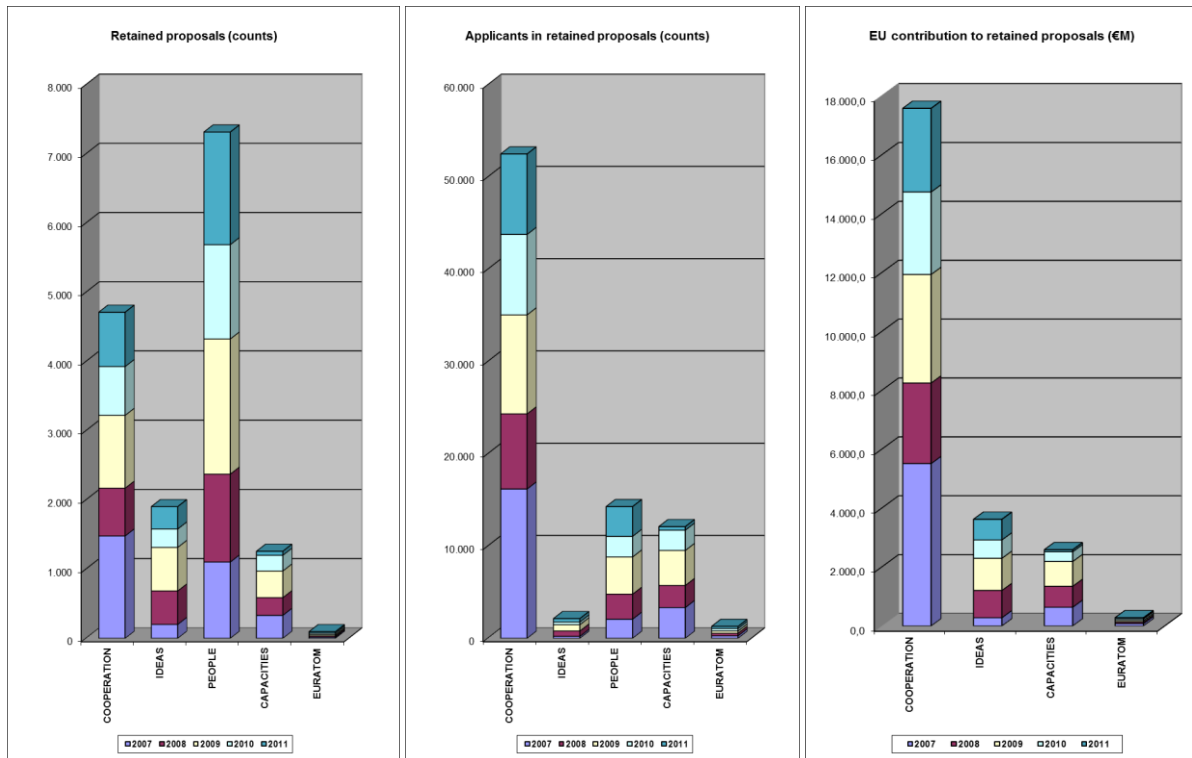
The included proposals, which correspond to the 46 recorded calls in 2011, involved a total project cost of € 23,1 billion with a requested EU contribution of € 17,9 billion. After the evaluation and selection stage the requested EU contribution is € 3,7 billion, corresponding to a success rate of 20%.

The aggregate project cost of the retained proposals for the period 2007-2011 is € 34,5 billion and the corresponding EU financial contribution is € 25,6 billion with a corresponding average success rate of 20%.



For more detailed statistics on the numbers of included and retained proposals, applicants, budgets and the corresponding success rates see also Figure 2 below, as well as Tables B2-B4 in Annex B<sup>2</sup>.

**Figure 2:** Numbers of proposals, applicants and amounts of requested EU financial contribution (in €million) in retained proposals for FP7 calls concluded in 2007 - 2011 by specific programme.



### Specific Programme COOPERATION

More than half (26) of all recorded calls in 2011 was launched under the Specific Programme *Cooperation*. Under *Cooperation*, more than a quarter of all included (3.751) and retained (785) proposals were received, involving more than 60% of all applicants (37.015 and 8.720 respectively).

The aggregate figures for FP7 subscription and participation under *Cooperation* in 2011 in terms of numbers of proposals, applicants and amounts of budgets as recorded in CORDA at the time of data extraction (February 2012) are similar to those in 2010, but lower than in 2009, both in terms of included and retained proposals, while success rates are generally higher than those in past years (see Table B2 in Annex B).

More than one third of all retained proposals under *Cooperation* in 2011 come from the thematic area of *Information and Communication Technologies* followed by *Food, Agriculture and Biotechnology* (19,9% of all proposals) and *Health* (13,4% of proposals). The highest success rates were recorded (with the exception of *General Activities*) in *Health*, the lowest in *Socio-economic Science and Humanities*.

<sup>2</sup> When comparing the information provided for the different years, it should be kept in mind that in 2007, European Research Council (ERC) calls were heavily oversubscribed: Out of the 9.167 submitted proposals addressing the two-stage ERC calls, only 6% (547) were admitted to the second stage and as little as 2% (299) were retained.

### **Specific Programme IDEAS (European Research Council)**

As recorded in the CORDA database by February 2012, 4 calls with closure dates in 2011, which were launched by the European Research Council (ERC) attracted 2.363 proposals, 2.318 of which were included in the selection but only 323 of those were retained for negotiations – representing around a tenth of the total number of retained proposals in 2011 – with a corresponding success rate of 14%.

The corresponding requested EU contribution amounts to an estimated € 701 million or 93% of the total, and a success rate of 14%.

### **Specific Programme PEOPLE (Marie Curie Actions and specific policy initiatives)**

The 11 concluded Marie Curie Actions calls with call closure dates in 2011 which were launched under the Specific Programme People as recorded in the CORDA database received more than half of all included and retained proposals (8.158 and 1.627 respectively) with 29,6% and 24,9% of all applicants respectively.

The recorded average success rates were 20% at the level of proposals and 18% at the level of applicants<sup>3</sup>. This is lower than the average success rates for the five-year period – 26% and 24% respectively.

In addition, the policy initiatives inspired of the European Charter and the Code for the Researchers aimed at promoting their career and mobility, such as the Human Resources Strategy, further progressed in connection with the 5 Specific ERA initiatives in the context of the Innovation Union. The 30 new badges (around 80 badges in total so far) have been awarded in 2011 to organisations that have made progress in the take-up of the principles recommended by the Charter and the Code.

Due to the specific design of a number of the Marie Curie Actions (financial support to individual researchers in liaison with a 'host organisation' as legal entity – see box 1 for a more detailed explanation) the CORDA database does not provide comprehensive information on projects costs and corresponding EU financial contribution.

### **Specific Programme CAPACITIES**

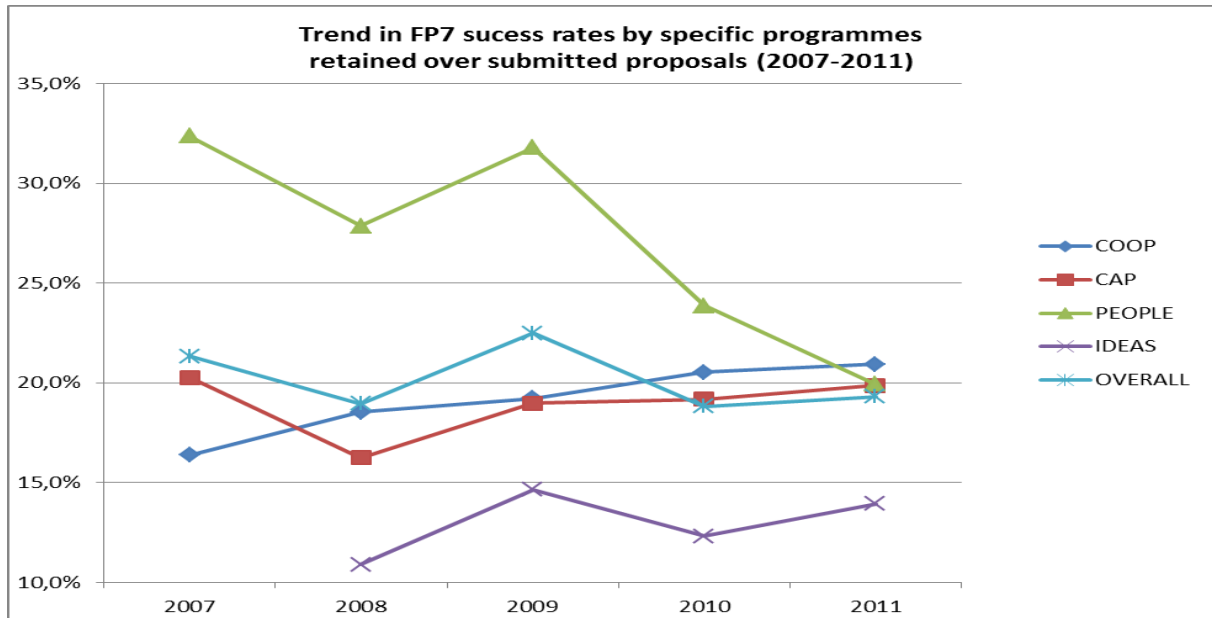
The 4 calls with call closure dates in 2011, which were launched under the Specific Programme *Capacities*, attracted around 2% of all included and retained proposals, with numbers of applicants and amounts of requested EU contribution considerably lower than those of previous years. The thematic area with by far the largest share of retained proposals under Capacities was *International Cooperation* (67% of proposals).

Overall, the FP7 success rate is moving around 20% over the years of FP7 implementation, but is varying across different programmes. Success rates in Cooperation and Capacities programmes are continuously improving, while the specific programme People is getting more competitive over time. The Ideas programme remains the most competitive programme: despite its growth the success rate still remains under 15%.

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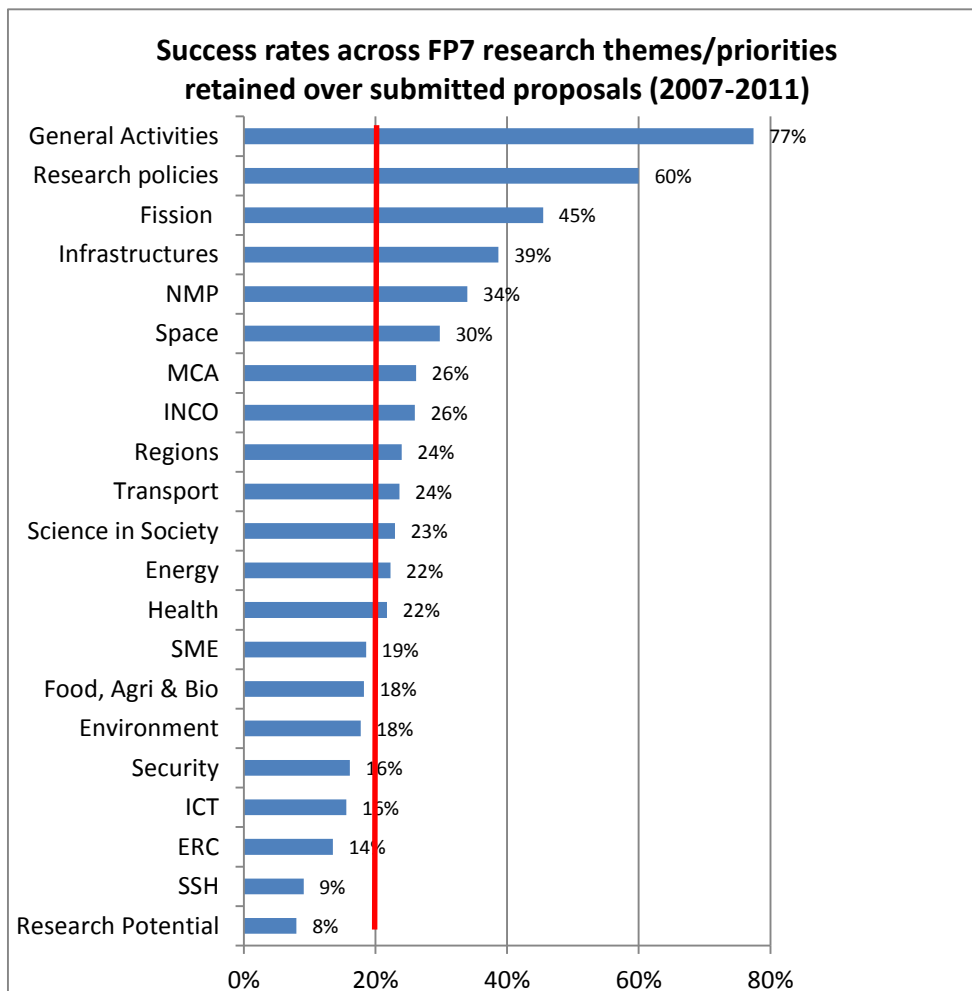
<sup>3</sup> It should be noted that 70% of the Marie Curie Actions budget is allocated for actions with much lower success rate: 9% for ITN and 17% in Individual Fellowships.

**Figure 3:** Trend in the FP7 success rates in retained over submitted proposals by specific programme 2007-2011.



Success rates across FP7 research themes vary significantly from the overall global FP7 success rate (20%). In some cases, this is a result of different types of call procedures: in two-stage calls, 1st stage proposals are excluded from calculations so they generally record higher success rates.

**Figure 4:** Success rates across FP7 research themes /priorities 2007-2011 (Euratom Fusion and Fission are not included due to data incompleteness)



### 2.1.3 Signed grant agreements, participants and EU contribution

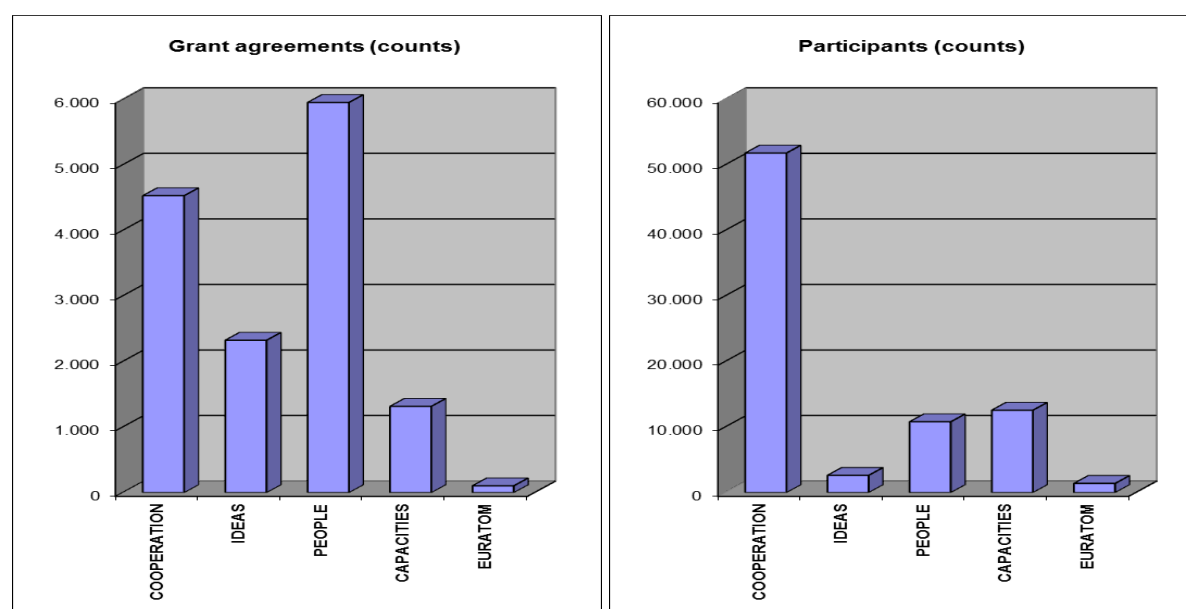
As explained in the introductory paragraph of this section, recently signed grant agreements are continuously added in the CORDA database. Given the constantly changing picture of the statistics on grant agreements due to the continuous update of the database, it is deemed more informative to examine the cumulative situation, as presented in Table 2 and Figure 5 below.

For the concluded calls with closure dates in 2007-2011 as of February 2012, 14.223 grant agreements have been signed, which involve 79.167 participants and will be funded by the EU with € 25,3 billion.

**Table 2:** Numbers of FP7 signed grant agreements, participants and EU contribution (in € million) for concluded FP7 calls with closure dates in the period 2007-2011 by specific programme.

SPECIFIC PROGRAMME	GRANTS	GRANT HOLDERS	EU CONTRIBUTION (€M)	EU CONTRIBUTION PER GRANT (€M)
COOPERATION	4.529	51.800	16.392,00	3,62
IDEAS	2.324	2.620	3.732,00	1,61
PEOPLE	5.951	10.798	2.414,00	0,41
CAPACITIES	1316	12.563	2.537,00	1,93
EURATOM	103	1.386	245	2,38
<b>TOTAL</b>	<b>14.223</b>	<b>79.167</b>	<b>25.320,00</b>	<b>1,78</b>

**Figure 5:** Numbers of signed grant agreements and participants for FP7 calls concluded during the period 2007-2011 (as of February 2012).



## 2.2 Participation by funding scheme

This report examines the following funding schemes which have been employed in FP7:

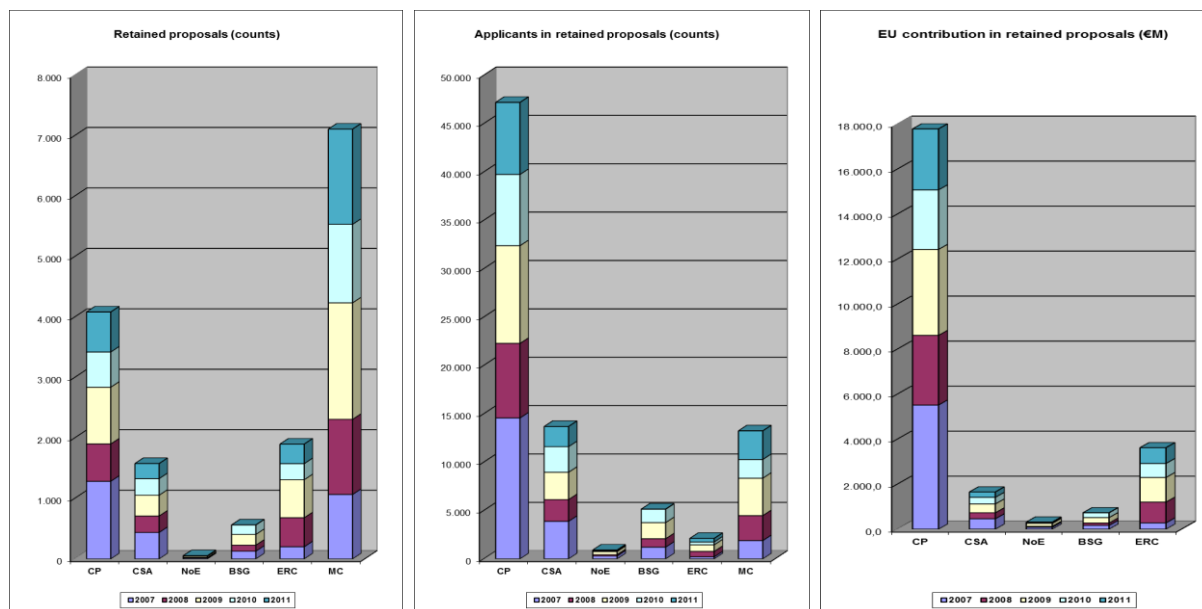
- Collaborative Projects, including combinations of Collaborative Projects and Coordination and Support Actions (CP)
- Coordination and Support Actions (CSA)
- Networks of Excellence (NoE)
- Research for the Benefit of Specific Groups (BSG)
- European Research Council (ERC)
- Marie Curie Actions (MCA)

Similarly to previous years, in 2011 *Marie Curie Actions* attracted by far the largest number of included and retained proposals (more than half of the total) followed by

*Collaborative Projects* with about a quarter of the total. However, Collaborative Projects made up more than half of the total number of applicants and more than two thirds of the total requested EU contribution in retained proposals.

Only 3 retained proposals were recorded under the *Networks of Excellence* funding scheme involving a mere 57 applicants.

**Figure 6:** Numbers of retained proposals, numbers of applicants and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007 - 2011 by funding scheme.



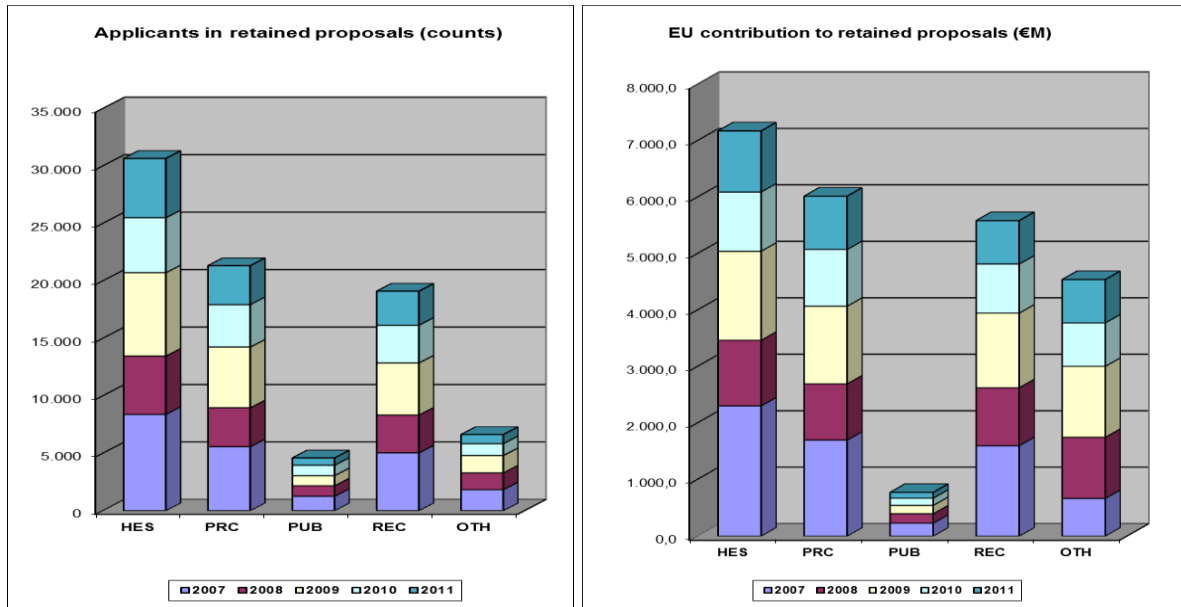
## 2.3 Participation by type of organisation

Data on the type of activity of participating organisations in FP7 is collected according to a classification scheme which groups organisations in the following categories:

- Higher or secondary education (HES)
- Private for profit (excluding education) (PRC)
- Public body (excluding research and education) (PUB)
- Research organisations (REC)
- Other (OTH)

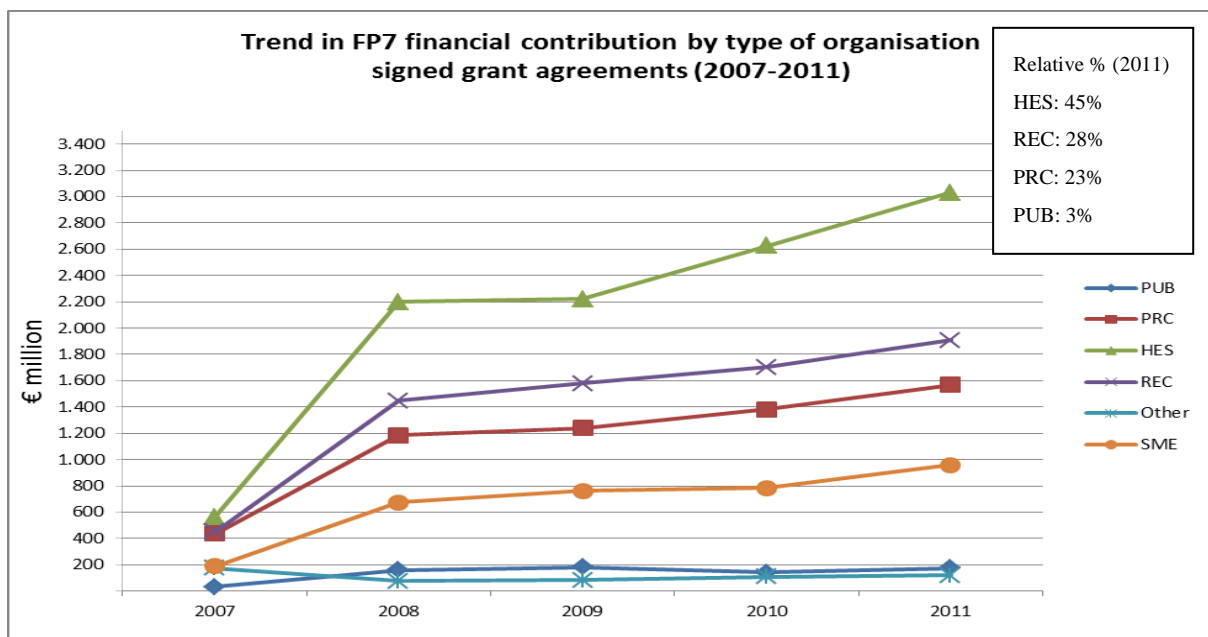
Figure 7 below presents a breakdown of the numbers of applicants and amounts of requested EU contribution (in € million) in retained proposals during the period 2007-2011 by type of organisation.

**Figure 7:** Numbers of applicants and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007 - 2011 by type of organisation.



The amount of financial contribution coming from FP7 is steadily growing over the years of FP7 implementation. With the exception of public bodies excluding education (PUB) with relatively marginal and stable trends in received FP7 contribution, all other organisation types are recording a stable growth in FP7 financial contribution over the years of FP7 implementation. Higher and secondary education organisations (HES) - also the biggest shareholder of FP7 funds - record higher growth than other types of organisations, which all show a similar trend of roughly 100 million Euro of increase in FP7 financial contribution per year of its implementation.

**Figure 8:** EU financial contribution (in € million) in the signed grant agreements for FP7 calls concluded in 2007 -2011 by type of organisation.



### 2.3.1 Academia participation

Higher and secondary education institutes (HES) remain in 2011 the main beneficiaries of FP7, in terms of both numbers of applicants and requested EU funding, with respectively 40 % and 30 % of the total in retained proposals.

#### Top academic participants

Table 3 below presents the general and within-group rankings of the 50 higher or secondary education institutions with the highest numbers of FP7 participations in signed grant agreements during the period 2007-2011. The 50 HES organisations represent 12 countries (10 Member States and 2 Associated Countries). The highest number comes from the United Kingdom (14), followed by Germany (6) and the Netherlands (6). There is just one change in the top 50 list compared to the previous year – University of Bristol (UK) instead of Aalto-Korkeakoulusaatio (FI).

**Table 3:** Ranking of top 50 participant HES organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2011.

HES RANK	OVERALL RANK	INSTITUTION NAME	PARTICIPATIONS	COUNTRY
1	3	THE UNIVERSITY OF CAMBRIDGE	446	UK
2	6	THE UNIVERSITY OF OXFORD	384	UK
3	7	IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND MEDICINE	377	UK
4	8	EIDGENOESSISCHE TECHNISCHE HOCHSCHULE ZURICH	349	CH
5	9	ECOLE POLYTECHNIQUE FEDERALE DE LAUSANNE	329	CH
6	10	KATHOLIEKE UNIVERSITEIT LEUVEN	329	BE
7	13	UNIVERSITY COLLEGE LONDON	313	UK
8	18	KOBENHAVNS UNIVERSITET	237	DK
9	19	DANMARKS TEKNISKE UNIVERSITET	235	DK
10	20	THE UNIVERSITY OF EDINBURGH	234	UK
11	21	KAROLINSKA INSTITUTET	214	SE
12	23	TECHNISCHE UNIVERSITEIT DELFT	212	NL
13	24	LUNDS UNIVERSITET	210	SE
14	25	THE UNIVERSITY OF MANCHESTER	207	UK
15	26	KAELSRUHER INSTITUT FUER TECHNOLOGIE	198	DE
16	27	KUNGLIGA TEKNISKA HOEGSKOLAN	195	SE
17	28	THE UNIVERSITY OF SOUTHAMPTON	182	UK
18	29	WAGENINGEN UNIVERSITEIT	178	NL
19	30	VERENIGING VU - WINDESHEIM	173	NL
20	31	UNIVERSITEIT GENT	171	BE
21	33	THE UNIVERSITY OF NOTTINGHAM	170	UK
22	34	THE UNIVERSITY OF SHEFFIELD	168	UK
23	35	THE UNIVERSITY OF LEEDS	165	UK
23	37	UNIVERSIDAD POLITECNICA DE MADRID	165	ES
24	40	AARHUS UNIVERSITET	164	DK
25	41	UNIVERSITEIT UTRECHT	162	NL
26	42	CHALMERS TEKNISKA HOEGSKOLA AB	158	SE
27	43	ALMA MATER STUDIUM-UNIVERSITA DI BOLOGNA	157	IT
28	44	HELSINGIN YLIOPISTO	155	FI
29	45	UNIVERSITY OF BRISTOL	154	UK
30	46	UNIVERSITAET STUTTGART	153	DE
31	47	STICHTING KATHOLIEKE UNIVERSITEIT	150	NL
31	49	THE HEBREW UNIVERSITY OF JERUSALEM.	150	IL
31	52	UNIVERSITY OF NEWCASTLE UPON TYNE	150	UK
32	53	UNIVERSITAET ZUERICH	148	CH
33	54	TECHNISCHE UNIVERSITAET MUENCHEN	147	DE
34	56	UNIVERSITE DE GENEVE	146	CH
35	58	KING'S COLLEGE LONDON	145	UK
36	60	UPPSALA UNIVERSITET	144	SE
36	61	RHEINISCH-WESTFAELISCHE TECHNISCHE HOCHSCHULE AACHEN	144	DE
37	62	THE UNIVERSITY OF BIRMINGHAM	143	UK
37	64	POLITECNICO DI MILANO	143	IT
38	67	TECHNISCHE UNIVERSITAET WIEN	139	AT
39	68	TECHNISCHE UNIVERSITAET DRESDEN	137	DE
40	69	UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA	136	IT
41	71	TECHNION - ISRAEL INSTITUTE OF TECHNOLOGY.	133	IL
42	72	WEIZMANN INSTITUTE OF SCIENCE	132	IL
43	73	TEL AVIV UNIVERSITY	131	IL
44	74	TECHNISCHE UNIVERSITEIT EINDHOVEN	128	NL
45	76	TECHNISCHE UNIVERSITAT BERLIN	127	DE

## 2.3.2 Participation of research organisations

### Top research organisation participants

Table 4 below presents the general and within-group rankings of the 20 research organisations with the highest numbers of participations in FP7 signed grant agreements during the period 2007-2011. The top 20 research organisations represent 9 Member States and the JRC of the European Commission, the highest number comes from France (5), followed by Germany (4). It is worth noting that these organisations also occupy the highest positions in the overall ranking of participations in FP7. There is no vital change compared to the top list of the previous year.

**Table 4:** Ranking of top 20 participant REC organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2011.

REC RANK	OVERALL RANK	INSTITUTION NAME	PARTICIPATIONS	COUNTRY
1	1	CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE	961	FR
2	2	FRAUNHOFER-GESELLSCHAFT	688	DE
3	5	COMMISSARIAT A L ENERGIE ATOMIQUE ET AUX ENERGIES ALTERNATIVES	465	FR
4	4	MAX PLANCK GESELLSCHAFT ZUR FOERDERUNG DER WISSENSCHAFTEN E.V.	441	DE
5	12	CONSIGLIO NAZIONALE DELLE RICERCHE	441	IT
6	15	AGENCIA ESTATAL CONSEJO SUPERIOR DE INVESTIGACIONES CIENTIFICAS	428	ES
7	16	TEKNOLOGIAN TUTKIMUSKESKUS VTT	294	FI
8	14	INSTITUT NATIONAL DE LA SANTE ET DE LA RECHERCHE MEDICALE (INSERM)	275	FR
9	17	DEUTSCHES ZENTRUM FUER LUFT - UND RAUMFAHRT EV	264	DE
10	22	NEDERLANDSE ORGANISATIE VOOR TOEGEPAST NATUURWETENSCHAPPELIJK ONDERZOEK	235	NL
11	59	JRC -JOINT RESEARCH CENTRE- EUROPEAN COMMISSION	228	EU
12	48	STICHTING DIENST LANDBOUWKUNDIG ONDERZOEK	190	NL
13	65	FOUNDATION FOR RESEARCH AND TECHNOLOGY HELLAS	180	EL
14	39	INSTITUT NATIONAL DE LA RECHERCHE AGRONOMIQUE	178	FR
15	70	FUNDACION TECNALIA RESEARCH & INNOVATION	159	ES
16	38	INSTITUT NATIONAL DE RECHERCHE EN INFORMATIQUE ET EN AUTOMATIQUE	149	FR
17	50	INTERUNIVERSITAIR MICRO-ELECTRONICA CENTRUM VZW	129	BE
18	83	CENTRE FOR RESEARCH AND TECHNOLOGY HELLAS	128	EL
19	63	FORSCHUNGSZENTRUM JUELICH GMBH	120	DE
19	87	CENTRO RICERCHE FIAT SCPA	120	IT

## 2.3.3 Industry participation

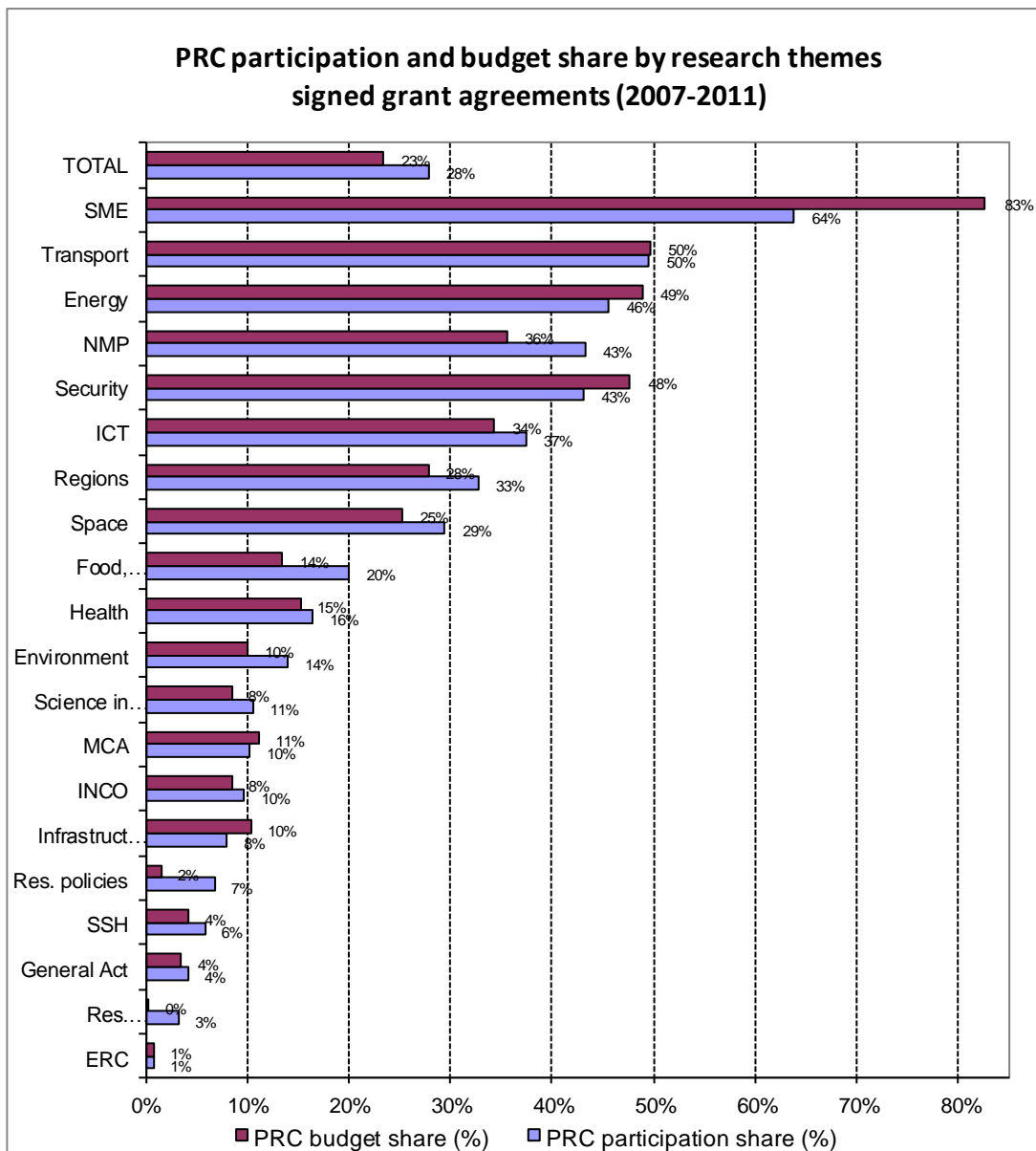
Industry participation in the context of this report means the participation of private-for-profit organisations (PRC), with SMEs being a sub-group.

Similarly to previous years, in 2011 private-for-profit organisations (PRC) account for more than a quarter of the total number of applicants and the total amount of requested EU contribution in retained proposals.

Figure 9 shows PRC sector participation shares over different FP7 thematic areas. The business sector dominates in the *Research for the benefit of SMEs*, the thematic area that was originally set out to boost business sector participation in FP7. However, this sector is also strongly present in its traditional strongholds, such as Transport, Energy and Security thematic areas where it takes about half of all participations as well as the budget. High participation but with somehow lower budget share for business enterprise sector is recorded in NMP/Industrial Technologies, while the highest business sector participation in absolute numbers is recorded in the strongest thematic area of FP7, i.e. ICT, where the business enterprise sector takes just over one third of participations and budget, but this still accounts for a significant 5.400 participations and € 1,7 billion of FP7 funding.



**Figure 9:** PRC participation and budget share by research themes in signed agreements 2007 -2011.



**Top industry participants**

Table 5 below presents the general and within-group rankings of the 50 private-for-profit organisations with the highest numbers of FP7 participations in signed grant agreements during the period 2007-2011. It is interesting to note that none of the companies figure among the top 100 participants in the overall ranking and only 10 among the top 200. The top 10 list consists of the same companies as in the previous year. Overall, there are just 6 new companies in the top 50 list compared to the previous year.

**Table 5:** Ranking of top 50 participant PRC organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2011.

PRC RANK	OVERALL RANK	COMPANY NAME	PARTICIPATIONS	COUNTRY	SME STATUS
1	118	SIEMENS AG	85	DE	N
2	120	TELEFONICA INVESTIGACION Y DESARROLLO SA	83	ES	N
3	121	ATOS SPAIN SA	81	ES	N
4	141	EADS DEUTSCHLAND GMBH	74	DE	N
5	150	SAP AG	70	DE	N
5	152	PHILIPS ELECTRONICS NEDERLAND B.V.	70	NL	N
6	164	THALES COMMUNICATIONS & SECURITY SA	67	FR	N
7	173	D'APPOLONIA SPA	65	IT	N
8	178	STMICROELECTRONICS SRL	62	IT	N
9	199	ACCIONA INFRAESTRUCTURAS S.A.	57	ES	N
10	232	ELECTRICITE DE FRANCE S.A.	49	FR	N
11	236	FRANCE TELECOM SA	47	FR	N
12	256	VOLVO TECHNOLOGY AB	44	SE	N
13	271	IBM ISRAEL - SCIENCE AND TECHNOLOGY LTD	41	IL	N
14	297	ARTTIC	38	FR	Y
14	302	CENTRE DE RECERCA I INNOVACIO DE CATALUNYA S.A.	38	ES	Y
15	304	ROBERT BOSCH GMBH	37	DE	N
15	306	THALES SA	37	FR	N
15	308	INFINEON TECHNOLOGIES AG	37	DE	N
16	315	AIRBUS OPERATIONS SAS	36	FR	N
17	329	VOLKSWAGEN AG	34	DE	N
18	344	ROLLS ROYCE PLC	33	UK	N
19	356	IBM RESEARCH GMBH	32	CH	N
19	358	ENGINEERING - INGEGNERIA INFORMATICA SPA	32	IT	N
19	360	TELECOM ITALIA S.p.A	32	IT	N
20	374	BASF SE	31	DE	N
21	383	NEC EUROPE LTD	30	UK	N
21	386	ALENIA AERONAUTICA SPA	30	IT	N
21	395	ALMA CONSULTING GROUP SAS	30	FR	N
22	407	SNECMA SA	28	FR	N
22	410	ERICSSON AB	28	SE	N
22	421	USTAV JADERNEHO VYZKUMU REZ A.S.	28	CZ	N
23	427	EUROPEAN AERONAUTIC DEFENCE AND SPACE COMPANY EADS FRANCE SAS	27	FR	N
23	435	INRA TRANSFERT S.A.	27	FR	N
24	447	ALCATEL-LUCENT DEUTSCHLAND AG	26	DE	N
24	456	GREEK RESEARCH AND TECHNOLOGY NETWORK S.A.	26	EL	N
24	464	ELSAG DATAMAT S.P.A.	26	IT	N
24	466	DASSAULT AVIATION SA	26	FR	N
25	473	SELEX SISTEMI INTEGRATI SPA	25	IT	N
25	474	PTV PLANUNG TRANSPORT VERKEHR AG.	25	DE	N
25	476	ASTRIUM S.A.S.	25	FR	N
26	487	EUROPEAN ROAD TRANSPORT TELEMATICS IMPLEMENTATION COORDINATION ORGANISATION S.C.R.L.	24	BE	Y
27	501	ISTITUTO EUROPEO DI ONCOLOGIA SRL	23	IT	N
27	511	INTEL PERFORMANCE LEARNING SOLUTIONS LIMITED	23	IE	N
28	531	RENAULT s.a.s. represented by GIE REGIENOV	22	FR	N
28	532	DAIMLER AG	22	DE	N
28	538	UNION INTERNATIONALE DES CHEMINS DE FER - UIC	22	FR	N
28	542	DET NORSKE VERITAS AS	22	NO	N
28	544	NPL MANAGEMENT LIMITED	22	UK	N
28	548	LABOR S.R.L.	22	IT	Y

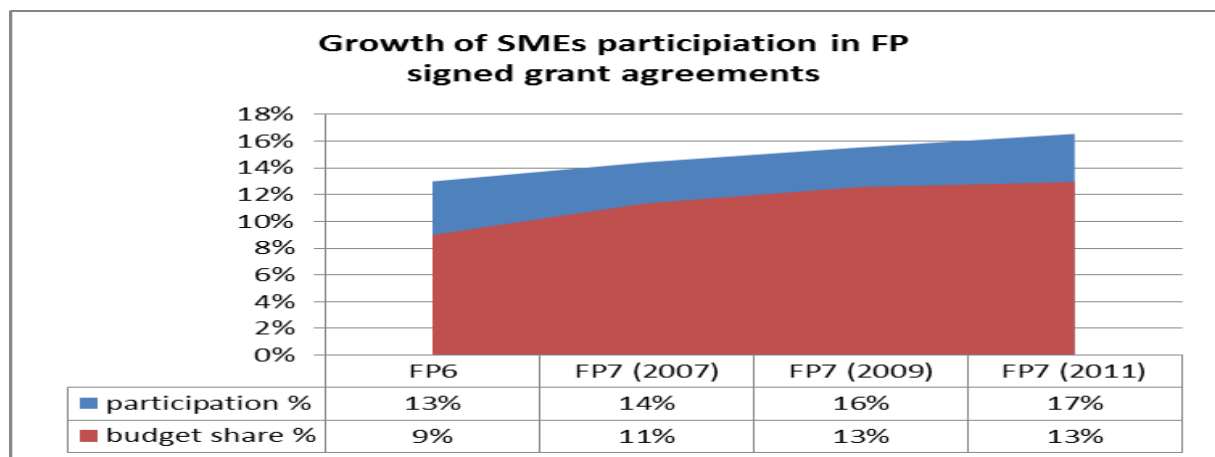
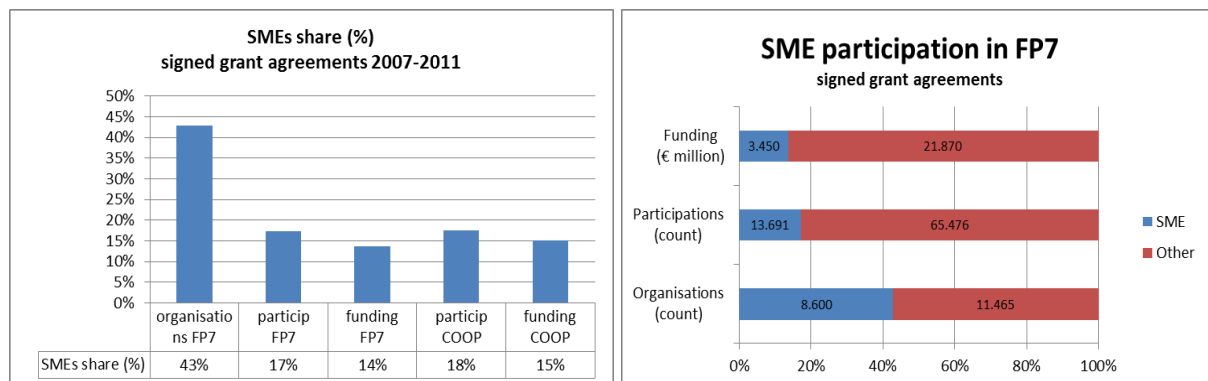
## SME participation

Due to the limitations of the statistical data on SMEs in submitted, included and retained proposals, the figures provided in this report are drawn from data on signed grant agreements corresponding to the concluded calls with call closure dates from 2007 to 2011 as recorded in CORDA.

The figure 10 reflects on SMEs participation patterns in FP7. With the continuous improvement of SME participation rates from FP6 onwards, SMEs now account for 17% of all FP7 participations and 14% of FP7 budget (18% and 15% respectively in the Cooperation programme). At the same time they represent over 43% of all FP7 participating organisations. These figures indicate SMEs have highly atomized FP7 participation patterns. Around 20% of all participations and funding going to SMEs are

coming from the FP7 SMEs specific programme, suggesting the strong presence of SMEs also in other, mainly industry dominated FP7 priorities.

**Figure 10:** Share of SMEs in terms of signed grant agreements corresponding to FP7 calls concluded in 2007-2011.



### Top SME participants

For the period 2007-2011, 64% of distinct organisations participating in FP7 signed grant agreements have participated only once, while 95% of the organisations have participated less than 10 times.

SMEs organisations account for 43% of all organisations participating in grant agreements for the period 2007-2011. 75% of distinct SME organisations participating in FP7 signed grant agreements, have participated only once while 99.5% of the organisations have participated less than 10 times, with only 32 SMEs, 0,5%, participating 10 or more times.

The average EU contribution to SMEs participating in FP7 for the period of 2007-2011 is € 252.560. This is about two-thirds of the average EU contribution to non-SME participants (€ 372.485).

Table 6 below presents the general and the within-group rankings of the 25 private-for-profit SMEs with the highest numbers of participations in FP7 signed grant agreements during the period 2007-2011.

**Table 6:** Ranking of top 25 SME (PRC) participant organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2011.

PRC RANK	OVERALL RANK	COMPANY NAME	PARTICIPATIONS	COUNTRY
1	297	ARTTIC	38	FR
1	302	CENTRE DE RECERCA I INNOVACIO DE CATALUNYA S.A.	38	ES
2	487	EUROPEAN ROAD TRANSPORT TELEMATICS IMPLEMENTATION COORDINATION ORGANISATION S.C.R.L.	24	BE
3	548	LABOR S.R.L.	22	IT
4	549	ISLENSK ERFDAGREINING EHF	21	IS
4	557	GABO:MI GESELLSCHAFT FUR ABLAUFORGANISATION:MILLIARIUM MBH & CO KG GAB O	21	DE
5	578	GEIE ERCIM	20	FR
5	587	ATHENS TECHNOLOGY CENTER SA	20	EL
6	640	MFKK FELTALALOI ES KUTATO KOZPONT SZOLGALTATO KFT * MFKK INVENTION AND RESEARCH CENTER SERVICES COMPANY LIMITED	19	HU
6	641	INNOVACIO I RECERCA INDUSTRIAL I SOSTENIBLE SL	19	ES
7	666	SIGMA ORIONIS	18	FR
7	673	CF CONSULTING FINANZIAMENTI UNIONE EUROPEA SRL	18	IT
8	695	ISTITUTO DI STUDI PER L'INTEGRAZIONE DEI SISTEMI (ISIS)	17	IT
8	715	INNOVA SPA	17	IT
9	777	STARLAB BARCELONA SL	15	ES
9	787	VERMON SA	15	FR
10	813	PROFACTOR GMBH	14	AT
10	834	CENTRE FOR SCIENCE, SOCIETY AND CITIZENSHIP	14	IT
11	868	BIOTALENTUM TUDASFEJLESZTO KFT	13	HU
11	871	EUROPEAN RESEARCH AND PROJECT OFFICE GMBH	13	DE
11	872	CEDRAT TECHNOLOGIES SA	13	FR
11	881	PARCO TECNOLOGICO PADANO S.R.L.	13	IT
11	882	INASCO - INTEGRATED AEROSPACE SCIENCES CORPORATION O.E.	13	EL
11	886	NANOCYL S.A.	13	BE
11	893	WIRTSCHAFT UND INFRASTRUKTUR GMBH & CO PLANUNGS KG	13	DE
11	902	INOVAMAIS - SERVICOS DE CONSULTADORIA EM INOVACAO TECNOLOGICA S.A.	13	PT

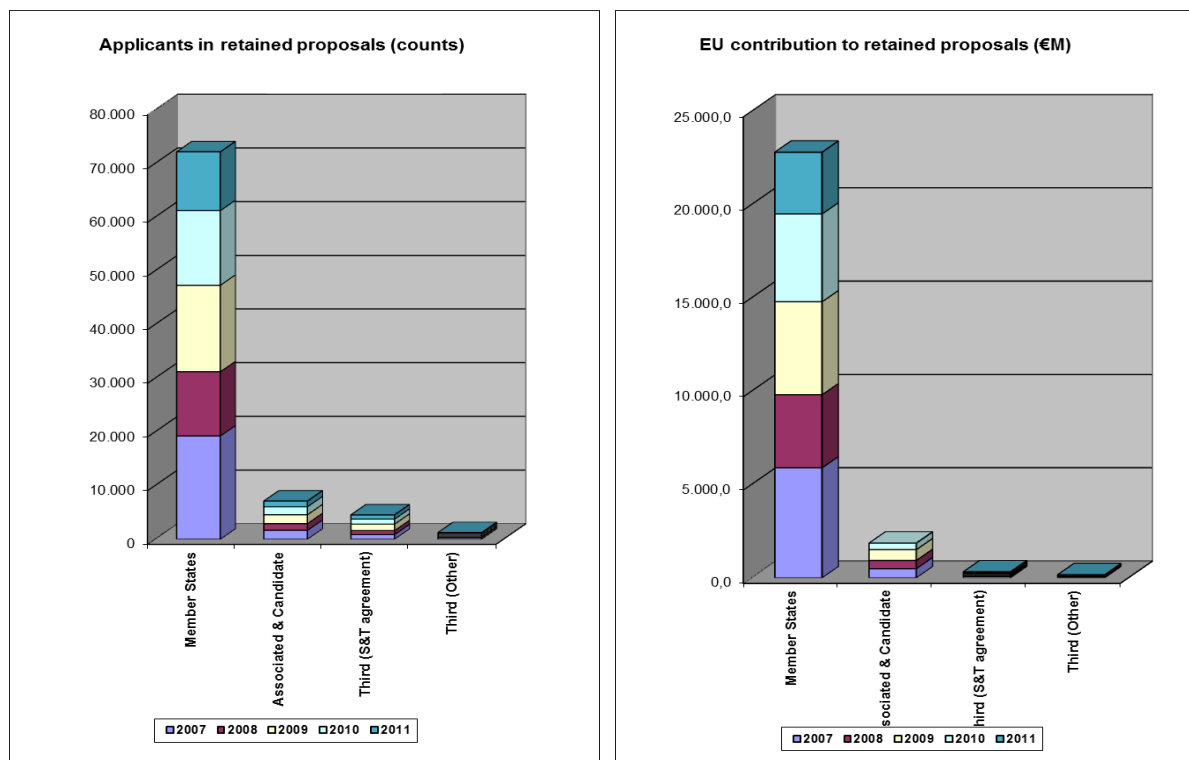
## 2.4 International and regional dimensions of FP7

The Framework Programme by conception is a collaborative programme with global outreach open to all researchers and research organisations irrespective of their country of origin. During its first five years of implementation FP7 has attained unprecedented levels of international participation by involving researchers in retained proposals from as many as 169 countries from all continents.

For analytical and comparative purposes participating countries are conventionally grouped in this section in four groups, namely EU Member States, Candidate and Associated Countries, Third Countries with Science and Technology (S&T) agreements, and other Third Countries. It should be emphasised that these groups are largely heterogeneous in terms of the socio-economic characteristics and the scientific and technological capacities of their members, as well as in terms of their FP7 participation levels and performance.

For detailed statistical figures on participation by country or group of countries see Table B3 in Annex B. Figure 11 below shows the shares of each of the above groups of countries in applicants and requested EU financial contribution.

**Figure 11:** Numbers of applicants and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007-2011 by country group.



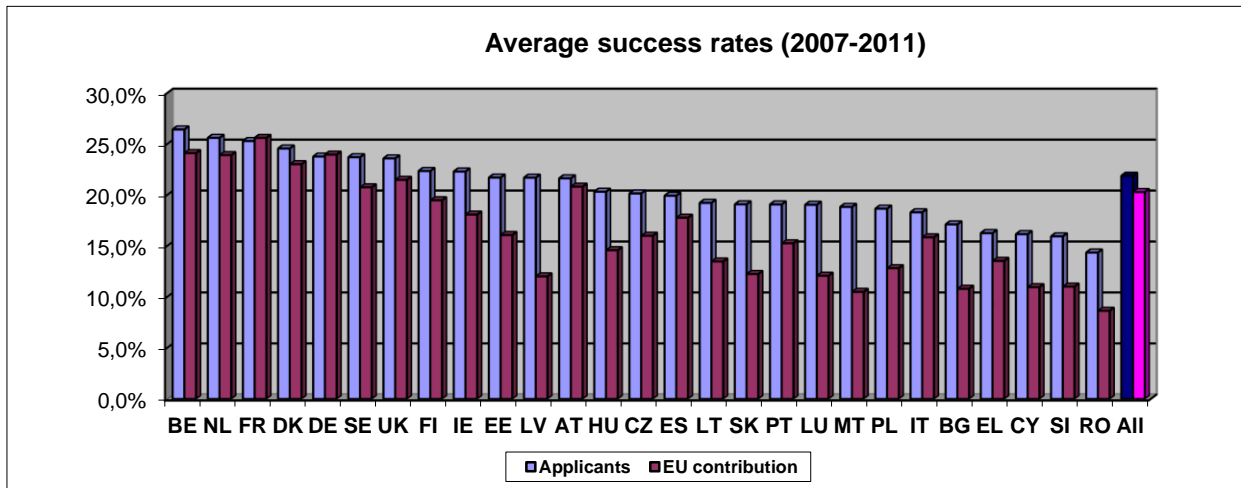
In the NCP survey conducted in the context of the 2011 monitoring exercise FP7 National Coordinators and FP7 Coordinators for Specific Fields were asked to assess if FP7 provides sufficient opportunity for international STI cooperation and potential of FP7 to support international STI cooperation. A majority of the 230 respondents (55,65%) consider that FP7 provides 'very good' and 'good' opportunities for international STI cooperation. The potential of FP7 to support international STI cooperation was rated as 'high' or 'very high' by 65,65% of the respondents.

In the free text comments the respondents agreed that there is not a similar programme in the world (in funding terms) to the FP7, but asked for more strategic orientation in defining international cooperation targets. Some of the respondents also asked for a comprehensive analysis of the actual participation of the European entities within the programmes financed by the Third Countries (e.g. USA, China, Canada, etc.). Some of the respondents claimed that there is a strong imbalance between academic and industry participation. Several respondents from the Third Countries agree that FP7 has potential to support International STi cooperation, but there are still challenges in terms of attracting researches (e.g perception that FP7 is too bureaucratic, too cumbersome and not enough of communication). Based on a survey of Australian researches participating in the FP7, the Framework Programme is rated well, but behind cooperation with the USA and China.

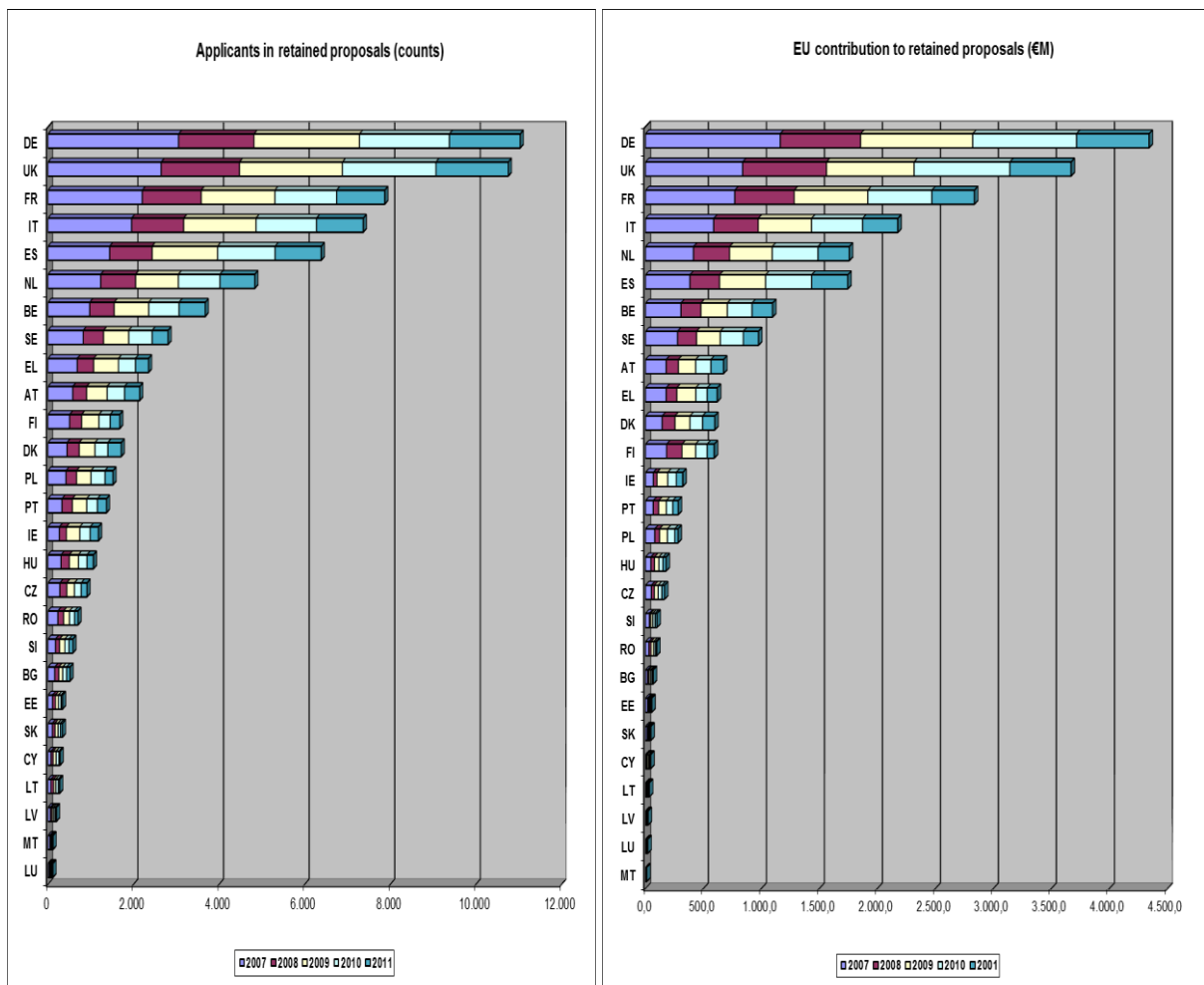
### 2.4.1 EU Member States

Figures 12, 13 and 14 below present the numbers of applicants from the EU27 Member States and the amounts of requested EU financial contribution in retained proposals, the corresponding success rates as well as the amounts of EU contribution per applicant in calls with closure dates in 2007-2011.

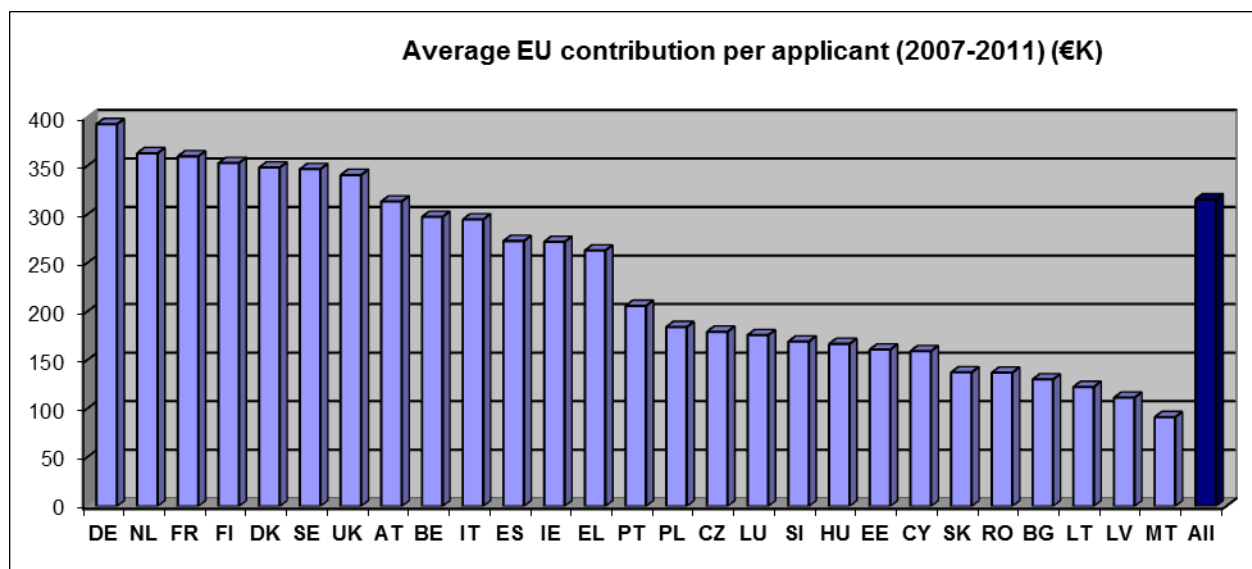
**Figure 12:** Average success rates of EU27 applicants and requested EU financial contribution for FP7 calls concluded during the period 2007-2011 by country.



**Figure 13:** Numbers of EU27 applicants and requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007-2011 by country.



**Figure 14:** Requested EU financial contribution per applicant (in € thousand) in retained proposals for FP7 calls concluded in 2007-2011 by country.



### 2.4.2 Candidate and Associated Countries

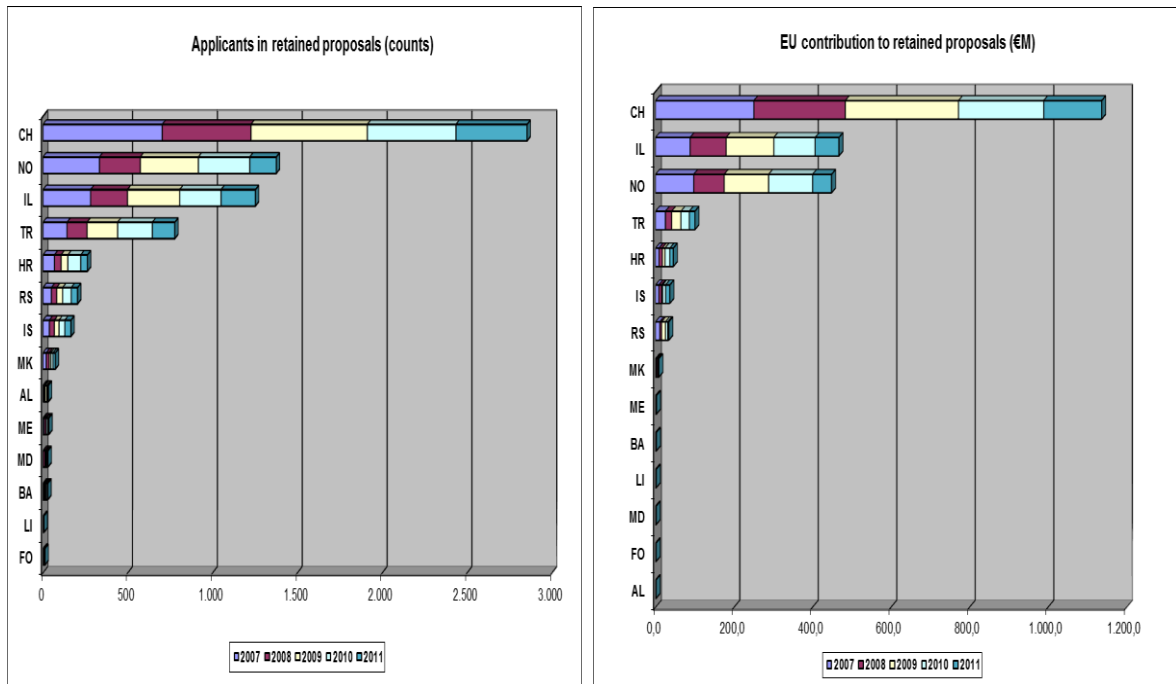
For FP7, the number of Associated Countries is as high as never before, with 14, mainly European countries, currently associated, including all of the Western Balkan States. This makes FP7 a true Pan-European programme and strongly underpins the objective of building a wider ERA.

Candidate for Accession and Associated Countries constitute a heterogeneous group<sup>4</sup>, which in 2011 accounted for around 8% of the total number of applicants and amount of requested EU financial contributions in retained proposals, with corresponding success rates of 21,3% and 19,1% respectively – which are similar to those of EU27 Member States (21,4% and 20,3%).

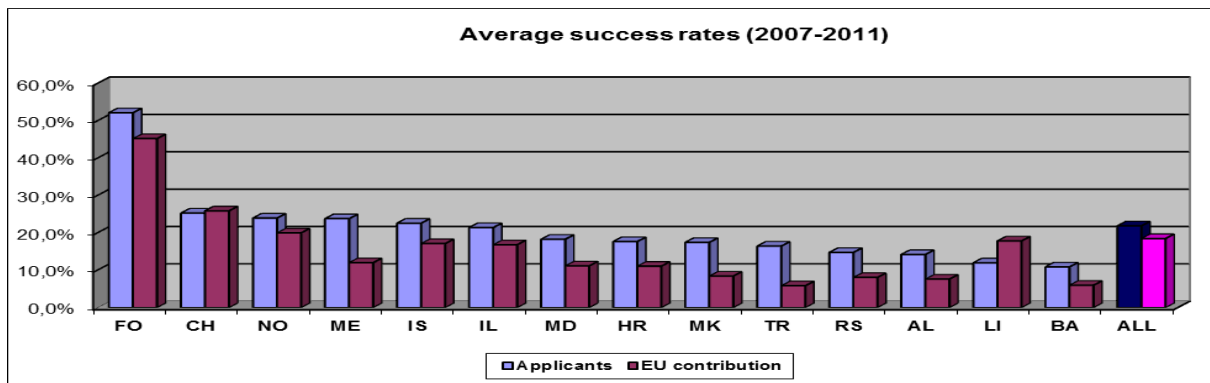
Figures 15, 16 and 17 present the situation in terms of numbers of applicants and requested EU contribution in retained proposals, the corresponding success rates, and EU contribution per applicant from Candidate and Associated Countries in the period 2007-2011.

<sup>4</sup> The Candidate and Associated Countries are Albania (AL), Bosnia-Herzegovina (BA), Croatia (HR), Faroe Islands, (FO) Former Yugoslav Republic of Macedonia (MK), Iceland (IS), Israel (IL), Liechtenstein (LI), Montenegro (ME), Moldova (MD), Norway (NO), Serbia (RS), Switzerland (CH), and Turkey (TR).

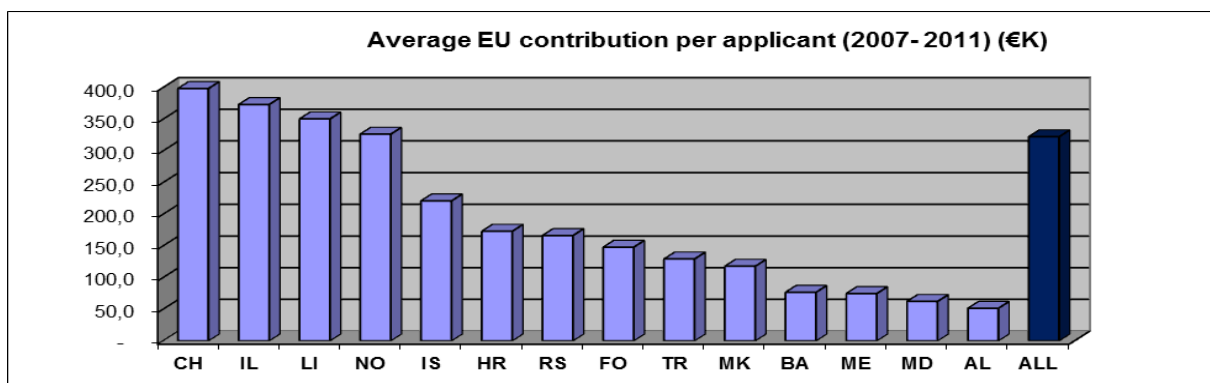
**Figure 15:** Numbers of applicants from candidate and associated countries and requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007-2011 by country.



**Figure 16:** Average success rates of applicants from Candidate and Associated Countries and of requested EU financial contribution for FP7 calls concluded during the period 2007-2011 by country.



**Figure 17:** Requested EU financial contribution per applicant (in € thousand) in retained proposals for FP7 calls concluded in 2007 - 2011 for candidate and associated countries.



Switzerland, Norway and Israel rank in the top three positions for the number of applicants and requested EU contribution among this group of countries. The top 5 collaborative links for these 3 countries are exactly the same - Germany, United



Kingdom, France, Italy and Spain. In Switzerland, the biggest number of grant holders is in *Information and Communication technologies* thematic sector, followed by *Marie Curie* actions and *Health*. In Norway, the leading thematic areas are *Research for the benefit of SMEs*, *Information and Communication technologies* and *Environment (including Climate change)*. Israel is most active in the *Marie Curie* actions, followed by *Information and Communication technologies* and *Health* thematic sectors.

### **2.4.3 Third Countries**

For FP7, a new approach towards international cooperation was developed, aiming to reinforce international research collaboration throughout the Framework Programme. Special instruments (SICA - Specific International Cooperation Actions, coordinated calls, twinning of projects, etc.) were established to implement these objectives allowing both geographical and thematic targeting<sup>5</sup>. In addition, a specific programme dedicated to international cooperation provides funding to support activities (INCO-NETs, BILATs, ERA-NETs int, NCP networks, etc.) designed to underpin the S&T policy dialogue and promote cooperation opportunities under FP7 for international partners.

International Cooperation activities are also reinforcing the external dimension of the European Research Area (ERA), particularly through the implementation of the Strategic European Framework for International S&T Cooperation<sup>6</sup> and the establishment of the Strategic Forum for International S&T Cooperation (SFIC), consisting of high-level representatives of Member States and the Commission.

In addition, the 'EURAXESS Links' initiative<sup>7</sup> (funded under the Specific Actions part of the *People* Programme) helps to maintain the link with European Researchers abroad to keep them updated on research policy, funding and cooperation opportunities in Europe, while reinforcing their role as catalysts to boost cooperation with their host countries (USA, Japan, China, Singapore and India).

This approach, together with the general opening of all activities to Third Country teams, has reinforced the international dimension of FP7, which has grown in volume and focus.

In 2011 there were 933 applicants from as many as 87 Third Countries with a total requested EU financial contribution of € 60,7 million in retained proposals and corresponding success rates of 23,7% and 16,8% respectively. These figures represent just 7,2% of the total number of applicants and 1,7% of the total amount of requested EU contribution in retained proposals.

19 Third Countries concluded with the European Union S&T cooperation agreements<sup>8</sup>. This group of countries includes all the industrialised and emerging economies and several developing countries. These countries accounted in 2011 for more than three quarters (83,3%) of the total number of Third Country applicants and for 73,9% of the total requested EU contribution to Third Countries in retained proposals, with success rates of 25,1% and 17,9% respectively.

In terms of numbers of successful applicants the 10 biggest Third Country participants in 2011 have been (in descending order) the USA, Russia, China, India, Brazil, South Africa, Australia, Canada, Ukraine, and Argentina. In terms of EU financial contribution the 10 biggest beneficiaries (in descending order) have been the Russia, the USA, India, China, South Africa, Brazil, Ukraine, Egypt, Argentina and Tunisia. All of these countries have

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<sup>5</sup> Further details, also on targeted opening activities, in: SEC (2007) 47 "A New Approach to International S&T Cooperation in the EU's 7th Framework Programme (2007-2013)", 12.01.2007.

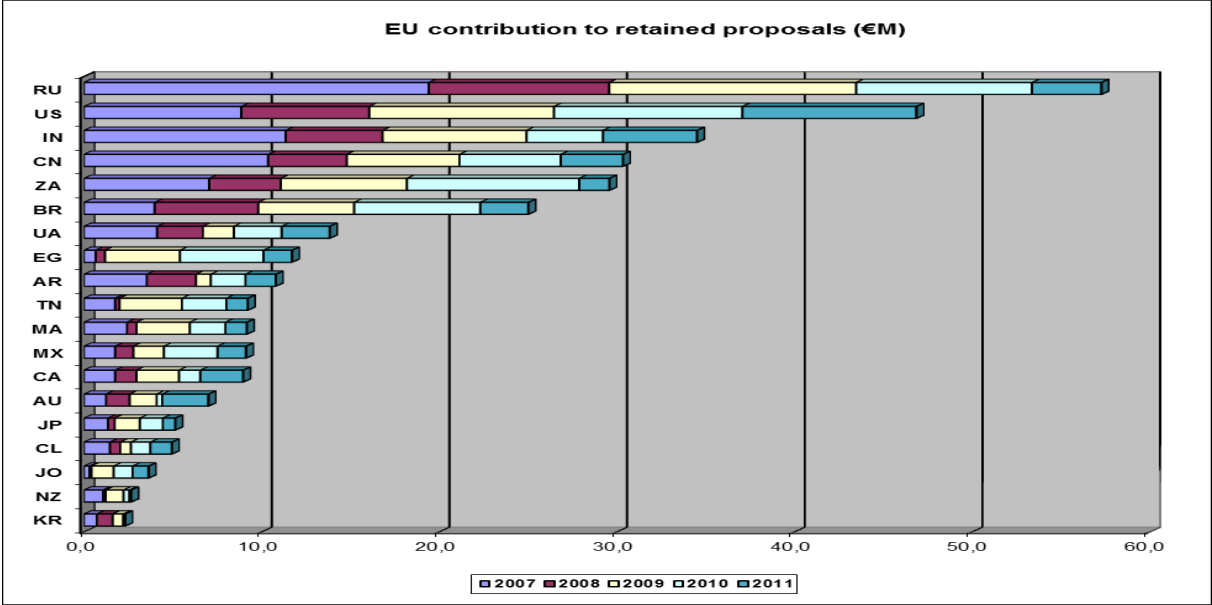
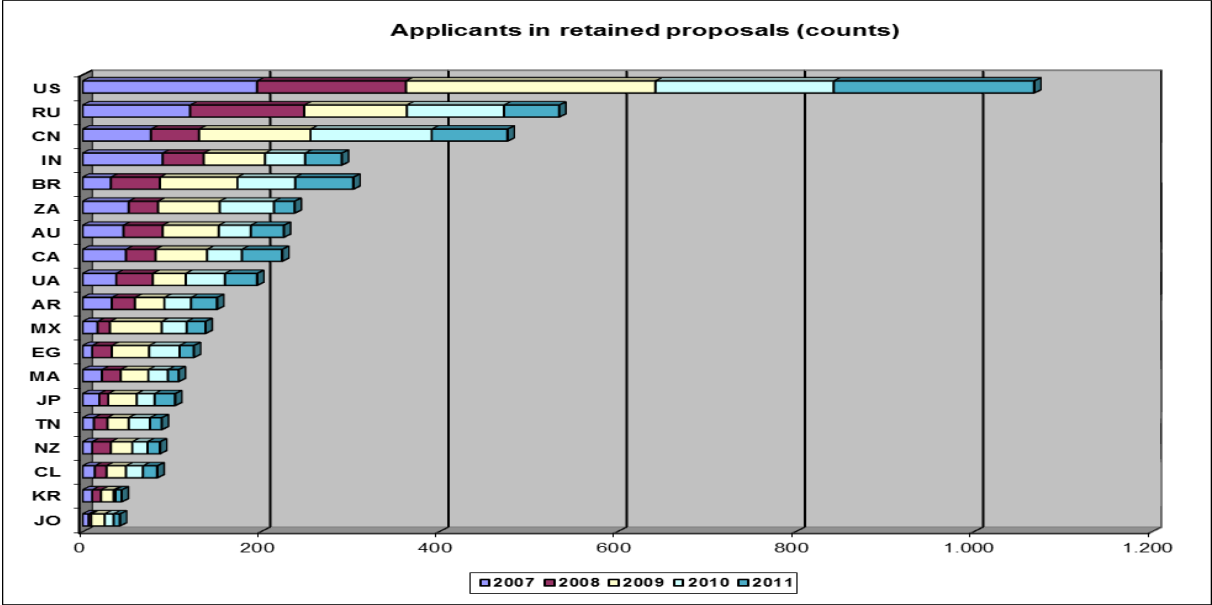
<sup>6</sup> European Commission (2008): Communication "A strategic European Framework for International Science and Technology Cooperation". COM (2008) 588.

<sup>7</sup> [http://ec.europa.eu/euraxess/links/index\\_en.htm](http://ec.europa.eu/euraxess/links/index_en.htm)

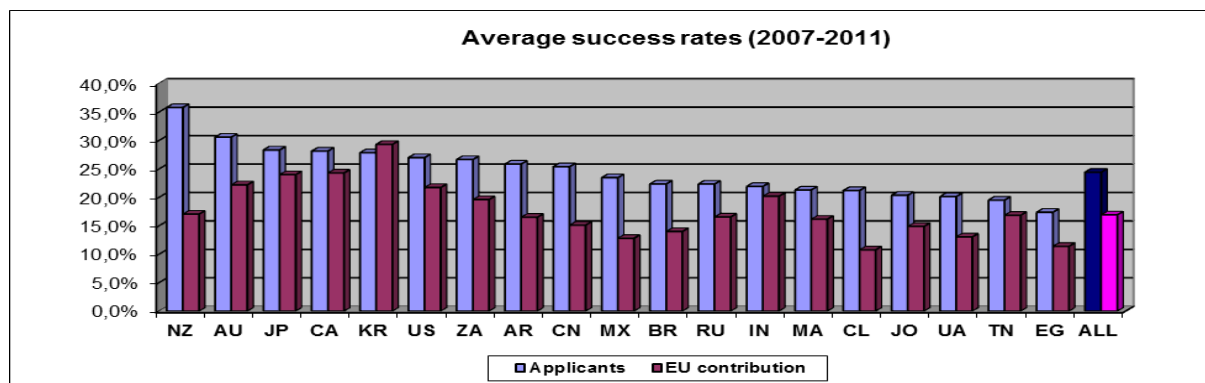
<sup>8</sup> Argentina (AR), Australia (AU), Brazil (BR), Canada (CA), Chile (CL), China (CN), Egypt (EG), India (IN), Japan (JP), Jordan (JO), Mexico (MX), Morocco (MA), New Zealand (NZ), Russia (RU), South Africa (ZA), South Korea (KR), Tunisia (TN), Ukraine (UA), United States (US).

S&T agreements with the EU. Figures 18, 19 and 20 below present the situation of the 19 Third Countries with S&T agreements in terms of numbers of applicants and requested EU financial contribution (in € million) in retained proposals, the corresponding success rates and the EU financial contribution per applicant (in € thousand). The ranking is according to the cumulative performance of the countries during the period 2007-2011.

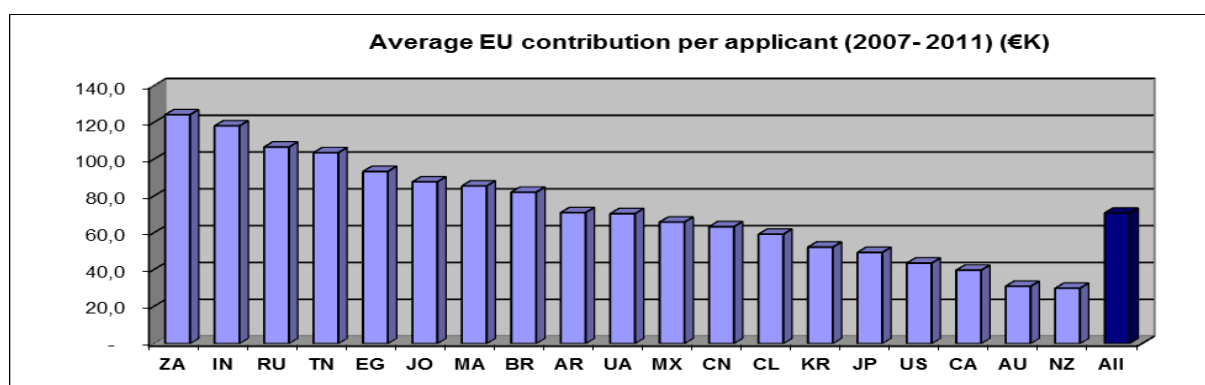
**Figure 18:** Numbers of applicants from third countries with S&T agreements and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007 - 2011.



**Figure 19:** Success rates of applicants from third countries with S&T agreements and of requested EU financial contribution for FP7 calls concluded in 2007 - 2011.



**Figure 20:** Requested EU financial contribution per applicant from third countries with S&T agreements (in € thousand) in retained proposals for FP7 calls concluded in 2007 - 2011.



The USA, Russia, China and India ranks in the top four positions for number of applicants and requested EU contribution among this group of countries. Top 5 collaborative links for these 3 countries are exactly the same - Germany, United Kingdom, France, Italy and the Netherlands. In the USA, the biggest number of grant holders is in *Health* thematic sector, followed by *Information and Communication technologies* and by *Food, Agriculture and Biotechnology*. In Russia, the leading thematic areas are *Transport, Space, Food, Agriculture and Biotechnology* and *Health*. India is most active in *Health, Environment (including Climate change)* and *Information and Communication technologies* thematic sectors. In China, the most active research areas are *Environment (including Climate change), Information and Communication technologies, Food, Agriculture and Biotechnology* and *Health*.

#### 2.4.4 Regional dimension

The European Union has developed a geocode standard for referencing the subdivisions of countries for statistical purposes. The Nomenclature of Units for Territorial Statistics (NUTS) is instrumental, for instance, in European Union's Structural Fund delivery mechanisms. For each EU Member State, a hierarchy of three NUTS levels has been established<sup>9</sup>. It should be noted that the subdivisions in some levels do not necessarily correspond to administrative divisions within the country.

This report presents, for the first time, information on FP7 participation by European region, based on NUTS3 regions identified in CORDA. There are currently 1184 NUTS3 EU27 regions recorded in CORDA, covering 91% of the total EU (the remaining

<sup>9</sup> [http://epp.eurostat.ec.europa.eu/portal/page/portal/nuts\\_nomenclature/introduction](http://epp.eurostat.ec.europa.eu/portal/page/portal/nuts_nomenclature/introduction)

participations being not attributed to a specific region, but at NUTS 2 or the national level), so coverage is complete and reliable.

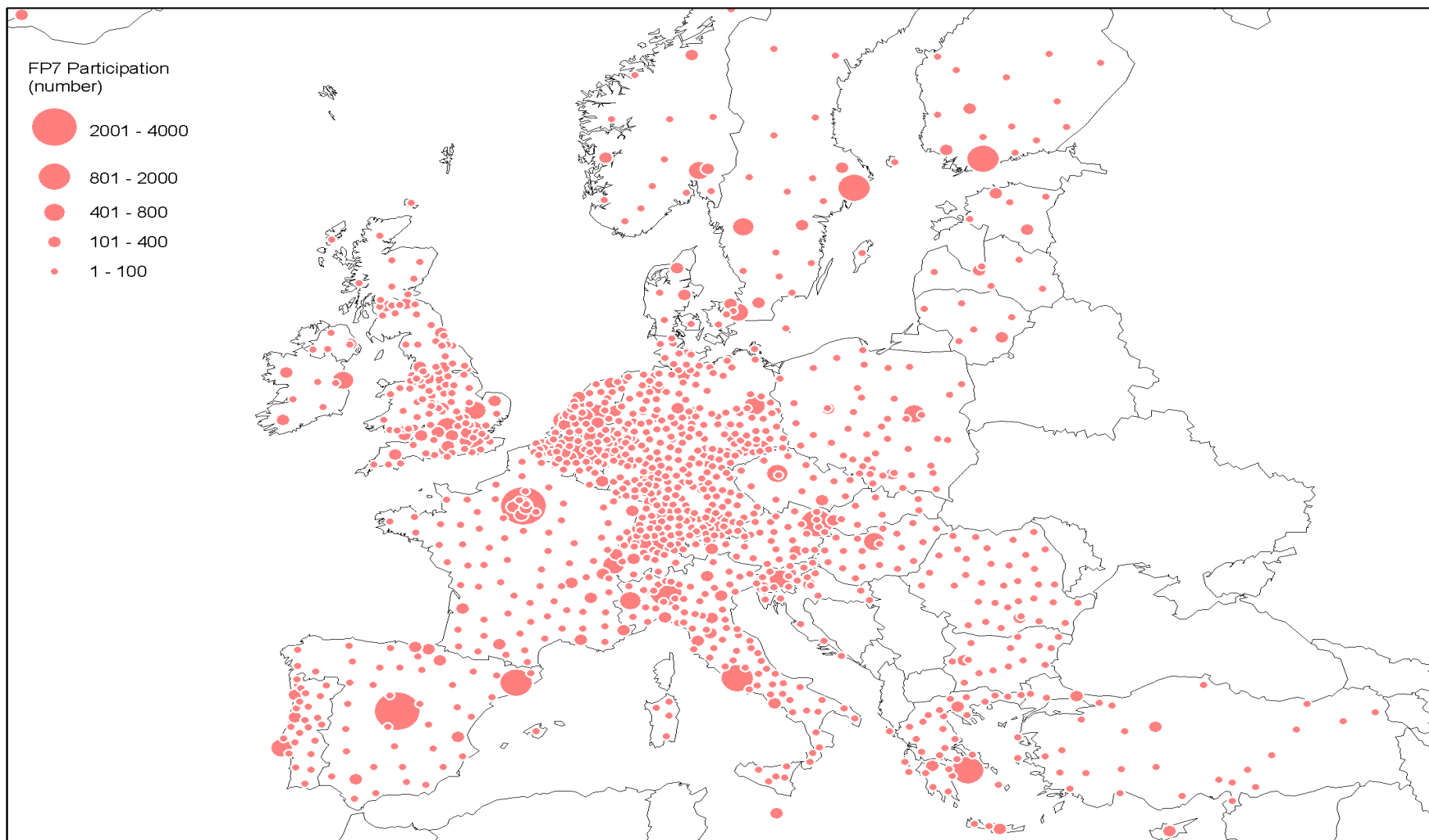
## Top 50 regions as participants

The top 5 regions are the same as in the previous year. Maps 1 and 2 illustrate FP7 participation (number) and EU financial contribution (million Euro) at NUTS 3 level. Table B3 in Annex B provides statistics on collaborative projects for EU-27.

**Table 7:** Ranking of top 50 EU27 NUTS3 (NUTS2 where NUTS3 is not available) regions in terms of counts of participations in FP7 signed grant agreements and in terms of EU contribution for the period 2007-2011.

Rank by Participation Counts	Rank by EU Contribution	NUTS Code	NUTS3 Name	Participation Counts	EU Financial Contribution
1	1	FR101	Paris	3.601	1.513.823.771
2	4	ES300	Madrid	1.990	605.454.040
3	5	ITE43	Roma	1.836	539.833.392
4	2	DE212	München, Kreisfreie Stadt	1.795	848.109.217
5	3	UKI11	Inner London - West	1.665	687.888.880
6	6	ES511	Barcelona	1.375	443.292.265
7	9	EL300	Attiki	1.369	379.188.298
8	15	BE100	Arr. de Bruxelles-Capitale	1.239	286.063.589
9	10	ITC45	Milano	1.089	366.688.191
10	8	FI181	Uusimaa	1.077	390.932.220
11	11	AT130	Wien	1.065	339.393.663
12	7	SE110	Stockholms län	1.017	404.839.521
13	16	DE300	Berlin	791	281.537.187
14	12	NL326	Groot-Amsterdam	716	312.355.046
15	13	UKH12	Cambridgeshire CC	668	305.009.837
16	40	HU101	Budapest	668	120.920.111
17	17	FR105	Hauts-de-Seine	649	255.588.494
18	31	PT171	Grande Lisboa	627	143.090.263
19	18	BE242	Arr. Leuven	606	252.502.066
20	14	UKJ14	Oxfordshire	605	304.837.460
21	41	PL127	Miasto Warszawa	576	117.628.897
22	19	NL333	Delft en Westland	575	219.481.320
23	26	ITC11	Torino	572	161.121.865
24	21	SE232	Västra Götalands län	556	205.645.199
25	23	IE021	Dublin	535	180.235.987
26	52	CZ010	Hlavni mesto Praha	490	95.008.145
27	27	DK011	Byen København	481	160.667.650
28	28	NL221	Veluwe	473	160.334.307
29	65	SI021	Osrednjeslovenska	453	80.312.630
30	24	NL310	Utrecht	445	170.542.720
31	25	DEA23	Köln, Kreisfreie Stadt	413	169.858.513
32	44	ES212	Guipúzcoa	391	115.878.616
33	34	UKI12	Inner London - East	373	132.527.533
34	114	BG412	Sofia	362	45.269.719
35	22	DE125	Heidelberg, Stadtkreis	359	194.379.611
36	56	ES523	Valencia / València	356	88.354.742
37	30	BE234	Arr. Gent	354	143.507.680
38	37	DE111	Stuttgart, Stadtkreis	352	124.251.473
39	29	UKM25	Edinburgh, City of	346	145.238.675
40	49	ITC33	Genova	338	97.347.038
41	32	NL414	Zuidoost-Noord-Brabant	337	140.172.974
42	39	DE122	Karlsruhe, Stadtkreis	328	120.975.907
43	38	DK01*	Hovedstaden	325	121.193.028
44	126	RO321	Bucuresti	323	41.189.385

Rank by Participation Counts	Rank by EU Contribution	NUTS Code	NUTS3 Name	Participation Counts	EU Financial Contribution
45	43	SE224	Skåne län	321	116.422.642
46	33	UKK14	Swindon	320	135.846.819
47	36	DE600	Hamburg	314	128.907.434
48	55	EL122	Thessaloniki	308	89.229.914
49	35	FR103	Yvelines	295	130.399.468
50	53	ITD55*	Bologna	295	91.494.838

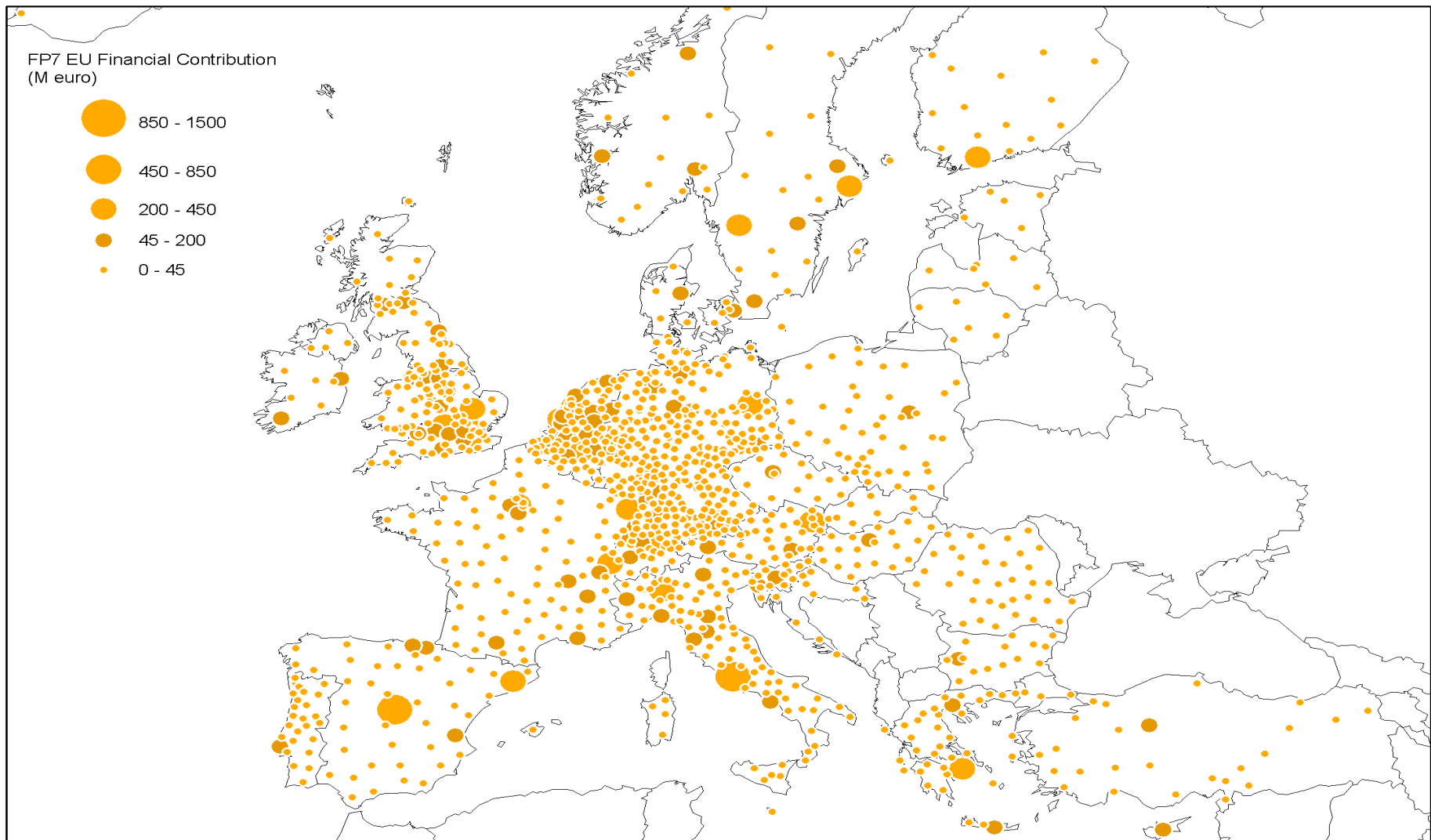


**Map 1 – FP7 Participation (number) 2007-2011 at NUTS 3 level**

CORDA Common Research Datawarehouse 2012

Data Source CORDA-GIS, Country, NUTS3 shape EUROSTAT-GISCO

E-CORDA extraction date: 2012/02/16



**Map 2 – EU Financial contribution (Euro million) 2007-2011 at NUTS 3 level**

CORDA Common Research Datawarehouse 2012

Data Source CORDA-GIS, Country, NUTS3 shape EUROSTAT-GISCO

E-CORDA extraction date: 2012/02/16

## 2.5 Women participation and the gender dimension in FP7

In 1999, early in FP5, the Commission adopted a Communication in which it undertook the commitment to develop a coherent approach towards promoting women in research financed by the European Union<sup>10</sup>. The Commission's stated aim was to achieve at least a 40% representation of women in Marie Curie fellowships, Advisory Groups, Assessment Panels and Monitoring Panels of FP5. This target was subsequently expanded to include all groups, panels, committees and projects involved in the Framework Programmes. The 40% target remained in place for FP6 and is also valid for FP7.

### 2.5.1 Patterns of women participation in FP7 projects

The CORDA database contains data on individuals with assigned *contact person* roles for each of the organisations which participate in FP7 funded projects, for which grant agreements have already been signed. This data includes gender identity. In the thematic area *Information and Communication Technologies* data of this type is recorded in the CORDA database only for the 'Contact Person' role.<sup>11</sup>

At the moment of data extraction (July 2012) the database contained an estimated total of 248.159 individuals from EU27 participant organisations with assigned contact person roles, whose gender identity has been registered in the database, of which 64.517, or 26%, were women. Of all individuals with assigned contact person roles in coordinator organisations, 33,3% (17.898) are women; in participant (non-coordinating) organisations the corresponding share of women is 24,7% (46.619).

**Table 8:** Gender of individual participants with contact person roles in signed grant agreements from FP7 calls concluded during the period 2007-2011.

Role	Coordinator			Participant			All		
	F	M	%F	F	M	%F	F	M	%F
Contact Person	6.567	7.590	46,39%	19.073	33.624	36,19%	25.640	41.214	38,35%
Contact Person for Legal Aspects	9	6	60,00%	18	24	42,86%	27	30	47,37%
Contact Person for Scientific Aspects	2.271	9.119	19,94%	10.783	39.680	21,37%	13.054	48.799	21,10%
Fellow	2.745	4.884	35,98%	1.226	2.011	37,87%	3.971	6.895	36,55%
First Administrative Officer	3.107	11.006	22,02%	8.174	44.167	15,62%	11.281	55.173	16,98%
Principal Investigator	478	2.033	19,04%	-	-	-	478	2.033	19,04%
Secondary Administrative Officer	2.721	6.509	29,48%	7.345	22.989	24,21%	10.066	29.498	25,44%
TOTAL	17.898	41.147	30,3%	46.619	142.495	24,7%	64.517	183.642	26,0%

\*figures valid for the number of persons linked to the participants in signed FP7 contracts

\*gender information in ICT projects is not available

Source: E-CORDA as of 19/06/2012

About a fifth (20%) of all individuals characterised as *contact person for scientific aspects* in signed grant agreements are women. Women represent around a third (38%) of individuals in the category *fellow*, which corresponds to the specific programme People (Marie Curie Actions).

<sup>10</sup> European Commission (1999): Communication "Women and Science: Mobilising women to enrich European research", COM(1999)76. Brussels.

<sup>11</sup> This is due to differences in the reporting format of the contract management systems used by the different Commission services: DG RTD and DG ENTR use the Contract and Project Management (CPM) Module, while DG INFSO uses the Phoenix Contract Management Application.



Out of the more than 2.500 ERC grant holders around a fifth are women. The share is substantially higher in the Starting Grant competitions with 24% women grantees, compared to 12% in the Advanced Grant competitions. These relative low shares are partly due to the lower proportion of women applying to each of the two grant schemes, with an average of 29% in the Starting Grants and 14% in the Advanced Grants.

Figure 21 presents the participation shares of women in contact person roles in FP7 signed grant agreements from 2007 to 2011 by country of origin of the participating organisation, for the group of EU27 Member States.

**Figure 21:** Participation share of women from project participant and project coordinator organisations in contact person and contact person for scientific aspects roles in FP7 signed grant agreements during the period 2007-2011 by EU27 Member State.

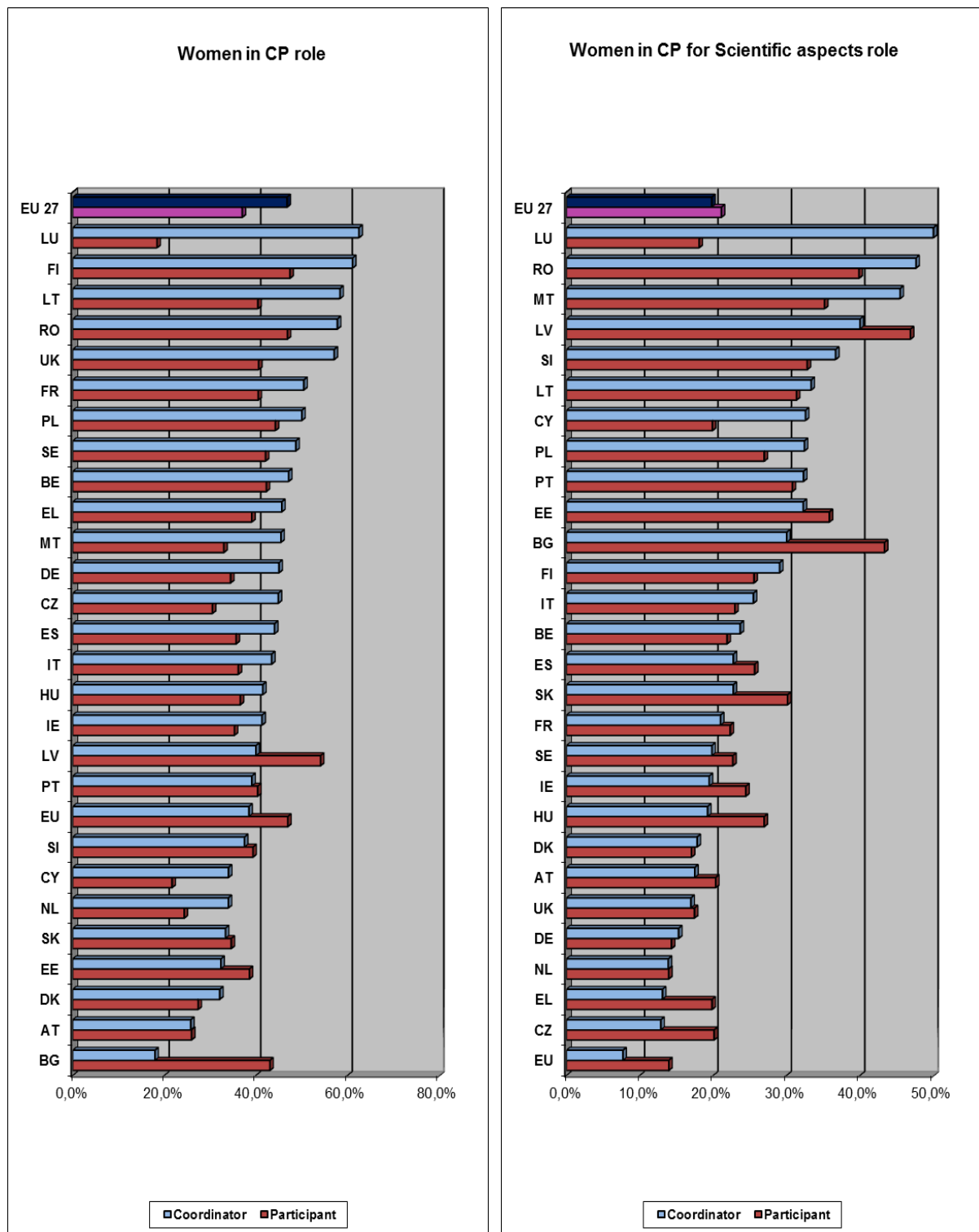
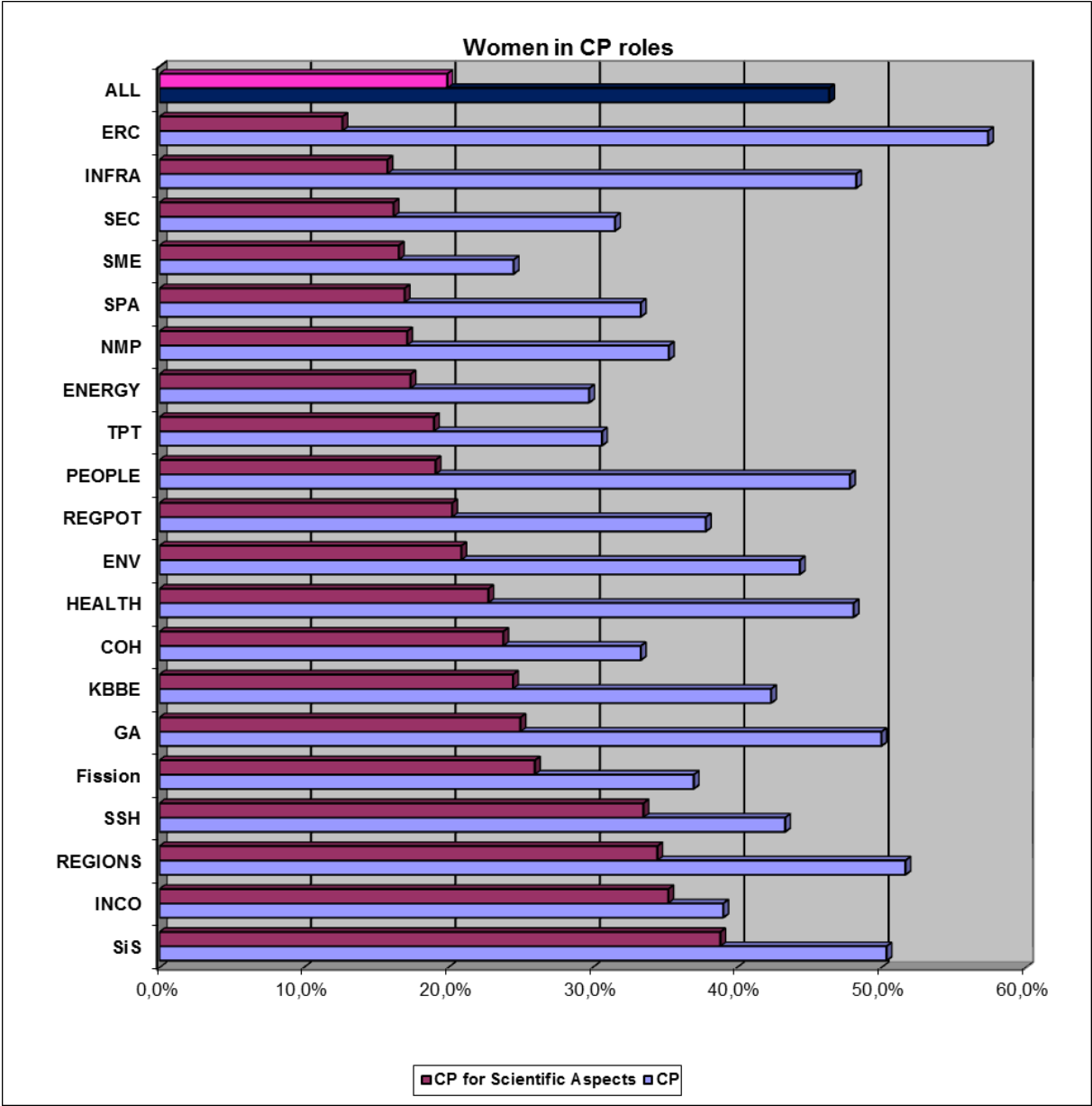


Figure 22 presents the participation share of women in contact person roles in FP7 signed grant agreements from 2007 to 2011 by thematic area. It is interesting to observe the considerable variation of female participation shares in contact person for scientific aspects role among different thematic areas, which ranges from more than a third of the total in areas like Science in Society, Support for the coherent development of research policies, and Socio-economic sciences and Humanities, to 16,6% in Research for the Benefit of SMEs, 16,2% in Security, 17,2% in Nanosciences, Nanotechnologies, Materials and new Production Technologies and 17,4% in Energy.

**Figure 22:** Participation share of women in contact person and contact person for scientific aspects roles in FP7 signed grant agreements from EU27 during the period 2007-2011 by thematic area.



## 2.5.2 Women participation in FP7 advisory groups, panels and committees

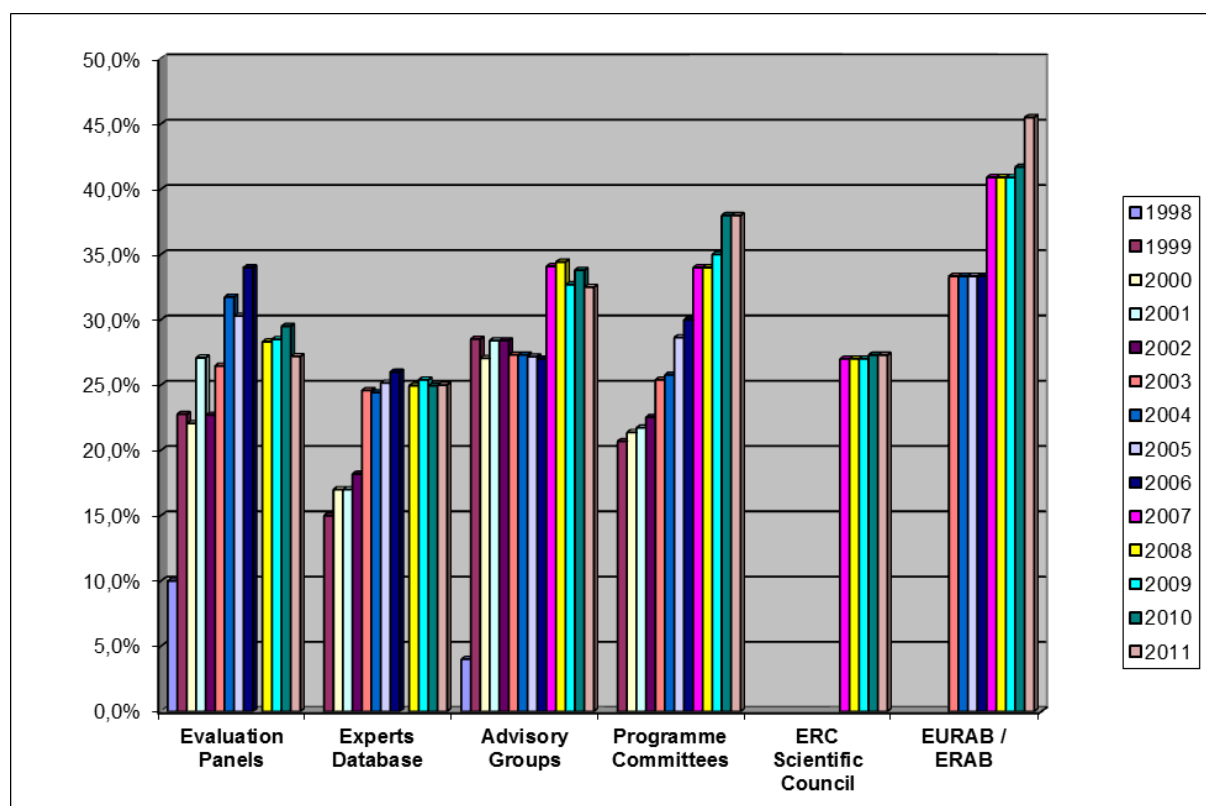
The share of women in FP7 evaluation panels, i.e. of registered FP7 evaluation experts with at least one participation in evaluation panels, saw a slight decrease in 2011 to 27,2%.

Out of the existing 14 Advisory Groups under FP7, the percentage of women was 32,5% Compared to previous years' improvement, the 2011 figure represents a slight decrease (1,3%) also in view of the 40% target.

The percentage of female members of FP7 Programme Committees is 38%. In the same year female members of the ERC Scientific Council represented 27,3% of the total members. The corresponding figure for the European Research Area Board (ERAB) – the consultative body responsible for advising the EU on the realisation of the ERA – was 45,5%, which is higher than in 2010 and also higher than the respective figure (33% until 2006) for the European Advisory Board (EURAB) – the high level advisory board established for FP6.

Figure 23 below presents in more detail the shares of women participation in groups, panels and committees from FP4 to FP7 (1998-2011).

**Figure 23:** Participation share of women in advisory groups, panels and committees (FP4, FP5, FP6, FP7).\*



\* For Evaluation Panels and the Experts Database, the data presented for each year of FP7 are cumulative.

### 3 FP7 IMPLEMENTATION IN 2010 – MANAGEMENT AND QUALITY ISSUES

#### 3.1 Dissemination activities

##### 3.1.1 Internet

The European Commission Research web site on EUROPA provides up-to-date information on the latest decisions and latest advances in European Research. Key figures for 2011, compared to 2010, 2009, 2008 and 2007 are shown below. These are taken from the Europa Analytics system provided by DG COMM/DIGIT.

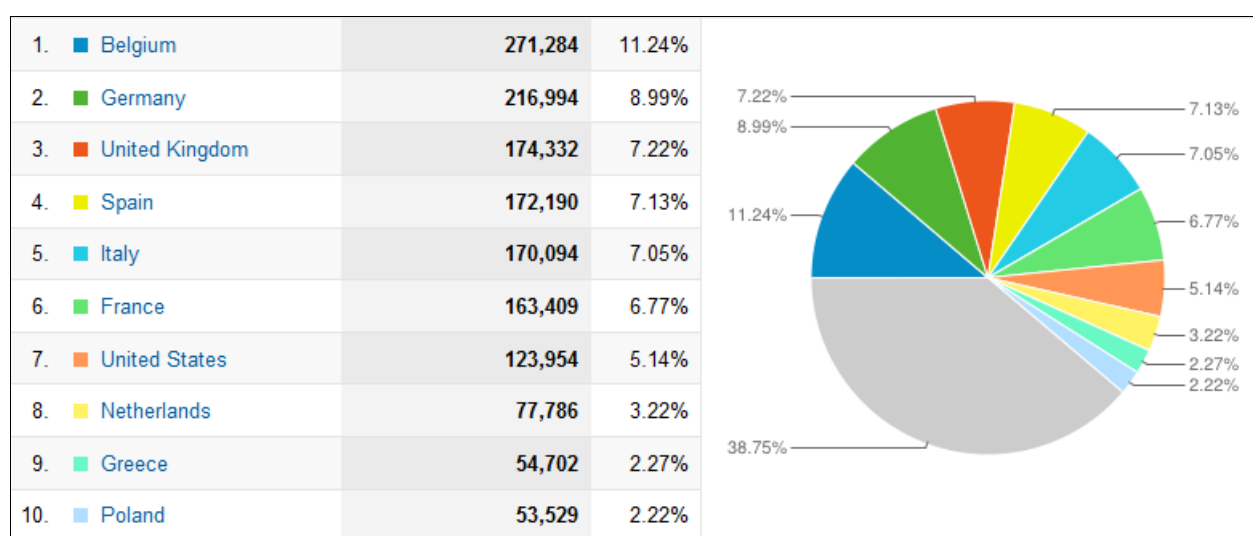
**Table 9:** EUROPA usage statistics (DIGIT/DG COMM statistics).

EUROPA USAGE	2007	2008	2009	2010	2011
Visits per year (total)	7,5 million	8,5 million	6,9 million	7,3 million	7,9 million
Page views (total)	16,65 million	16,2 million	21 million	22 million	28 million
Visitors per month (average)	N/A	125.000	> 300.000	340.000	357.000

The 49 sites monitored using Google Analytics comprise some 64.000 pages (counting those visited more than once in the year – no significant increase since 2010) that were visited on average by 109.000 visitors per month. In 2011 there were 2,4 million visits leading to 7,4 million page views. This is an increase of 10,7% and 11,7% respectively.

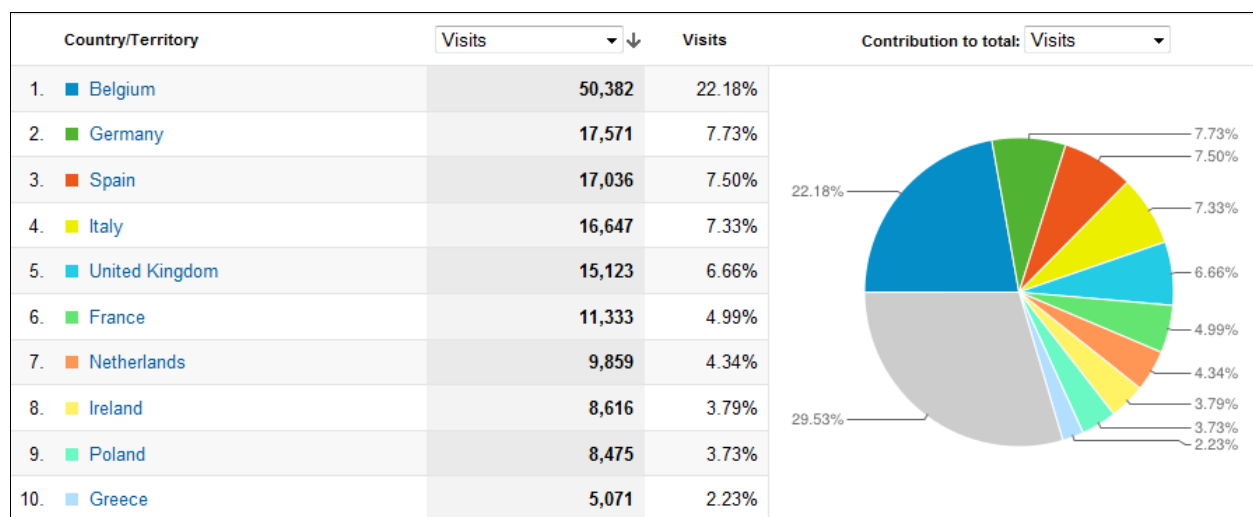
Figure 24 presents the distribution of visits by country with Belgium leading the list of the 10 countries with the highest number of visits. It should be kept in mind that the latter is likely to be the result of the fact that many European institutions are based in Brussels.

**Figure 24:** Distribution of visits to the Research & Innovation web site by country



Statistics for the Innovation Union web site were set up separately. Google reports 77.000 visitors, 227.000 visits and 629.000 page views in 2011, compared with 10.000 visitors in 2010, with 35.000 visits and 97.000 page views since the site was started on 6 October that year. Comparing October-December only, there was an increase of 140-160% in all indicators with over 1000% increase in visits during the week of the Innovation Convention.

**Figure 25:** Geographic breakdown of visits to the Innovation Union web site



CORDIS, the Community Research and Development Information Service, is run separately and had originally been designed for current and potential participants in the Framework Programmes. In light of a re-orientation of the web-communication, the CORDIS mission has been reoriented, with a focus on the dissemination of information about the EU-funded projects, their results as well as their exploitation. This change in mission and corresponding transfer of services to and from CORDIS is a gradual process which is expected to be fully implemented by the end of 2012. For example, the Participant Portal's FP7 calls section (on EUROPA) has become the European Commission's single authoritative website for information and documentation on FP7 calls. These new pages replace the CORDIS FP7 calls service which has been phased out. These changes are being reflected in the statistics since 2010. Given the reorientation of CORDIS, the comparability of statistics is likely to be affected further in the future.

CORDIS key figures for 2011, compared to the previous years are shown below.

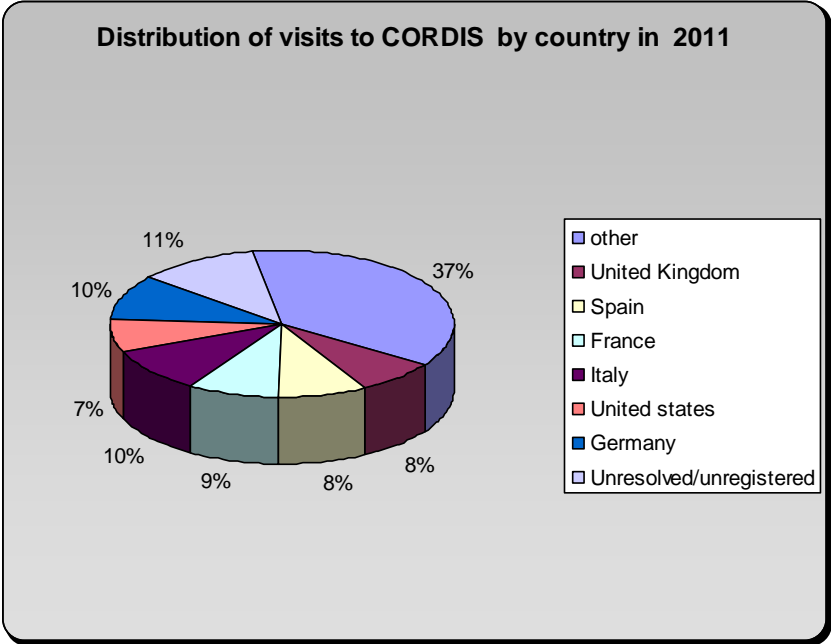
**Table 10:** CORDIS usage statistics.

CORDIS USAGE STATISTICS		2007	2008	2009	2010	2011
VISITS	<b>Total amounts of visits</b>	40.807.258	16.427.703	7.915.814	4.580.459	4.710.269
	<b>Daily average of visits</b>	111.495	44.884	21.628	12.515	12.870
PAGES	<b>Total amount of page accesses</b>	73.692.567	41.810.363	32.657.358	26.865.421	29.494.067
USERS	<b>Number of users ( IP addresses)</b>	343.595	294.078	266.396	209.566	200.104
	<b>With only one visit</b>	60.753	84.178	96.268	125.045	104.275
	<b>With &gt;1 visit</b>	282.842	209.900	170.128	84.521	95.829
	<b>Monthly average number of unique visitors (by IP address)</b>	–	–	–	–	149.063
DOCUMENTS	<b>Number of documents downloaded<sup>12</sup></b>	7.510.175	4.405.646	3.444.622	6.123.341	7.366.306
	<b>Total size of documents downloaded</b>	2.845,8 GB	2.012,0 GB	2.308,1 GB	3.345,1 GB	2.455,9 GB

<sup>12</sup> Figures for 2009 and 2010 represent the share of 'correct' downloaded documents (not including the 'incorrect' downloads).

Figure 26 presents the distribution of visits by country with the USA being number 3 in the list of the 10 countries with the highest number of visits.

**Figure 26:** Distribution of visits to CORDIS sites by country



**3.1.2 National Contact Points meetings**

National Contact Points (NCP) play an important role in providing information and assistance to potential applicants and hence are vital for ensuring transparency and equal access to the Framework Programmes. Moreover, by transnational networking and by facilitating EU wide integration of research they can contribute significantly to the implementation of the Framework Programmes.

In December 2007, guidelines for establishing and operating the NCP systems for FP7 and for their relations with the Commission services and each other have been published.<sup>13</sup> These guidelines address the network architecture, the nomination and recognition process and the operational modalities.

There was no meeting of NCP Coordinators at central level. The FP7 Legal and Financial NCPs met two times in 2011, namely in April and in November, and discussed a broad range of issues (e.g. IT and business systems, legal and financial questions related to FP7 and Horizon 2020).

Thematic NCP meetings were organised by the operational Directorates. Given the different areas and levels and also the complexity of the NCP system, exact numbers are difficult to retrieve.

A survey of NCPs regarding FP7 promotion and implementation issues in 2011 (see also Sections 3.5 and 3.6.2) provides some information on the numbers of FP7 information days, organised by NCPs in 2011. NCP National Coordinators and FP7 Coordinators for Specific Fields were asked to indicate the total number of FP7 information days organised in 2011 by their NCP and to provide an estimate of the total number of attendees at these 2011 information days. 28,3% of the respondents report that more than 7 information days were organised by their respective NCP. This represents a slight

<sup>13</sup> Guiding principles for setting up systems of National Contact Points (NCP systems) for the Seventh EU Framework Programme on Research and Technological Development (FP7) (December 2007).

decrease compared to 2010 and 2009, but may also reflect the fact that NCP clients are more familiar now with FP7 and its modalities in the second half of the programme implementation. Events cover a broad range from major information days, to medium-sized regional events, to small dedicated seminars and workshops including training days. 3,9% of the respondents did not organise any information day at all. Some of them did not organise any events because they were only appointed as NCPs in 2011. Some NCPs did not organise their own events, but participated in the events organised by the European Commission and the Implementing agencies. In 2011, the events were more targeted, organised jointly by several NCPs or information was directly delivered to the potential applicants. Several NCP claimed that more targeted events, more specialised in the second part of the programme implementation are more useful than general information sessions. As regards the total number of attendees, 55,7% of the respondents indicated more than 100 attendees for their information days in total.

## 3.2 Quality assessment of proposal evaluation and the redress procedure

### 3.2.1 Proposal evaluation

In order to receive the independent experts' opinion on the quality of the proposal evaluation process and the procedures applied, an anonymous on-line survey of all experts who participated in the evaluation of proposals during the fifth year of FP7 was carried out. Similar surveys had already been conducted in 2007, 2008, 2009 and 2010. The data collected for the fifth year of FP7 confirm the positive picture of the quality of the evaluation process. Key figures are presented in Table 11 below.

**Table 11:** Key figures of Evaluators' Survey 2011

EVALUATORS' SURVEY	2007	2008	2009	2010	2011
<b>Experts invited to participate</b>	3.630	3.492	4.612	3.972	3409
<b>Responses received</b>	2.281	1.682	2.373	1.744	1926
<b>Respondents finding the quality of the evaluation overall <i>satisfactory to excellent</i></b>	96,1%	97,6%	97,6%	97,4%	98,2%
<b>Respondents rating the quality of the evaluation overall <i>excellent</i></b>	22,1%	26,5%	29%	28,8%	27,1%
<b>Respondents, having previously evaluated research proposals for national or international research funding schemes, finding the EU evaluation process <i>better or much better</i></b>	52,6%	61,3%	61,0%	60,8%	63,9%

The results demonstrate that the high quality of the evaluations has been maintained. Evaluators were very satisfied with the way in which the evaluations were conducted with respect to impartiality, confidentiality and fairness. In particular the level of efficiency of the evaluation task has been rated as excellent, good or satisfactory by 97% of the respondents.

There are a number of results pointing to issues for attention:

- *Available time:* Still the majority of the respondents (50,5%) believe there was sufficient time for the reading and the individual evaluation of proposals. However, similarly to previous years, a significant minority of the experts (21,2%) thought they had too little or totally insufficient time for this part of the evaluation, which is slightly less than what was recorded in 2010.
- *Evaluation criteria:* A frequently recurrent comment is that more weight should be given to the S/T quality criterion compared to the other two criteria. The 'impact' criterion is still found to be the most difficult to apply. Among experts evaluating Collaborative Projects, 53% thought this was the most difficult to apply, which

represents an increase compared to 2010 (2007-31%; 2008-43%; 2009- 47%; 2010-44%).

- *Conflicts of interest:* 19,7% of the evaluators answered 'yes' when asked if they were aware of any possible conflicts of interest. However, as in previous years, an overwhelming majority of these, 90,8% believed that these possible conflicts of interest were thought to be handled correctly.
- *Logistical aspects:* There has been a continuous improvement of the logistical aspects over the years. Also in 2011, an overwhelming majority of the experts (96,8%) rated the overall organisation of the evaluation positively, which represents a small increase compared to 2010 (95,8%). A significant part of these respondents (49,1%) rated the logistical aspects as 'excellent' (2010-48,1%; 2009-47%; 2008-43,9%; 2007-29,9 %).

### 3.2.2 Redress procedure

The FP7 rules for participation stipulate that the Commission shall provide a redress procedure for applicants. The intention of the legislator was to formalise the *ad hoc* approaches for dealing with complaints that existed in previous programmes.

In line with these requirements, a redress procedure has been set up that aims to be both efficient and consistent with the principles of transparency and equal treatment that underpin all Commission evaluations. Corresponding redress guidelines set out the more operational aspects of the new procedure. The redress committee meets in various configurations according to the different calls for proposals. The configurations work independently, and deliver their advice to the responsible directors. A redress office, located in unit RTD-A.3, is responsible for registering and tracking redress requests, supporting the committee configurations, and ensuring that policy is coherent and consistent over time, based on case histories. These guidelines have since been endorsed by the Legal Service, and some of the most salient guidelines have been incorporated into the evaluation rules.<sup>14</sup>

Table 12 shows the results of the redress procedure for FP7 calls launched in 2007-2011. The figures presented below do not include redress cases related to ERC calls and managed by the European Research Council Executive Agency (ERCEA, section 4.1.2), but include the redress cases managed by the Research Executive Agency (REA, section 4.2.2).

It should be noted that the figures for previous years have also been updated, given that more redress requests have been solved and closed in the meantime.

**Table 12:** Key figures for the redress procedure in 2007-2011

REDRESS PROCEDURE	2007	2008	2009	2010	2011	2007 - 2011
<b>Proposals received</b>	17.380	10.059	13.166	11.757	17978	70340
<b>Redress requests received</b>	772	403	443	487	573	2678
<b>Redress cases upheld but not leading to re-evaluation*</b>	41	25	26	10	44**	146**
<b>Redress cases leading to re-evaluation</b>	8	7	9	6	18**	48**
<b>Redress cases leading to re-evaluation (% of proposals received)</b>	0,046%	0,069%	0,068%	0,051%	0,1%**	0,068%**

\* Due to the fact that the proposal failed anyway for other reasons or because the identified problem was minor and not crucial to the experts' evaluation. \*\*Please note that for some of 2011 calls the redress process still be ongoing.

<sup>14</sup> European Commission (2008): Rules for submission of proposals, and the related evaluation, selection and award procedures (*Version 3, 21 August 2008*), COM (2008) 4617, 21.08.2008



Problems leading to a re-evaluation were, for example, related to the eligibility of proposals (scope, number of participants), or to serious factual errors, or to insufficient specialist expertise on the part of the experts. In only four cases did the re-evaluation eventually lead to the given proposal being funded.

### **3.3 The FP7 Ethics Framework - Ethics reviews and ethics audits**

The Commission has included in FP7 procedures a thorough Ethics Review process for all proposals that raise ethical questions and are likely to receive Community funding. The Ethics Review process safeguards the protection of fundamental rights and the respect of ethical principles. It guarantees that no funding is allocated to research that does not comply with the relevant EU and national legislation and the ethical considerations specified in the Framework Programme. The Ethics Review process is described in detail in the "Rules for submission of proposals, and the related evaluation, selection and award procedures"<sup>15</sup>. The new "Rules" published on 22 March 2011<sup>16</sup> offer a detailed description of the new Ethics Review process, including the Ethics Screening and the Ethics Follow-up and Audit.

All proposals that are selected for funding and raise ethical issues undergo an Ethics Review by independent experts in research ethics coming from a variety of scientific disciplines. The Ethics Review process is split in two phases: the Ethics Screening and the Ethics Review. The Ethics Screening had been introduced in order to facilitate the selection of projects that required Ethics Review at the EC level versus projects that can be implemented following only national approvals and ethics committee opinions. The Screening is the responsibility of the programmes that receive the applications and similarly to the Ethics Review is carried out by independent experts.

Research proposals involving interventions on human beings (such as surgical interventions, clinical trials etc.), non-human primates, or human embryos/embryonic stem cells are automatically referred for Ethics Review at EC level. In addition to the three mandatory categories mentioned above particular attention is paid to research involving children, research undertaken in developing countries, and security-related research.

The Ethics Review is the responsibility of the Ethics Review Sector of DG RTD, which also coordinates the methodological and implementation aspects of the Screening phase.

The organisation of the Ethics Review process involves the appointment of the members of the Ethics Review panels and the procedural coordination of the entire evaluation process. The requirements put forward by the Ethics Review experts become contractual obligations and are part of the terms of the FP7 grant agreement between the Commission and the researchers. All FP7 funded projects can request specific assistance on ethics issues from the Ethics Review Helpdesk, accessible through the "get support function" of the CORDIS site.

Proposals that undergo an Ethics Screening and an Ethics Review can be flagged by the reviewers as requiring an Ethics Audit. The objective of the Audit procedure is to assist the researchers in dealing with the ethics issues that are raised by their work and if necessary to take corrective measures.

The Table below presents an overview on Ethics Reviews organised during FP7 so far. It should be noted that the new Ethics Review process introduced in 2010 includes a new process called Ethics screening that was undertaken by each thematic area. The number

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<sup>15</sup> Version 3, 21 August 2008, COM (2008)4617 (see Annex A 'Ethical Review Procedures')

<sup>16</sup> 2011/161 EU, L75

of Ethics Screenings is approximately three times higher than the number of Ethics Reviews indicated below.

**Table 13:** Key figures for ethics reviews in 2007-2011.

ETHICS REVIEWS	2007	2008	2009	2010	2011	2007 - 2011
<b>Number of Ethics Reviews organised</b>	245	294	232	298*	343	<b>1382</b>
<b>Projects stopped as a result of the Ethics Review</b>	0	0	0	0	0	<b>0</b>
<b>Project proposals found to have insufficient safeguards in place, requested to modify project following contractually binding requirements</b>	44	82	122	172	182	<b>602</b>
<b>Proposals flagged for Ethics Audit</b>	N/A**	7	12	27	58	<b>104</b>
<b>Experts having participated in Ethics Review process</b>	79	95	103	118	152	<b>547</b>

\* Plus 9 resubmissions (proposals that were considered not to fulfil the ethics requirements at the time of first submission).

\*\* Ethics Audits represent a rather recent addition to the FP7 ethics framework.

The project proposals that were reviewed cover a broad variety of issues under different thematic areas and specific programmes. In 2011 *People* is the area with the highest number of Ethics Reviews, which is due to the higher number of applications for funding received by this programme, followed by the *Health, ICT and the IDEAS programmes*. Table 14 provides more details.

**Table 14:** Ethics Reviews by FP7 Specific Programmes and thematic area in 2011.

ETHICS REVIEWS IN 2011 BY FP7 SPECIFIC PROGRAMMES & THEMATIC AREAS	
<b>COOPERATION</b>	
<b>Environment</b>	10
<b>Food, Agriculture and Fisheries, Biotechnology</b>	6
<b>Health</b>	47
<b>ICT (Information and Communication Technologies)</b>	45
<b>Nanosciences, Nanotechnologies, Materials and new Production Technologies</b>	6
<b>Security</b>	21
<b>SiS</b>	7
<b>SSH</b>	4
<b>SMEs</b>	18
<b>Transport</b>	9
<b>IDEAS (ERC)</b>	45
<b>PEOPLE (Marie Curie Actions)</b>	121
<b>CAPACITIES</b>	
<b>Research Infrastructures</b>	4
<b>Total</b>	<b>343</b>

In 2012, the Ethics Review Sector of DG RTD will organise specialised workshops and undertake focused training activities in order to facilitate the uptake of the ethics review procedures by all research related Commission staff. The objective of this procedure is to improve the Ethics Review process, maximise the positive impact of the FP7 ethics framework on the research community and contribute to the positive societal image of research. In addition an MML action on Ethics will be launched, following a call for proposals. The MML will put together European shareholders in the ethics review procedure (such as Research Ethics Committees, research associations etc.) in order to discuss and propose common approaches and a common framework for the ethics review framework at the European level.

### 3.4 Time-to-grant

Time-to-grant (TTG) is defined as the time elapsed from the deadline of the call for submission of proposals until the signature of the grant agreement. In the case of two-stage calls for proposals, it is the second stage call deadline that is used in the calculation of the Time-to-grant. TTG is expressed in calendar days. A signed grant agreement is defined as signed by means of its status (grant indicated as signed) or by the pre-financing information (grant not indicated as signed but potentially signed).

The sample of grant agreements, on which the time-to-grant statistics reported here are based, includes all those FP7 signed grant agreements that correspond to calls for which at least 70% of the negotiations for all retained proposals have been concluded by the date of the last TTG data extraction (June 2012). The sample under consideration here also includes grant agreements that correspond to calls concluded in 2007, 2008, 2009 and 2010.

TTG statistics capture a cumulative and volatile picture which is continuously updated with an upward trend as more proposal negotiations are gradually concluded. The grant agreements included in this sample correspond to approximately 91% of the total number of retained proposals for concluded FP7 calls so far (February 2012) and, therefore, they provide a reasonably good approximation of the final TTG figures.

Taking into account the above limitations, the average TTG for the whole FP7 is 331 days (median 320). This figure represents a small improvement compared to 2010. In 2010 the average TTG was 348 days (median 334 days). The 2009 TTG figures were higher than in the first two Monitoring Reports (2008: average TTG 333 days, median 318; 2007: average TTG 291 days, median 287), hence reflecting the fact that at the time of reporting in the first two Monitoring Reports several lengthier grant agreement negotiations had not been concluded and, therefore, had not been included in the sample on which the 2009 TTG statistics were based. The more detailed information on time-to-grant statistics is presented in table below.

**Table 15:** Minimum, median, average, and maximum time-to-grant (in days) for FP7 grant agreements signed in 2007 - 2011 by thematic area (as of June 2012)

SPECIFIC PROGRAMME	THEMATIC AREA	GRANTS	MINIMUM	MEDIAN	AVERAGE	MAXIMUM
COOPERATION	Health	673	243	385	406	804
	Food, Agriculture and Fisheries, Biotechnology	343	226	427	413	698
	Information and Communication Technologies	1483	111	254	263	629
	Nanosciences, Nanotechnologies, Materials and new Production Technologies	504	156	379	387	755
	Energy	233	142	334	333	642
	Environment (including Climate Change)	342	222	389	425	651
	Transport (including Aeronautics)	431	154	460	448	1115
	Socio-economic Sciences and Humanities	171	223	420	418	748
	Space	114	311	409	424	724
	Security	165	228	484	499	911
	General Activities	19	112	409	352	493
IDEAS	ERC	2316	79	341	347	673
PEOPLE	Marie-Curie Actions	6520	115	283	297	671
CAPACITIES	Research Infrastructures	284	222	322	349	641
	Research for the benefit of SMEs	552	202	378	390	809
	Regions of Knowledge	56	229	308	325	589
	Research Potential	114	239	340	337	473
	Science in Society	118	210	382	395	696
	Support for the coherent development of research policies	7	180	333	315	538
	Activities of International Cooperation	104	227	291	311	717
EURATOM	Fusion Energy	3	409	409	411	422
	Nuclear Fission and Radiation Protection	92	167	249	328	638
<b>Total</b>		<b>14.704</b>	<b>79</b>	<b>320</b>	<b>331</b>	<b>1.115</b>

## 3.5 Independent assessment of FP7 implementation by National Contact Points

Similarly to previous years a survey was conducted among National Contact Points (NCP) to collect their views, comments and suggestions with regard to the promotion and implementation of FP7 during 2011. This year the questionnaire was dispatched to 1052 FP7 National Coordinators and FP7 Coordinators for Specific Fields from the 50 EU Member States and Associated Countries. As a result, 230 responses were received from 42 different countries (response rate of 21,9%). The complete results of the NCP survey are presented in Annex C.

### 3.5.1 Project life cycle

The questionnaire, in addition to gathering information on the promotion of FP7 at the national level (Section 3.1.2) and opinions on the simplification of FP7 (Section 3.6.2), on the role of FP7 in global (general) context (Section 3.5.2), and on international cooperation (Section 2.4), posed questions on FP7 implementation, each covering a different phase of the project cycle. Figures 28, 29 and 30 below summarise the results of this specific part of the survey (see Annex C for detailed statistics).

Almost three quarters of the respondents (the same as in 2010 and very slightly less than in 2009) rated the *information available on FP7 calls* as either 'good' or 'excellent'. Free-text comments indicate some differences for the various areas of FP7 and also highlight that in light of the wealth of information available it appears sometimes difficult to find what is needed.

The procedures for the *evaluation of proposals* were deemed as 'good' or 'excellent' by around 53% (the same as in 2010) of the respondents, with another third rating them as 'satisfactory'. In the free text comments, some respondents noted that more feedback, especially for the non-successful applications, would be appreciated.

The *ethic review procedures* were deemed 'excellent' or 'good' by 40%. It is worth noticing that 33% of the survey participants had 'no opinion'. The similar replies were received in the survey of the previous year. Some of the respondents stated that access to information on ethical issues provided by the EU has improved significantly, but there is still room for improvement. The lengthy process was another complaint expressed by the respondents.

Figures are less favourable with regard to *redress procedures*, which were rated as 'good' or 'excellent' by 17,3% of the respondents (a slightly negative trend from 2009 (20,4%) and 2010 (19,5%)). 12,2% of the respondents, though less than in 2009 (22%) and in 2010 (15,9%), rate the *redress procedures* as 'poor' or 'very poor'. In the related comments, NCPs explain that researchers are dissatisfied with the redress system focusing on administrative procedures rather than the content of the evaluation of proposals. For some researchers, the purpose of the redress procedure is not clear. They consider it as a simple complaint tool. Many of the respondents (almost 36%) had no opinion or found the question 'not applicable' (9%).

The positive ratings of *grant negotiation procedures* and *management of projects by the Commission* were significantly higher than the previous years.

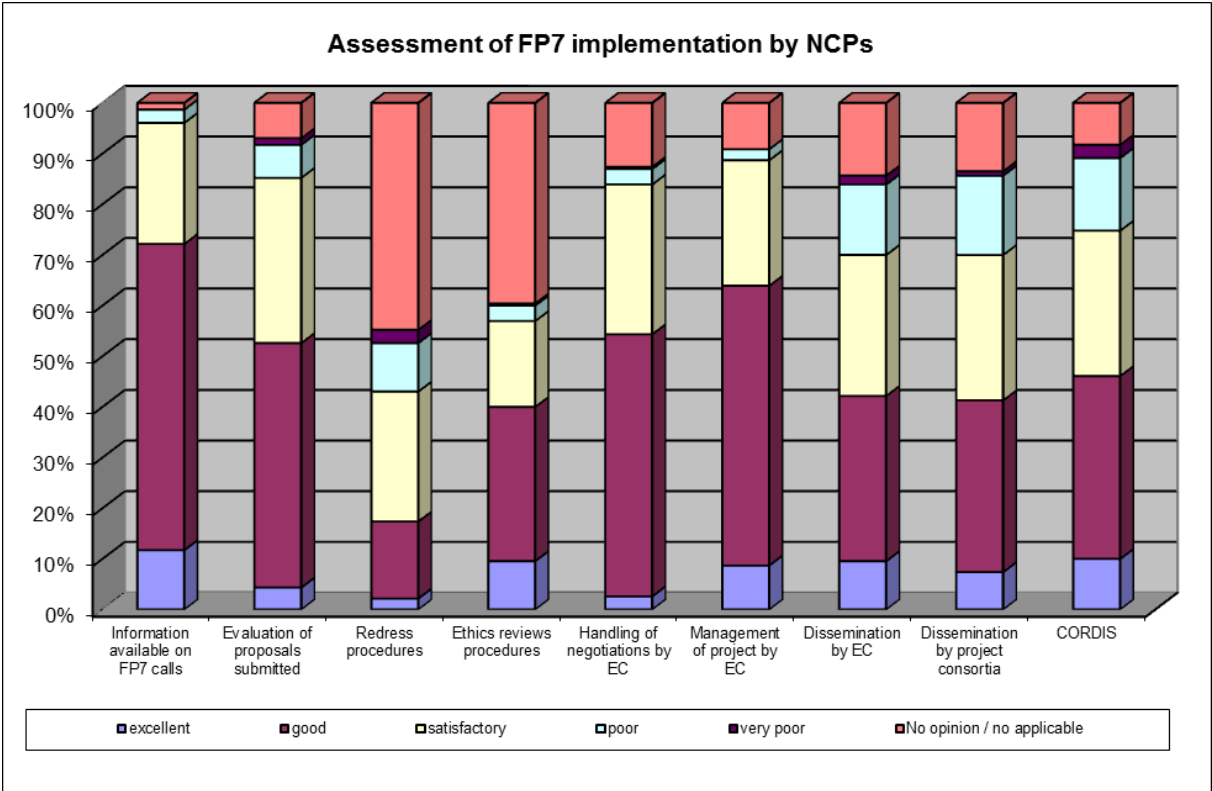
The *grant negotiation procedures* handled by Commission services were deemed as 'good' or 'excellent' by 54,4% of the respondents (compared to 2010 (39,5%)), the main criticism here being the length of the time-to-grant. Some of the respondents stated that the negotiations are much better than in the FP6, but time to grant should be further reduced.

The rating of the *management of projects by the Commission* was more positive than in 2010 with 64,2% of the respondents assessing it as 'good' or 'excellent' (2010 just 41%). Dissatisfaction was expressed in the comments regarding the heterogeneous interpretation of legal and financial guidelines within the agencies and the Commission

services. The respondents acknowledged that the frequent change in administrative and financial officers causes additional work for the coordinators and slows down project implementation. For REA, ERCEA and the JTIs, the feedback was positive with only a very few critical comments made.

As regards the *communication and dissemination of project findings*, it was acknowledged by many who commented that projects should better communicate the findings and results of projects to the wide public, even after the end of projects. NCPs report that results and outcomes are difficult to find and request Commission Services to update project databases more regularly. Comments also highlighted the complexity of using CORDIS and made a request for a more standardised approach. Some respondents proposed to create the new initiatives for more elaborate dissemination and exploitation (scientific seminars to disseminate the obtained results, etc.) and to define the target group more precisely (researchers and the wider audience).

**Figure 27:** Assessment of FP7 implementation issues in the project life cycle in 2010 by NCPs.



### 3.5.2 FP7 in general context

NCPs were invited to provide their assessment of the role and possible leverage effect of FP7 in a more general context. Figure 28 below summarises the results (for statistics, see Annex C).

The rating of the FP7 as an *effective balance between academic, industrial (including SMEs) and research organisation sectors* was much more positive compared to the previous year. 49,6% of the respondents agreeing or strongly agreeing, while 15,2% express their disagreement (36% and 25% respectively in 2010).

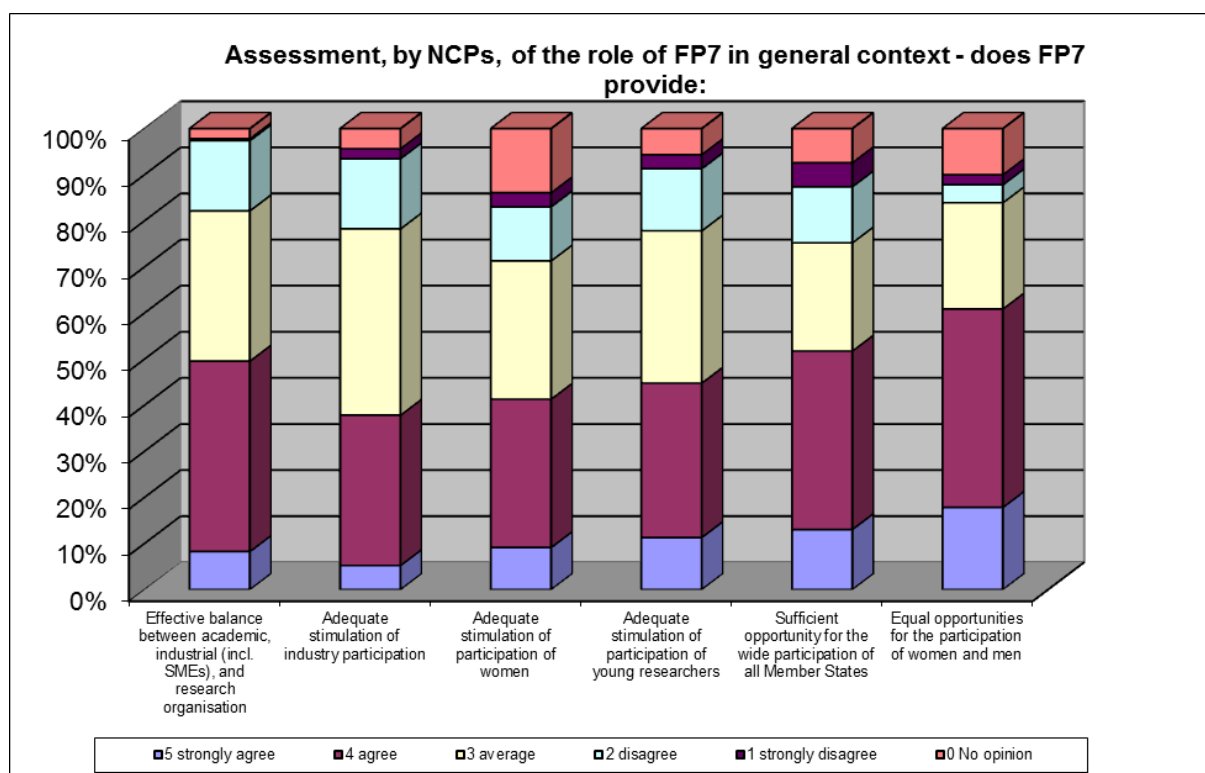
Although the positive trend compared to the previous year was recorded regarding the *adequate stimulation of industry participation*, a slightly negative response pattern emerged on this aspect. Free-text comments show a general agreement that industry and SME participation should be more encouraged; the time-to-grant is deemed too long for the industrial sector.

For the role of FP7 in terms of *adequate stimulation of the participation of women* and of *young researchers*, respondents are more positive with 41,3% and 44,3% respectively, agreeing or strongly agreeing.

The role of FP7 in providing *sufficient opportunity of EU12 participation* shows again a high level of agreement (52%), but finds also 17% of the respondents disagreeing or strongly disagreeing.

In a separate question, NCPs were asked to assess whether FP7, by the way it is designed and implemented, provides equal opportunities. Here, 61% of the respondents agree or strongly agree, while only 6% express their disagreement. Nevertheless, there were a number of comments highlighting the need to foster the gender aspect and increase female participation in FP7 projects, evaluation panels, and advisory groups. Some of the respondents proposed introducing specific grants for female researchers or even the quotas like the ones for the SMEs.

**Figure 22:** Assessment of the role of FP7 in general context by NCPs.



NCPs were also invited to rate the implementation of the FP7 novel measures. Figure 29 below summarises the results (for statistics, see Annex C).

The *European Research Council (ERC)* is the novel measure receiving the highest appreciation. The NCP survey recorded an increase in 'very well' rating. 24,4% of the total respondents consider that the ERC is very well implemented (13,8% in 2010).

The implementation of *ERA-Nets plus* is deemed as 'very well' or 'generally well' by 40,9% of the respondents with 'acceptable' saying 22,2%, while almost one third had 'no opinion'.

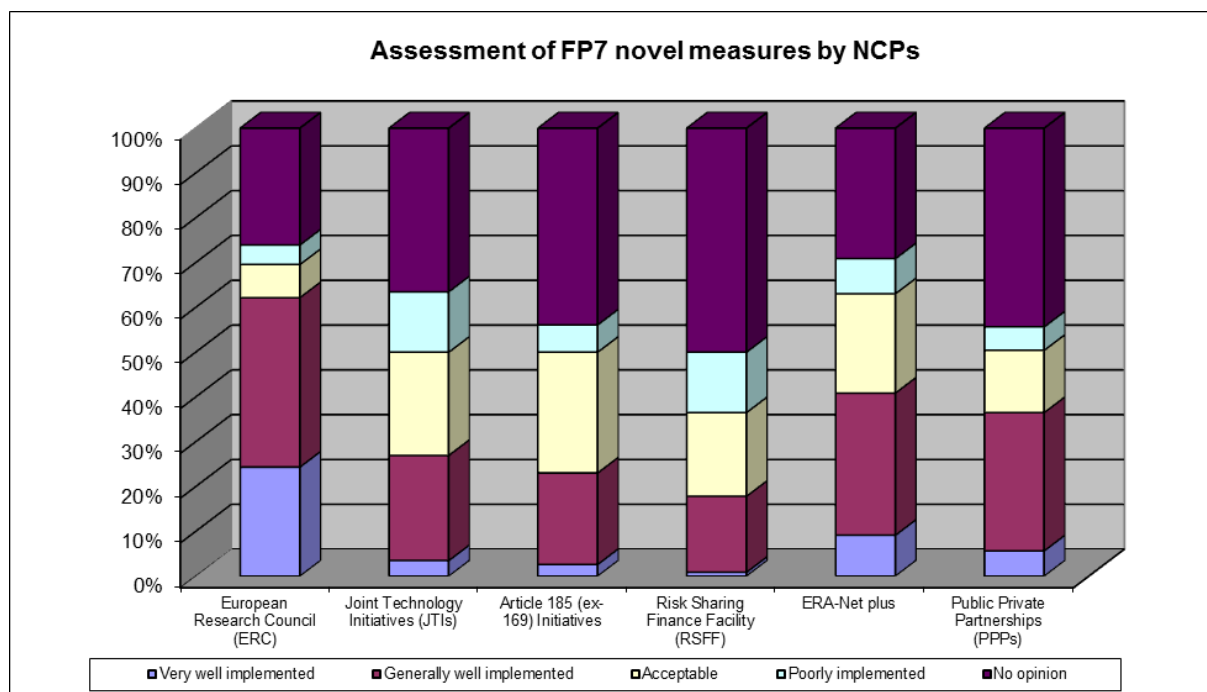
36,5% of responding NCPs rate the implementation of *Public Private Partnerships* under the European Recovery Plan as 'very well' or 'generally well' implemented. A high share of respondents (almost 45%) had 'no opinion'.

A similar high share of 'no opinion' replies (44%) was received for *Article 185 (ex-169) Initiatives*, with 23% of respondents rating the implementation as 'very well' or 'generally well'. The same applies for the *Risk-Sharing Finance Facility (RSFF)* with 50% of the

respondents having 'no opinion' and 17,8% rating the RSFF implementation as 'very well' or 'generally well'.

The implementation of *Joint Technology Initiatives (JTIs)* is deemed as 'very well' or 'generally well' implemented by 26,9%, while 13,5% rate the implementation as 'poor' with more than a third of the respondents having 'no opinion'. Dissatisfaction was expressed in the comments regarding the complexity and the heterogeneous procedures for the different JTIs.

**Figure 29:** Assessment of the implementation of the FP7 novel measures by NCPs.



## 3.6 Simplification

### 3.6.1 Simplification measures in FP7

The EU Framework Programmes are by far the most substantial international research programmes worldwide. Over the last decades, this has led to a certain complexity in their organisation and to a corpus of rules and procedures, which are not always easy to understand for new applicants.

Against this background the European Commission has undertaken a number of initiatives to simplify the implementation of the Framework Programmes. While gradual improvements were achieved in FP6, the launch and implementation of FP7 offered continued opportunity to simplify procedures in a far more fundamental way.

While it is still early to assess the full impact of these measures, this chapter is intended to recall the different initiatives taken and to highlight wherever possible the first results obtained.

## **Simplification measures adopted in 2011**

On 24 January 2011, the Commission adopted a Decision<sup>17</sup> on three short-term measures for simplification.

### ***Wider acceptance of average personnel costs***

The first measure concerns the use of average costs for charging direct personnel costs to FP7 grants. The criteria for the acceptable deviation between average and actual costs of individual persons working in FP7 projects have been removed. This allows for the acceptability of the majority of average personnel cost methods actually applied as usual accounting practice by beneficiaries, in particular in industry, including the cost-centre based methods.

### ***Flat rate for SME owners and natural persons without a salary***

The second measure concerns problems related to the funding of SME owners or natural persons not receiving a salary registered in the accounts of the entity. To overcome this situation a new method for assessing the value of the work of these researchers has been introduced. This method is based on the scale-of-unit cost system used in the "People Specific Programme" for Marie Curie fellowships.

### ***Research Clearing Committee***

Finally the third measure concerns the uniform interpretation and application of the rules governing the implementation of FP7 grants. The Commission has established a Clearing Committee between the Directorates-General responsible for the implementation of the Research Framework Programme. This Research Clearing Committee meets on a regular basis. It has already adopted common positions e.g. on non-mandatory audit certificates submitted on a voluntary basis, on positive adjustments on closed grants following audits, or on a common representative sample for providing ex-post assurance for all Commission services.

As of January 2012, the FP7 participants can contact the Clearing Committee through the Research Enquiry Service and bring to its attention their requests on divergent implementation of FP7 rules and procedures among the Commission's departments/services.

### ***Interest on pre-financing***

In addition to the adopted measures, the research family DGs supported the calls of many stakeholders to remove the obligation to recover the interest on pre-financing. However, this measure was left for the discussion on the triennial revision of the Financial Regulation and its Implementing Rules to be adopted in the course of 2012.

## **Simplification measure continued in 2011**

### ***Research Participant Portal***

The Research Participant Portal is an ambitious endeavour of all research DGs together with DG DIGIT to bring all interactions between the Commission and the participants in the Framework Programme(s) under a common IT platform, hosting the full range of applications that support the management of the life cycle of proposals and projects.

Throughout several releases, the Participant Portal has become the gateway and single entry point to interact with the Research programmes of the European Commission. It integrates today the Unique Registration Facility, the FP7 document service, the IT

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<sup>17</sup> [http://ec.europa.eu/research/fp7/pdf/c-2011-174-final\\_en.pdf#view=fit&pagemode=none](http://ec.europa.eu/research/fp7/pdf/c-2011-174-final_en.pdf#view=fit&pagemode=none)



systems for grant negotiation and amendments, the IT systems for scientific-technical and financial reporting and since 2011 the FP7 calls service.

In parallel, the setting-up of an e-FP7 Communication Office and the continued consultation of external stakeholders, in dedicated meetings or via the NCP networks, helped develop an IT tool that responds to the needs and constraints of the beneficiaries and ease their participation.

### 3.6.2 Perception of simplification in FP7 by National Contact Points

In the NCP survey conducted in the context of the 2011 monitoring exercise FP7 National Coordinators and FP7 Coordinators for Specific Fields were asked to rate the *user-friendliness* of the FP7 administrative and financial procedures both in absolute and relative terms (relative to procedures in FP6 and more generally to previous Framework Programmes). With respect to simplification, NCPs' opinions were asked on the measures that have been implemented so far to make FP7 simpler (*simplification measures*).

#### User-friendliness of the FP7 administrative and financial procedures

When NCPs were asked to compare FP7 with FP6 on specific aspects of the project cycle, the share of respondents rating each of these aspects as 'more difficult than FP6' decreased considerably compared to 2010 and 2009. All areas recorded an increase in positive assessment by the respondents. Just less than 5% of respondents considered that *project management (in general and project reporting and project reviews)* are more difficult than FP6 (compared to 14,4% and 11,3 respectively in 2010).

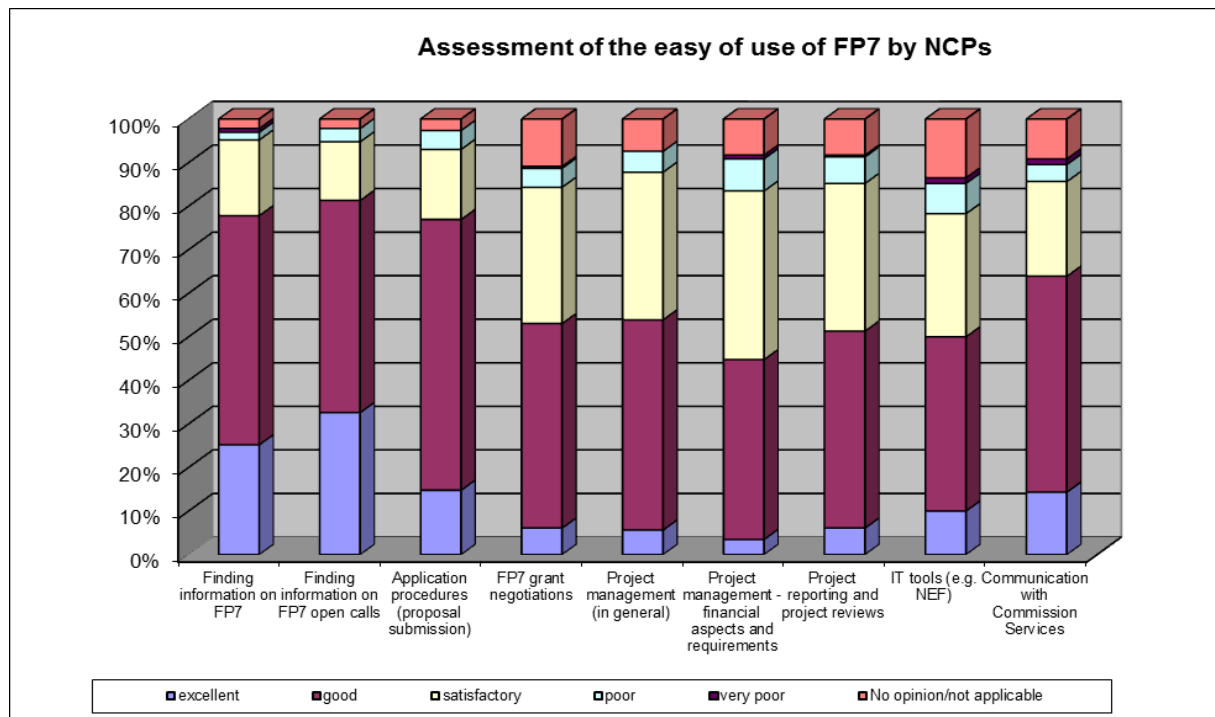
A majority of the 230 respondents (55,65%, almost the same as in 2010 and 2009) answered that *application procedures* are easier than in FP6 (see Table 16). More than 60% of the respondents rated FP7 more user-friendly than FP6 as regards *finding information on Framework Programme and on open calls*, recording almost a 10% increase from the previous year. Figures with respect to *grant negotiations, project management (in general), project reporting and project reviews, and IT tools* show nearly a 10% improvement from FP6 to FP7. With 32,6% of the respondents (9% more than in 2010) rated the *communication with Commission Services* easier than in FP6. Ratings are more favourable when looking at the *financial aspects and requirements of project reporting*, which only 9,6% of the respondents assessed more difficult than in FP6 (17,4% in 2010). For this and the other issues, it should however be noted that the share of respondents having 'no opinion' or saying 'not applicable' is high, ranging from 24,4% to 32,2%.

**Table 16:** Assessment by NCPs of the ease of use of FP7 compared to FP6.

EASE OF USE OF FP7 COMPARED TO FP6	RATINGS (%)			
	Easier than FP6	Same as FP6	More difficult than FP6	No opinion/not applicable
Finding information on Framework Programme	58,3%	18,3%	2,2%	21,3%
Finding information on open calls	61,3%	15,2%	3,0%	20,4%
Application procedures (proposal submission)	55,7%	18,7%	3,9%	21,7%
Grant negotiations	37,8%	27,4%	3,0%	31,7%
Project management (in general)	38,7%	31,3%	4,8%	25,2%
Project management - financial aspects and requirements	40,4%	25,7%	9,6%	24,4%
Project reporting and project reviews	40,4%	27,0%	4,4%	28,3%
IT tools	51,3%	9,1%	7,4%	32,2%
Communication with Commission Services	32,6%	37,8%	3,9%	25,7%

When respondents were asked to rate the ease of use of FP7 in absolute terms for the same range of administrative and financial procedures/aspects, a similar pattern emerges (see Figure 30 below and Annex C for statistics).

**Figure 30:** Assessment by NCPs of the ease of use of FP7 in absolute terms.



The results confirm the appreciation of FP7 procedures and the improvement of FP7 procedures compared to FP6, already established in the previous NCP survey.

The overall trend is a very high level of satisfaction with FP7 procedures. The number of respondents rating the ease of use of each aspect of the project cycle as 'satisfactory' or better never falls below 78,26%, which also represents an improvement compared to 2010 (75,9%) and 2009 (72,5%).

Aspects relating to *finding information on FP7*, and on *FP7 open calls* are rated 'excellent' or 'good' by nearly 80% of respondents. But the figures as well as the free-text comments also highlight areas of dissatisfaction.

As last year, there is still a degree of consensus amongst the respondents that the introduction of new approaches/initiatives, such as the agencies, and the changes in terminologies or funding schemes had mitigated or even reversed the attempts to simplify procedures overall as users had found these novelties confusing. NCPs highlight the need for homogeneous approaches between the different Commission services and for officers to be easily reachable. For the communication with Commission Services, very positive as well as several critical comments were received. Overall, the comments are more positive regarding the simplification of the IT tools compared to the ease of the project administration procedures and financial aspects and requirements that are aspects still considered as very complex by the NCPs.

When asked to compare FP7 with other funding schemes, 26,53% of the respondents rate the *ease of use of FP7* as 'less complex' or 'much less complex' (19,5% in 2010). It recorded nearly a 15% decrease of the negative assessment of FP7 complexity compared to 2010; 36,52% of the respondents consider FP7 as 'more complex' or 'much more complex' (50,26% in 2010).

### Effectiveness of simplification measures

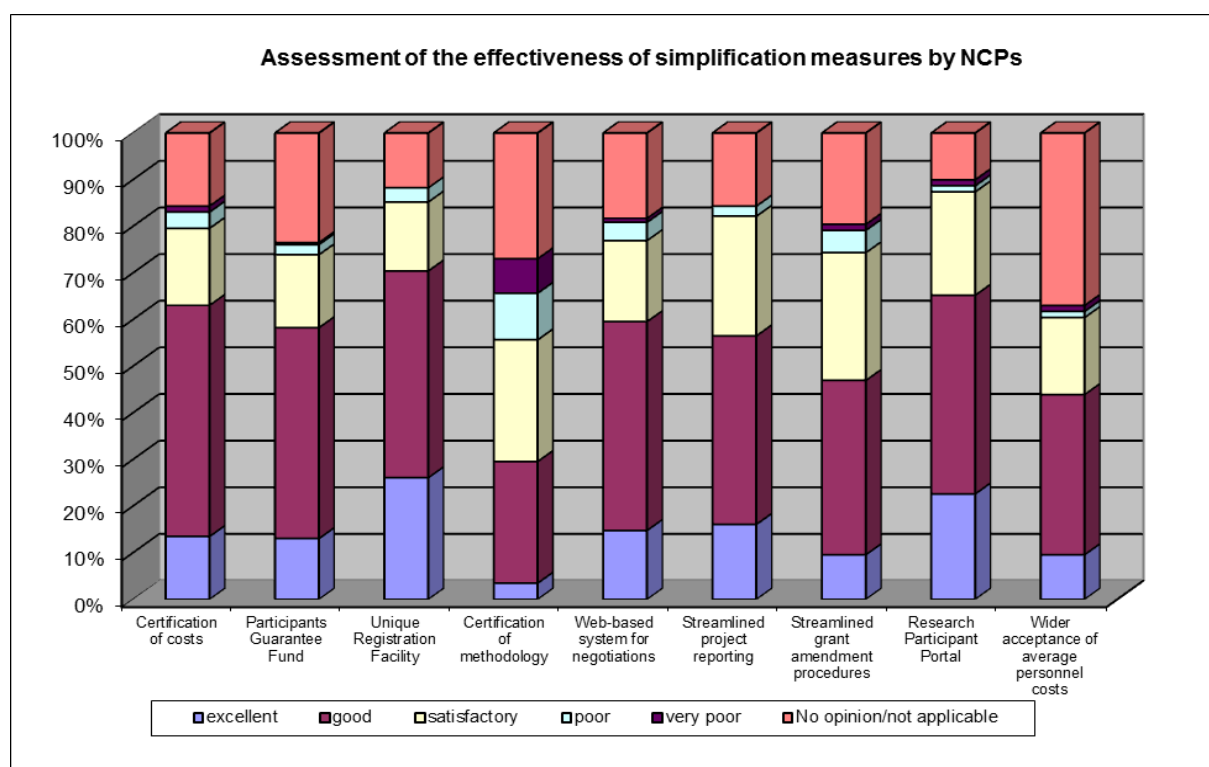
NCPs were asked to assess the effectiveness of the different measures which have been implemented in order to simplify the use of FP7. For the *Unique Registration Facility (URF)* effectiveness is perceived as high or very high by a clear majority of respondents (see Figure 31 and Annex C for statistics). Almost 65% of the respondents rated the effectiveness of measures related to the *certification of costs*, and the *Research Participant Portal* as high or very high. The *Participants Guarantee Fund* and the *web-*

based electronic system for negotiations (NEF) corresponding figures are close to 60% (50% in 2010).

The positive trend is recorded with respect to the effectiveness of the measures aiming at simplifying *grant amendments procedures*, when 47% respondents considered it to be above the average (32,82% in 2010). The assessment of *certification of methodology* shows some minor positive trends. Although the respondents and comments reported the procedure to be very bureaucratic and slow, the low ratings given by respondents decreased by 8 % compared to the previous year.

In the free-text comments, respondents added that the *IT tools* (NEF, project reporting) could potentially have a great impact on simplification but that they still have to be better implemented. NCPs noted that the *Guarantee Fund* and the *certification of costs* lead to real improvements. High expectations from the *Participant Portal* measure were expressed in the comments. As regards project reporting, NCPs report some dissatisfying variation concerning the level of detail requested by Commission Services.

**Figure 31:** Assessment of the effectiveness of FP7 simplification measures by NCPs.



### 3.7 Monitoring sustainable development in FP7

#### 3.7.1 FP7 and the renewed EU Sustainable Development Strategy

In FP7 the legislator (Council and the European Parliament) has demonstrated willingness to harness EU-funded research to sustainability. This is particularly clear in the Cooperation Specific Programme, whose "overarching aim is to contribute to sustainable development." The three priorities of smart, sustainable and inclusive growth in the Europe 2020 Strategy confirm the necessary attention to sustainability. The Heads of State and Governments adopted, in June 2006, the renewed EU Sustainable Development Strategy (EU SDS).

To provide a global overview of the volume of FP7-funded research expected to have an impact on the objectives of the EU SDS, a monitoring system on research for sustainable development has been implemented. This system also allows for deeper analyses on specific clusters of projects pursuing a common objective.

### 3.7.2 Web-based monitoring tool on research for sustainable development

This online public monitoring system, available at [www.fp7-4-sd.eu](http://www.fp7-4-sd.eu), is based on a screening of the Work Programmes published under FP7<sup>18</sup>. Each topic is cross-referenced with the 78 operational objectives of the EU SDS<sup>19</sup>. Hence, this system allows for monitoring the part of FP7 contribution arising from the calls for proposals to grand challenges identified in the EU 2020 Strategy: climate change, energy security, health and social cohesion<sup>20</sup>.

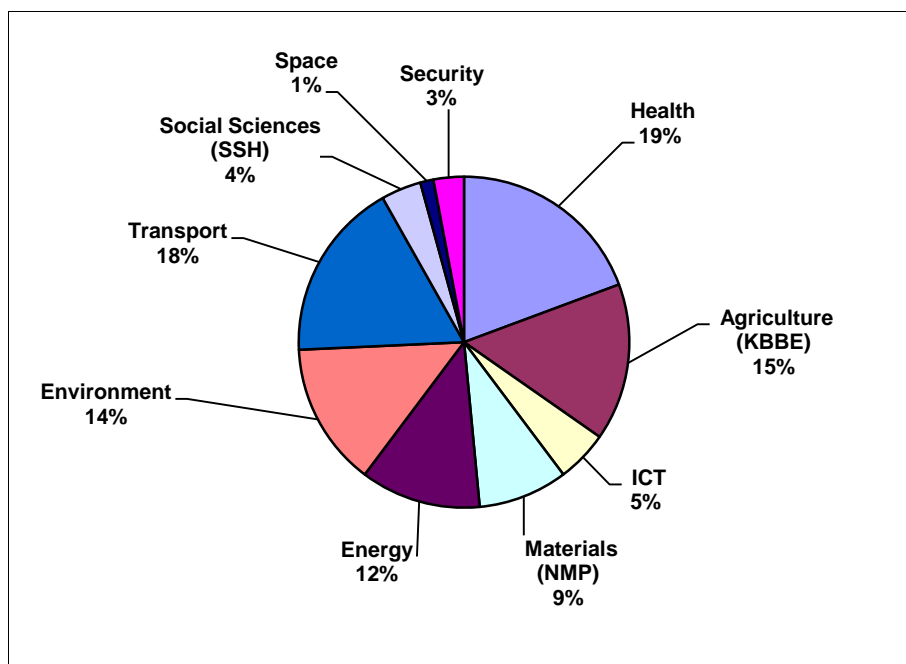
The database of FP7-4-SD contains data on 2.808 topics, drawn from the analysis of the Work Programmes published between 2007 and 2012, and data on 2.987 projects, 33.084 project participations and € 10,52 billion EC budget, drawn from the Work Programmes published between 2007 and 2010.

### 3.7.3 Achievements regarding FP7 contribution to sustainable development

The monitoring system FP7-4-SD shows that FP7 is well equipped to meet R&D expectations expressed in the EU SDS, and allows for aligning EU-funded cooperative research with sustainability goals.

In the first five years of FP7 implementation, 74% of the topics (1.784 topics out of 2.411) in the Cooperation Specific Programme are deemed to have a positive impact on at least one of the operational objectives of the EU Sustainable Development Strategy (EU SDS). One can see in Figure 32 that all (10) Themes of the Cooperation Specific Programme contribute to this effort. It should be noted, that it is a screening process which takes into account just the themes without their financial allocations.

**Figure 32:** Share of topics contributing to EU SDS objectives in the Cooperation Work Programmes 2007-2011



<sup>18</sup> The project is run by Vienna University of Economics and Business (WU Vienna). The screening is conducted by a group of experienced researchers and experts from Vienna University of Economics and Business (WU Vienna) and Technical University Delft (TU Delft). In order to ensure a high quality of results and to discuss specific arising issues, around 10% of the topics are additionally validated by thematic experts from Ecologic Institute, INFRAS Research & Consulting and ISI Fraunhofer.

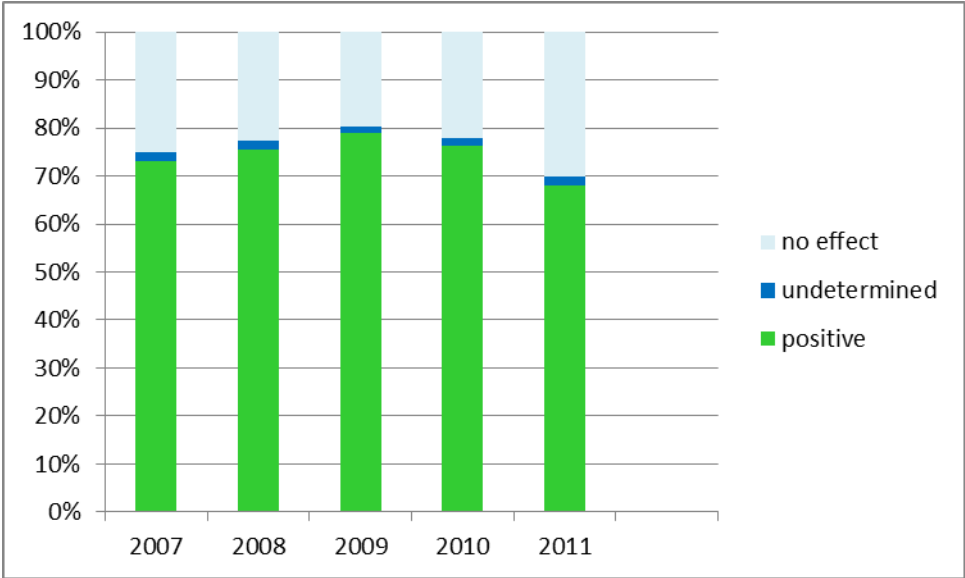
<sup>19</sup> See full list at [https://www.fp7-4-sd.eu/tpl/static/EUSDS\\_referential\\_framework.pdf](https://www.fp7-4-sd.eu/tpl/static/EUSDS_referential_framework.pdf)

<sup>20</sup> This does not capture the contribution of the JTIs.

In absolute numbers, the Theme "Health" includes the largest number of topics with positive expected impacts on EU SDS objectives (345 topics), followed by the Themes "Transport" (313 topics) and "Agriculture" (274 topics).

About 68% of the topics (320 out of 470) in the 2011 Cooperation Work Programmes are deemed to have a positive impact on one or several objectives of the Renewed EU Sustainable Development Strategy. In terms of a longitudinal view and as Figure 33 illustrates, the share of the Cooperation Specific Programme which is deemed to have a positive impact on at least one of the operational objectives of the EU SDS shows a declining trend.

**Figure 33:** FP7 Cooperation topics addressing EU SDS key challenges over time (2007-2011)



In terms of projects and budget, 65,5% of the projects funded under the Cooperation Specific programme in the first four years of FP7 implementation (2007-2010), are deemed to have a positive impact on one or several objectives of the Renewed EU Sustainable Development Strategy. This amounts to € 7,3 billion, i.e. 69% of the total EU-funded cooperative research.

## 4 FP7 IMPLEMENTATION IN 2011 – SPECIAL FOCUS

The overall objective of this chapter is to take a closer look at some of the elements and specific fields of FP7. The selection of presented topics may vary from year to year.

### 4.1 European Research Council

The European Research Council (ERC) has been given the mandate to deliver competitive research funding at the frontier of knowledge, and at EU level, thus adding value to and complementing national research funding schemes.<sup>21</sup> It is the means for implementing the Specific Programme Ideas of the Seventh Framework Programme for Research, which is endowed with a substantial budget (€ 7,51 billion over the period 2007-2013).

<sup>21</sup> Commission Decision No 134/2007/EC of 2 February 2007 establishing the European Research Council. OJ L 57, p.14.

The ERC's architecture comprises an independent Scientific Council of 22 distinguished scientists, engineers and scholars that establishes and monitors the implementation of the ERC's scientific strategy, and an autonomous Executive Agency that handles the operational management.

As the term of office of the initial Scientific Council was coming to an end in early 2011, an independent ERC Identification Committee, composed of six high-level scientists, was appointed by the European Commission in September 2010 with the task of identifying future ERC Scientific Council members.

The Committee was given a twofold mandate: to identify new members for the staged renewal of approximately one third of the Scientific Council and to maintain a pool of candidates for future replacements of the Scientific Council members thereafter. The scientific community was consulted in this identification process.

The Committee renewed the term of office of twelve of the founding Scientific Council members and selected seven new members. Three other members of the Scientific Council were appointed in 2009 so they were not affected by the 2011 renewal exercise.

The ERC Strategy, as defined by the Scientific Council is to select and fund research of the very highest quality at the frontiers of knowledge as judged by peer review on the sole criterion of excellence. Operationally, the strategy is executed via two funding instruments designed by the ERC Scientific Council:

- ERC Starting Grants (StG): Supporting the transition to an independent career for excellent researchers, whatever their nationality, located in or moving to the Member States and Associated Countries, who are at the stage of starting or consolidating their own independent research team or, depending on the field, establishing their independent research programme.
- ERC Advanced Grants (AdG): Supporting excellent, innovative investigator-initiated research projects across the Member States and Associated Countries, directed by leading advanced investigators of whatever age, who have already established themselves as being independent research leaders in their own right.

In addition, to strengthen the ERC's role in the innovation chain from frontier research to socio-economic benefits, a Proof of Concept funding was introduced in the revised Work Programme 2011. ERC grant holders are now given the opportunity to apply for additional funding to establish the innovation potential of ideas arising from their ERC-funded frontier research projects.

Finally, following the consideration that small research groups of Principal Investigators and their teams, frequently formed around interdisciplinary problems and shared facilities, have emerged in recent years as increasingly productive units of research, the Scientific Council decided to pilot an extension of its portfolio of instruments to cover such small group scale research efforts with the first Synergy call published in October 2011.

The ERC schemes have been well received by the research community. Since its start in 2007 the ERC has completed eight calls for proposals for the Starting and Advanced Grant schemes. The competitions yielded a total of over 26,000 proposals: more than 2,500 have been selected for funding through a rigorous peer review process. By the end of 2011 more than 2,000 frontier-research projects were up and running in around 470 prestigious research institutions in Europe.

The success of the ERC was recognized by two high-level independent evaluation panels set up by the European Commission:

- The report "*Towards a world class Frontier Research Organisation*" by the independent high-level Review Panel set up to evaluate the European Research Council's Structures and Mechanisms" in 2009 stated that "the ERC has succeeded beyond expectations".
- The expert group on the Interim Evaluation of the FP7 stated that "Despite being a new, and thus untried, instrument, the European Research Council (ERC) has

manifestly succeeded in attracting and funding world-class research and is playing an important role in anchoring research talent."

Following a recommendation of the 2009 independent review of the ERC's structures and Mechanisms, a further review took place through an ERC Task Force established in December 2010 by the Commission with the mandate to produce options for a lasting legal and organisational structure of the ERC under the forthcoming "Horizon 2020".

The Task Force was requested by the Scientific Council in November 2010 and reported in July 2011. Like the 2009 review before it, the Task Force considered that an improved Executive Agency structure is the most appropriate and efficient within the timescale of Horizon 2020. The priority should be stability and the immediate focus should be on sustainability and optimisation of a structure that has largely proven its effectiveness.

#### **4.1.1 The ERC Executive Agency (ERCEA)**

The ERCEA implements the Ideas programme according to the strategies and methodologies defined by the independent ERC Scientific Council.

The main priority of the ERC in 2011 was the effective and efficient implementation of the specific programme Ideas and, in parallel, the ERC Executive Agency's further organisational development.

At the end of December 2011, the Agency employed a total of 350 agents: 97 temporary agents, 245 contract agents and 8 Seconded National Experts. Statistics of December 2011 show that the Agency employs approximately 36% men and 64% women. As regards the gender balance of highly specialised staff (Temporary Agents and Contract Agents Function Group IV), 54% of the posts are occupied by women. At the end of 2011 the ERC Executive Agency employed nationals from 24 EU Member States.

The ERC's instruments are simple both by design (support to individual research teams with no predefined thematic priorities) and implementation (the ERCEA has been able to develop simplified procedures and features which compare very well on measures like time-to-grant). The efficient operation of the Starting and Advanced Grant calls during 2011 underlines the successful organisational development of the ERCEA. The Agency managed to consolidate its key performance indicators in relation to grant implementation in 2011 and largely met its targets, with the exception of the "time to grant (the time from call deadline to signature of grants). While the target was to sign grant agreements in at least 75% of grants within 365 days, the actual time in 75% of cases was 440 days (Starting Grants 2010), 428 days (Advanced Grants 2010) and 391 days (Starting Grants 2011) respectively. The target of 365 days was fixed in consideration of international benchmarks.

Thanks to tight supervision and a performing follow-up system, the "time to pay" record remained with an average of 10 days for pre-financing and 13,6 days for interim payments.

During the course of 2011, on the basis of the annual communication strategy, the ERC intensified its awareness raising activities about its funding opportunities, both in Europe and outside, while the visibility of ERC's funded projects was raised among the general public and the media.

Thanks to the efforts of past years, and to the success of its funding schemes, the ERC's visibility has considerably increased, as witnessed by a growing number of articles in the media, invitations to events or visits to the ERC website, as well as by a growing participation in ERC calls.

#### **4.1.2 The ERC peer review evaluation process**

Setting up the ERC peer review system was a major priority for the Scientific Council. 25 Panels covering three scientific domains - Social Sciences and Humanities (SH), Life

Sciences (LS) and Physical and Engineering Sciences (PE) - and a broad range of topics ensure that proper consideration is given to high quality, interdisciplinary proposals.

By the end of 2011 and since the start of the Ideas Programme in 2007, the ERC had launched in total 10 Starting and Advanced Grant calls for proposals:

- Eight calls were completed (Starting Grant 2007, 2009, 2010 and 2011; Advanced Grant 2008, 2009, 2010 and 2011), i.e. the evaluation process was concluded and the results were communicated to applicants and other stakeholders.
- The deadline for submission of proposals of the Starting Grant 2012 call had passed and the evaluation process was on-going at the end of 2011.
- A call for Advanced Grant 2012 was launched in autumn 2011 with deadlines in spring 2012.

In addition, the first call for Proof of Concept was launched in March 2011, with a first deadline in June, for which the evaluation process was concluded and the results were communicated to applicants and other stakeholders; a second deadline was in November.

Finally, the first call for the Synergy Grant 2012 was launched in October 2011, with a deadline for submission in January 2012.

The number of applications received in 2011 confirms an increasing trend. In response to the 2011 calls (both Starting and Advanced Grants), a total of 6.364 proposals were submitted, representing a 30% increase on the 2010 submissions, with a very large increase (42%) for the Starting Grants. The response to the 2012 Starting Grant competition, with 4.741 proposals received, represents an increase in demand of 16% compared to the last Starting Grant call.

The 2011 ERC Starting Grant call was published in July 2010 with an indicative budget of € 661 million. In total 4,080 proposals were received distributed by domain as follows: 1.690 proposals in Physical Sciences and Engineering, 1.440 in Life Sciences and 950 in Social Sciences and Humanities. A total of 485 proposals were selected for funding. More than € 670 million was awarded with an overall average awarded grant of around € 1,4 million.

The 2012 Starting Grant call was published in July 2011 with an indicative budget of € 730 million. A total of 4.741 proposals were submitted: 2.058 in Physical Sciences and Engineering, 1.653 in Life Sciences and 1.030 in Social Sciences and Humanities, representing respectively 43%, 35% and 22%, of the proposals, a splitting similar to the previous two calls.

The 2011 ERC Advanced Grant call was published in November 2010 with an indicative budget of €661 million. A total of 2,284 proposals were received distributed by domain as follows: 917 proposals in Physical Sciences and Engineering (40%), 789 in Life Sciences (35%) and 578 in Social Sciences and Humanities (25%). The evaluation process resulted in a total of 294 proposals retained for funding (data as of January 2012) with a total of about € 700 million awarded and an overall average awarded grant of around € 2,4 million.

The 2012 ERC Advanced Grant call was published in November 2011 with deadlines between February and April 2012 and an indicative budget of € 680 million.

The first Proof of Concept (PoC) call was published in March 2011 with an indicative budget of €10 million, approximately half of which was allocated to each of the two evaluation rounds following the two deadlines for submission set in June and in November 2011 respectively. Only researchers already holding an ERC Starting or Advanced grant were eligible to apply for Proof of Concept funding. A total of 78 proposals were received at the first deadline and 73 of them were considered eligible for evaluation, with the following distribution per domain of the original ERC grant held by the applicant: 58% in Physical Sciences and Engineering, 34% in Life Sciences and 8% in Social Sciences and Humanities. The evaluation resulted in 30 proposals retained for



funding, seven coming from researchers hosted by an organisation in the Netherlands, seven in the UK, four in Israel, two in France and one in each of the following countries: Austria, Belgium, Switzerland, Germany, Greece, Spain, Finland, Hungary, Ireland and Italy.

At the second deadline, 73 proposals were received and 66 of them were considered eligible for evaluation, with the following distribution per domain of the original ERC grant held by the applicant: 61% in Physical Sciences and Engineering, 34% in Life Sciences and 5% in Social Sciences and Humanities. The evaluation resulted in 22 proposals retained for funding. The projects, selected through peer review evaluation, address topics ranging from health to telecommunications, research on needle-free injections of vaccines, safer mobile communications, responses to consumers' concerns on health and food safety, as well as new technologies: for example wheelchairs controlled simply by sniffing. With a very limited part of the whole ERC budget, the initiative can unleash considerable innovation potential.

Overall, in 2011 the ethical screening of proposals involved 55 external experts and covered 100% of proposals, out of which only 3 were flagged as dealing with Human Embryonic Stem Cells. These proposals will be transferred into the dossier of DG Research and Innovation.

The ERCEA put in place redress procedures, following the model established for FP7. In 2011, 234 requests for redress were received, representing 3,6% of total proposals submitted, a significant decrease compared to 2010 (4,6%) when considering the 30% increase of proposals submitted. The increase in the number of re-evaluations compared to 2010 is mainly due to the assessment of the wrong criteria and to the use of confusing scoring by some panels in Step1 of Starting Grant 2011. The evaluation criterion in the "Ideas" Work Programme 2012 has introduced substantial improvements. The two successful redress requests were originated in both cases by errors on an individual assessment. In both cases the re-evaluation ended with the Principal Investigator being selected for granting.

#### **4.1.3 ERC Calls**

The ERC supports investigator-driven frontier research through a competitive review process greatly recognised and highly respected by the entire scientific community, based on the sole criterion of scientific excellence. For each ERC call, approximately 2.800 members of the science, engineering and social science and humanities communities participate in the excellence review process as panellists and external reviewers.

In 2011, the percentage of proposals awarded through this process over the total number of proposals evaluated in the Starting Grants was lower than in 2010 due to the large increase in the number of submitted proposals (42%), while the call budget increase was only 10%. The success rate dropped from 15,8% in 2010 to 12,1% in 2011. The success rate of the Advanced Grants fell slightly to 13,1% in 2011 from 13,8% in 2010.

The majority of the Starting Grant holders of the first four calls are hosted by institutions located in the EU, while 12% have a host institution in an FP7 Associated Country. For the first four Advanced Grants calls, the share of host institutions from Associated Countries is significantly higher (16%).

ERC competitions are open to any researcher anywhere in the world who wants to conduct a research project in an EU Member State or FP7 Associated Country. ERC efforts in this context have been focused on attracting researchers from countries outside the ERA (European and non-European).

The eight completed calls for proposals attracted in total less than 700 applications from researchers who reside in countries outside the European Research Area. Those researchers account for less than 3% of applicants in both Starting and Advanced Grants. These proportions have remained relatively stable in the eight calls.

Generally most of the ERC grant holders are nationals of the country of their host institution, with the exception of Switzerland and Austria with 76% and 66% foreign grantees of the total hosted. Only the United Kingdom comes closer to this level with 44% foreign grantees, while for the other countries the ratio is below one-third. In absolute numbers the UK hosts 242 foreign ERC grantees (91% of them already resident in the UK at the time of application) and Switzerland 143 (78% of them already resident in Switzerland). The ratio of foreign researchers is very small in Israel (3%), Hungary (7%), and Italy (10%), when considering only countries with more than 25 grantees. In total, the ERC has funded 74 researchers who, at the time of application, were resident outside the ERA.

The same figure shows the tendency of some nationalities to work abroad rather than in their home country: 54% of Greek and 46% of Austrian grantees are based in foreign countries. The numbers are in particular high for Germany and Italy, with 156 and 106 nationals respectively hosted by institutions away from their home country. In both cases about 90% of these grantees were resident abroad at the time of application.

With eight completed calls, around a fifth of the more than 2.500 ERC grantees are women. The share is substantially higher in the Starting Grant competitions with 24% women grantees, compared to 12% in the Advanced Grant competitions. These relative low shares are partly due to the lower proportion of women applying to each of the two grant schemes, with an average of 29% in the Starting Grants and 14% in the Advanced Grants.

Although broadly speaking these ratios reflect the proportion of women at the different stages of their research careers in Europe, the ERC is working on encouraging more female top researchers to apply for ERC grants. With the goal of increasing the number of women scientists among its awardees, the Scientific Council has set up a gender-equality plan. The objective is to raise awareness among potential women scientists, in order to improve the number of female applicants submitting ERC proposals in all research fields. It also aims at a fair gender balance among the ERC peer reviewers and provides for other measures to identify and challenge any potential gender bias in the ERC evaluation procedure.

## **4.2 The Research Executive Agency (REA)**

The Research Executive Agency (REA) is one of two executive agencies (the other being the ERCEA, see section 4.1.1) involved in the management of the Seventh Framework Programme. Since mid-2009, the REA has managed the following parts of FP7:

- The Marie-Curie Actions of the People Specific Programme;
- The Research for the benefit of SMEs actions of the Capacities Specific Programme;
- Part of the Space theme of the Cooperation Specific Programme;
- Part of the Security theme of the Cooperation Specific Programme.

For these actions, the REA manages all phases of the project life cycle. The REA also disseminates project results and collects data on the progress and results of the projects to support the Commission in the policy development and the formulation of the work programmes.

In addition to the "standard" tasks of an executive agency, consisting in issuing calls for proposals, evaluating proposals, grant negotiation and follow-up of running grants, the REA also provides support services to other Commission services managing FP7. These services include running the FP7 evaluation facility, providing a common legal and financial validation service for FP7 participants, supporting research services in the contracting and payment of expert evaluators and managing the Research Enquiry Service, a single point of entry for all questions related to the Framework Programme.

Regarding the governance of the agency, the REA has a separate legal identity and has been autonomous from the Commission since 15 June 2009, but its operations are supervised by a Steering Committee of five senior Commission officials from its parent

DGs (Research and Innovation, Enterprise and Industry, Education and Culture) and DG Human Resources and Security.

#### **4.2.1 The REA in 2011**

During 2011 the REA built on the foundations laid in 2009 and 2010 and considerably improved its performance in all areas.

Regarding budget implementation, the REA again used 100% of the funds allocated to it for 2011 and grant negotiations for calls financed by the 2009 budget were successfully completed by end-2011. As in 2010, the time-to-grant (TTG) continued to improve considerably in 2011 for all calls.

Including the 1.895 new grants signed in 2011, the Agency manages by the end of the first semester 2012 a portfolio of some 6.500 running projects. The number of FP7 projects managed will further increase until 2014. For running projects, regular project monitoring is performed by the REA's project officers and interim/final payments are processed on the basis of reviews of project deliverables. With respect to time-to-pay (TTP), the REA improved compared to the year 2010. About 97,5% of the grant pre-financing payments were made within the contractually defined time limits; 82,5% of interim and final payments were made on time. With respect to the more ambitious targets set by the Commission in April 2009, some 71,5% of pre-financing and interim/final payments were done within these targets. This performance is comparable to that of other services within the research family of DGs although there still remains scope for further improvement.

Regarding the necessary controls by means of ex-post audits, the REA is part of the FP7 ex-post audit strategy, which is common to all services of the research family and a crucial component of the REA's internal control structure.

#### **4.2.2 Programme management in the REA**

##### **The People Programme**

During 2011, the REA managed calls of a value of € 752,26 million and evaluated 8.316 proposals submitted in response to those calls. The success rate for proposals submitted to the various Marie Curie actions varies from 9% in ITN to 46% in IRSES.

In total, 578 projects launched under FP7 were closed in 2011, but 1.615 new projects were started. The REA is currently managing 5.513 projects and will continue to do so by some 1.040 projects as a result of the implementation of the 2011 calls.

##### **Research for the benefit of SMEs (Capacities Programme)**

During 2011, the REA managed one call of a value of € 219 million and evaluated 911 proposals submitted in response to that call. The success rate of 18%, although slightly below FP7 wide averages, can be considered as appropriate for the selection of high-quality projects.

In total, 61 projects launched under FP7 were closed and 168 new projects were started. As a result, the REA is managing an increasing stock of 498 projects that will further increase by some 10 projects as a result of the implementation of the 2011 calls<sup>22</sup>.

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<sup>22</sup> Note that this increase only refers to grant agreements awarded under 2011 calls. Additional new projects will be started in 2012 from calls under the 2012 Work Programmes.

## **Space and Security themes (Cooperation Programme)**

During 2011, the REA managed two calls of a value of € 494 million and evaluated 593 proposals submitted in response to those calls. The success rates for these themes vary to some extent but remain comparable to the average for FP7 (27% for Space and 18% for Security) and ensure that high quality projects are being funded.

In 2011 no projects launched under FP7 were closed and 122 new projects were started. As a result, the REA is managing an increasing stock of 285 projects that will further increase by some 50 projects as a result of the implementation of the 2011 calls.

### **Redress**

Applicants wishing to contest the unfavourable outcome of the evaluation may submit their request to internal redress panels, composed of REA and Commission staff not directly involved in the particular evaluation process. The number of redress cases handled by the REA for its 2010-2011 calls was<sup>23</sup>:

- People Programme: 493 requests, 14 upheld (188 pending)
- Research for the benefit of SMEs: 47 requests, 2 upheld
- Space and Security: 28 requests, 0 upheld

As in previous years, some cases upheld and submitted for re-evaluation concerned the qualification of expert evaluators and/or mistakes in the evaluation summary reports. Given the high number of proposals to be evaluated, the risk of assigning insufficiently qualified experts (especially in bottom-up programmes which cover a wide range of scientific domains) cannot be fully ruled out, but the frequency of re-evaluations resulting from this aspect remains very low. Eventually, 2 redress requests regarding eligibility decisions were upheld for the SME actions. Here, it was detected that the wording of the work programme and the screens of the submission system were not sufficiently clear so that mistakes by applicants were likely. The REA decided to re-evaluate these cases but none of these proposals was finally retained for funding. However, among further proposals re-evaluated at the initiative of the REA following the discovery of this issue, one was finally retained for funding.

Overall, except for the case mentioned above, the re-evaluation of upheld redress cases did not lead to a proposal being funded.

### **FP7 Support Services**

The following are a selection of key performance indicators and key figures to illustrate the scale of the tasks undertaken by the REA throughout 2011 in support of the whole of the People, Capacities and Cooperation programmes:

- The EPSS (Electronic Proposal Submission System) tool was set up on time for online submission of 80 FP7 calls (including for 8 Joint Technology Initiative calls);
- The validation services validated 6.252 legal entities participating in research projects. All validation requests necessary for the execution of the 2011 budget commitments of the research DGs and the REA were done in good time to allow the grant agreements to be signed on time;
- The Research Enquiry Service responded to 7.123 queries;
- The Agency was providing an expert handling service to a number of Commission services managing the FP7. Thereby the Agency acted as an important interlocutor for experts assisting the Commission in proposal evaluations for most of the FP7 calls;

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<sup>23</sup> These figures are included in the overall redress numbers presented in section 3.2.2.

- Out of a total of 3.620 payments made to expert evaluators, 99,8% of payments were made within 45 days and 96,2% of payments were made within the new target of 30 days set by the Commission in April 2009.

### **4.2.3 Overall appreciation**

The REA was legally created in late 2007 and started operations in June 2009. It manages a variety of programmes and tasks: the bottom-up support schemes for researcher mobility and SMEs as well as the classical top-down Cooperation themes for Space and Security Research, plus the FP7 Support Services for all Commission services managing FP7 and JTIs, such as participant validation. The REA manages all these different tasks to the satisfaction of the grant beneficiaries and the Commission services involved. It has improved considerably the performance for time-to-grant and time-to-pay and the quality of the support services compared to the beginning of FP7.

Based on the good track record and the positive experience with the six executive agencies in general, the Commission announced that the agencies, including REA, would play an important role in the next Multiannual Financial Framework and for the management of the future Horizon 2020 Framework Programme for Research and Innovation.

## **4.3 Marie Curie Actions**

### **4.3.1 General overview**

The Marie Curie Actions (MCAs) are designed to boost researchers' careers in all fields of science and humanities. Created more than 15 years ago as a programme for transnational mobility of researchers, they have evolved into actions aimed at structuring and strengthening human resources activities in Europe.

Under FP7, MCAs are regrouped in the Specific Programme People with a budget of €4,75 billion (~9% of the total FP7 budget). The actions offer a full range of crucial opportunities for researchers at all levels of their career, from PhD candidates to the highly experienced researchers in academia or industry.

By fostering mobility across countries, disciplines and sectors, and by supporting the creation and reinforcement of international links between universities, research institutes and companies, the MCAs make Europe an attractive location for the science of tomorrow as well as today.

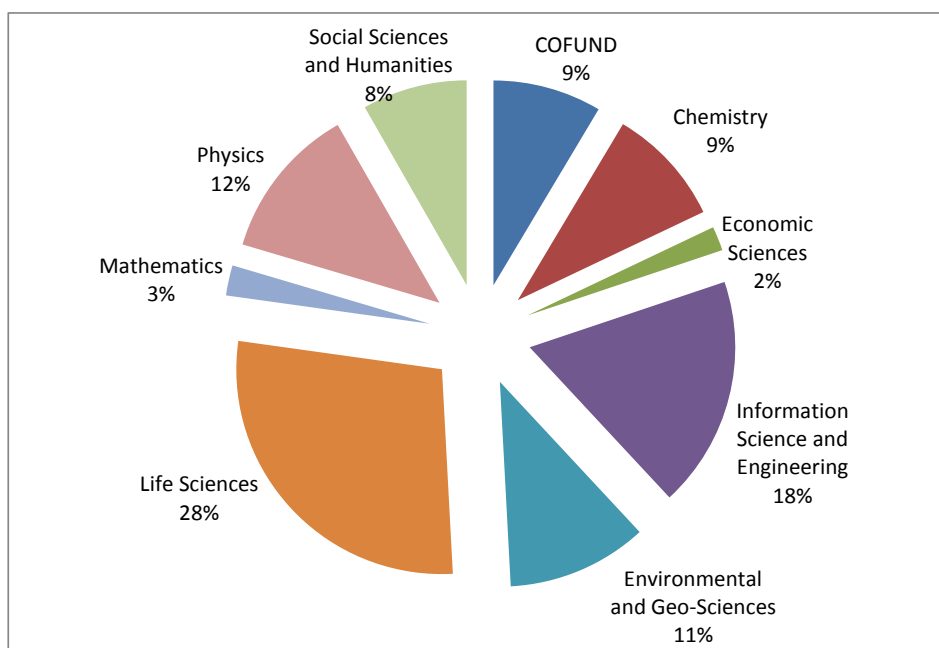
MCAs are bottom-up, i.e. research projects can be funded in all research topics, freely chosen by applicants. Thanks to their bottom-up nature, MCAs fund projects that would not have been supported otherwise by the Framework Programme (2/3 of supported projects, as assessed in the FP6 Marie Curie Ex-post evaluation)<sup>24</sup>. By its bottom-up approach, the programme finances numerous interdisciplinary, international and intersectoral research projects addressing also major societal challenges, from climate change to health and ageing.

Up to December 2011, more than 5.500 MCA grant agreements have been signed for the EU contribution of €2,133 million. Among these, up to 60% were addressing directly major societal challenges.

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<sup>24</sup> The Evaluation Partnership (2010), *Ex-post Impact Assessment study concerning the 'Marie Curie Actions' under the Sixth Framework Programme*

**Figure 34:** MCA budget distribution per Scientific Panel (Projects funded until December 2011)



#### **4.3.2 Focussing on researchers' careers**

MCAs stand for excellence in research training, mobility and career development. In a recent FP7 MCA survey (March 2011), nearly 72% of respondents (beneficiary level) consider that the career prospects of the Marie Curie fellows are higher than those of non-Marie Curie researchers.

The programme is a fundamental tool to support the achievement and functioning of the European Research Area by:

##### **Stimulating young research talents**

Encouraging young people to start a research career is one of the Marie Curie Actions' core missions. Over the lifetime of FP7, the programme will provide structured doctoral training to more than 10.000 new PhD candidates in Europe. They will benefit from excellent research and transferable skills training, preparing them for the jobs of the future. The involvement of future employers in the training programme and meaningful exposure of young researchers to business via secondments or recruitment will enhance their career prospects and employability in both the public and private sector.

In line with the commitments of the Innovation Union flagship initiative, European Industrial Doctorates and Innovative Doctoral Programmes are proposed as pilot projects since work programme 2012.

##### **Attracting and retaining outstanding researchers in Europe**

The Marie Curie Actions play a pivotal role in attracting top researchers to Europe and encourage expatriate European researchers to return. 46% of the fellows coming to Europe from industrialised countries in FP6 IIF and 45% of the fellows coming in FP7 IIF stayed in Europe after the end of their fellowships<sup>25</sup>.

<sup>25</sup> Location of all the fellows checked in December 2011, for the fellowships that had ended between the beginning of FP6 and September 2011.

## **Linking research with businesses**

The Marie Curie Actions forge strong links between the university and the business worlds through the exchange of research staff, the involvement of private sector in young researchers' training, and the organisation of networking events such as workshops and conferences.

Among the different MCAs, the two schemes Initial Training Networks (ITN) and Industry-Academia Partnerships and Pathways (IAPP) constitute 50% of the People Programme's budget and aim explicitly to tackle the 'innovation gap' by enhancing cooperation between universities and industry in terms of knowledge sharing, training and broad skills development. SMEs have also a major role to play in this context and they account for more than 50% of all businesses participating in the ITN and IAPP.

## **Developing skills of researchers**

The programme has created around 60.000 new research positions so far (from FP3 to the end of 2011). All MCA-supported researchers upgrade and diversify their skills, benefit from high-quality research training and transfer of knowledge activities between countries and disciplines as well as between high-profile universities, research centres, socio-economic partners, business including SMEs.

The research training is not only devoted to research-based technical skills but also places a large emphasis on transferable skills such as entrepreneurship, intellectual property management, research management, patenting, leadership skills, communication, ethics, etc.

## **Enhancing international collaboration**

The Marie Curie Actions allocate almost a third of the People Programme budget to international activities and are the most open programme to international dimension within FP7. They are instrumental to build and strengthen international cooperation and networking among different research fields and sectors. Mobility experiences open the access to other approaches to research and lead to find solutions to complex problems. Exchange of staff reinforces the networking and collaboration among organisations and allows avoiding duplication of efforts by putting together resources and ideas.

90% of the Marie Curie researchers consider that the grant helped them to make significant new professional contacts, and 70% of them intend to maintain these links (FP6 Marie Curie Ex-post evaluation).

## **Promoting attractive employment and working conditions for researchers**

The MCAs promote professional standards for researchers and encourage employment conditions to be in line with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (Charter and Code). MCAs are seen as best practice: Marie Curie fellows enjoy full employment contracts with attractive salaries, full social security coverage and pension benefits; moreover, they benefit from state of the art working conditions, high level supervision and mentoring support.

The MCAs help researchers wishing to resume a career in research after a break, especially through the Career Restart Panel.

Moreover, the programme engages strongly in promoting gender equality in research. 38% of researchers supported via the MCAs are women, close to the 40% target set up in the People Programme.

## **Structuring the European research landscape through involvement of national programmes**

The Marie Curie co-funding of regional, national and international programmes (COFUND), newly introduced in FP7, aligns national resources, influences national and regional fellowship programmes' design by promoting a systematic openness for transnational mobility, and requiring applicant programmes to adhere to the principles of the Charter and Code.

**Improving the communication of scientific results to the society at large**

All MCAs promote public engagement of researchers, encouraging them to communicate their research activities to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. The ultimate goal of the programme's outreach activities is to develop young people's motivation to embrace research careers.

**4.3.3 Implementation of the calls**

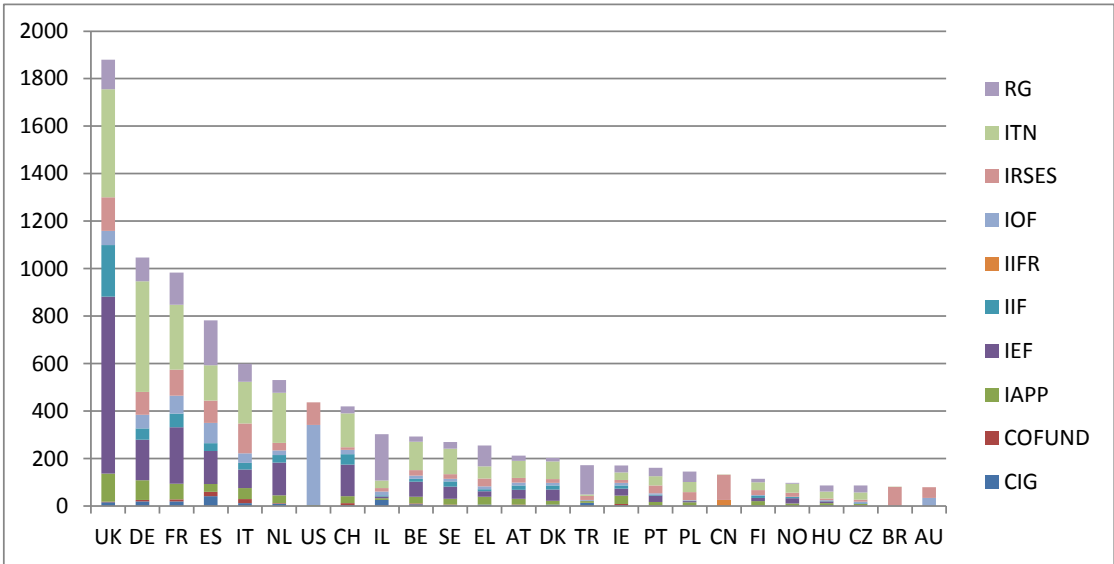
In the period 2007-2011, 42 calls<sup>26</sup> were launched and concluded under the Marie Curie Actions, for which nearly 29.000 funding requests were submitted. Of these, over 6.700 proposals were retained for funding on the basis of their assessment by independent external experts and of the available budget.

The success rate was on average 23%. It should be noted however that 70% of the Marie Curie Actions budget is for either the ITN action (9% success rate in 2011) or the Individual Fellowships (17% success rate in 2011).

MCA projects selected so far in FP7 will involve some 29.000 researchers, supported either by 100%-funded individual fellowships, ITN, IAPP and IRSES networks or by co-funded regional, national and international programmes.

Based on the statistics of FP6 and FP7, researchers from nearly 130 different nationalities have been involved in funded projects, and Marie Curie host organisations are spread worldwide in more than 70 different countries. This testifies the world-wide openness of the programme and its important contribution towards enhancing the knowledge transfer and the quality of research undertaken.

**Figure 35:** First 25 host organisation locations funded under the FP7 Marie Curie actions<sup>27</sup>

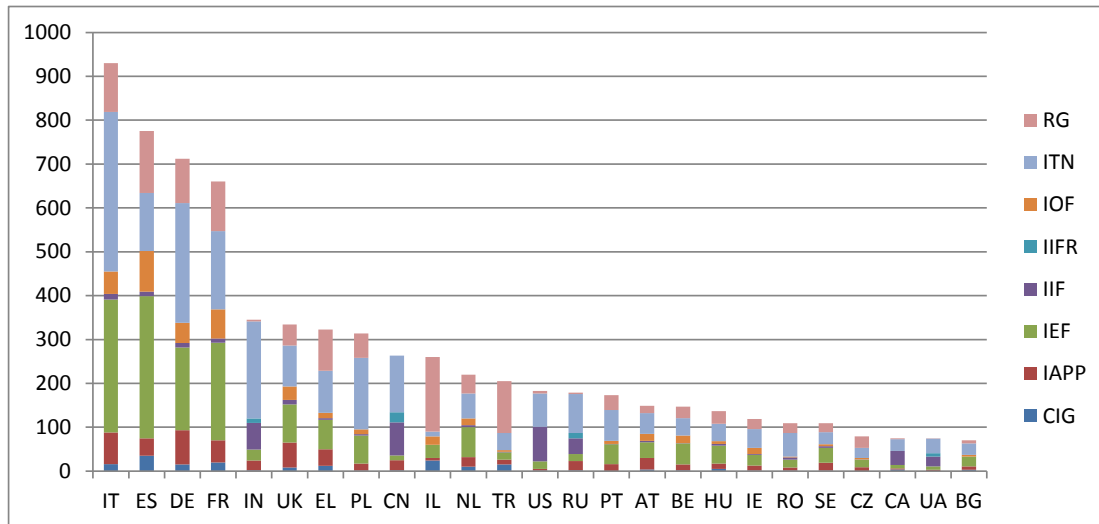


<sup>26</sup> This figure does not include policy support actions.

<sup>27</sup> Data based on funded MCA projects until December 2011.



**Figure 36:** First 25 nationalities of researchers funded under the FP7 Marie Curie actions<sup>28</sup>



## 4.4 EURATOM

The Seventh Euratom Research Framework Programme (Euratom FP7) covers a five-year period from 2007 to 2011. Euratom FP7 has two specific programmes, one covering *indirect* actions in the fields of fusion energy research and nuclear fission and radiation protection, the other covering *direct* actions in the nuclear field undertaken by the Commission's Joint Research Centre (JRC).

In December 2011, the Council of the EU adopted the Euratom Framework Programme for Nuclear Research 2012-2013<sup>29</sup>. This decision not only aligned duration of the Euratom Programme with the EU's financial perspective; it contributed to the implementation of the Innovation Union strategy by enhancing the safety of nuclear fission and of other uses of radiation in industry and medicine.

### 4.4.1 Nuclear fission and radiation protection

Nuclear research activities co-funded by the Euratom Framework Programme contribute to the implementation of the Europe 2020 and Energy 2020 strategies. The Euratom Programme is instrumental to achieving objectives of generating new knowledge in this field of research and the promotion and transformation of results into industrial applications and increased protection of humans and the environment. This research also plays a key role in developing and maintaining nuclear competencies, fostering radiation protection and advancing medical uses of radiation.

For greatest effectiveness, funding is focused on topics identified by the key technical forums bringing together nuclear research and industrial stakeholders across Europe. These are the technology platforms in Sustainable Nuclear Energy (SNETP) and Implementing Geological Disposal (IGDTP), and MELODI – the Multidisciplinary European Low-Dose Initiative – in the area of risks from low and protracted exposure to ionising radiation. All three technical forums have come together around agreed visions for future R&D in their respective fields. Both SNETP and IGDTP are closely aligned with the objectives of the SET-Plan.

<sup>28</sup> Data based on funded MCA projects until December 2011

<sup>29</sup> Council Decision concerning the Framework Programme of the European Atomic Energy Community for nuclear research and training activities (2012-2013).

The Euratom framework programme relies on its catalytic effect to maximise leverage of national and industrial investment in key projects focussing on nuclear systems and safety, waste management, and radiation protection. Euratom's traditional role is to concentrate on cross-cutting topics with a broad appeal to a range of Member States and on pre-commercial research where a broad cooperative approach is needed across Europe in order to create critical mass.

A total of eleven entities from Russia, Ukraine, U.S. and South Africa deliver essential contribution to specific FP7 projects and are co-financed by the FP7 programme.

#### **4.4.2 Fusion energy**

The European fusion research programme is aimed at key challenges - tackling climate change and the need for sustainable and secure energy - identified in the Europe 2020 and Energy 2020 Communications. Fusion, a major scientific and technological challenge, is part of the vision for "a low carbon, resource efficient and climate resilient economy by 2050".

Owing to the scale of fusion research and the need for expertise in a wide range of disciplines, the fusion programme has been for many years a joint effort by Euratom, all EU Member States and Switzerland. This integrated European fusion programme provides an effective means to pool the resources of the Member States through 26 bilateral Fusion Associations with Euratom supported by the European Fusion Development Agreement (EFDA), as well as to disseminate the relevant knowledge and skills. The integration and coherence of the fusion programme has led to Europe taking world leadership in fusion research, including the construction and operation of the Joint European Torus (JET), the world's most successful fusion experiment to date. Almost all fusion associations have collaborative activities with entities of Third States under enforced bilateral Cooperation Agreements with Euratom, being the most important with Japan, U.S., Russia, China and South Korea. A Roadmap for fusion research, under preparation now, will provide the basis for future Euratom activities to deliver the long term objectives.

The construction of ITER, the largest fusion experimental facility in the world to demonstrate the scientific and technical feasibility of fusion energy, is among the key challenges for the EU identified in the SET-Plan together with the early industry participation in the preparation of demonstration actions in this field.

As a response to the serious cost increase and the management weaknesses diagnosed in the ITER Organisation (ITER IO) and Fusion for Energy (F4E), both organisations have been significantly reorganised, in line with the conclusions of the Council of the EU of July 2010 that called for urgent measures to improve the governance and management of the ITER project and capped the EU contribution to its construction phase to €6,6 billion. In 2011, F4E also set up a new project-oriented organisational structure and has put in place a new senior management team to focus on procurements, its core task. The structure of the F4E committees has also been reviewed to improve its governance, while the recommendations of the Court of Auditors have been implemented, in particular through a revision of the F4E Financial Regulation.

In December 2011, the Council of the EU and the European Parliament approved the modification of the MFF presently in force to provide €1,3 billion of additional funds for ITER in 2012 and 2013. According to this agreement, €360 million of the total additional funding will be made available in the 2013 budget procedure within the MFF ceilings for commitment appropriations. The Euratom Framework Programme for nuclear research and training activities for 2012-2013 was consequently adopted.

The Commission proposed to fund ITER and GMES over the period 2014-2020 from outside the next Multi-annual Financial Framework (MFF). For this purpose, the Commission proposed the creation of a Supplementary Research Programme for ITER for 2014-2018. According to this proposal, all Member States would contribute on the basis of their Gross National Income (GNIs).

Up to November 2011, 60 Procurement Arrangements had been signed between ITER IO and the Domestic Agencies, representing 71,5% of the total procurement value for the construction of ITER. In addition, the ITER Council adopted a set of measures to compensate the schedule slippage identified earlier in the year, partly due to the earthquake in Japan to ensure that the project respects the schedule and cost agreed in July 2010 (the ITER "Baseline").

Reducing risk and securing the successful operation of ITER is of fundamental importance. The JET programme has for the past years been focused in this direction by increasing the plasma heating, enhancing the plasma control and diagnostics and installing materials in the plasma vacuum vessel that are identical to ITER. On 18 May 2011, the installation was completed (in only 18 months) of eighty-two thousand parts, assembled into 2.880 items using a newly-developed, state-of-the-art remote handling system inside the JET vacuum vessel. It is now made of beryllium and tungsten tiles forming an 'ITER-Like Wall'. On 24 August, JET successfully produced its first plasma with this new ITER-like wall. Initial experiments are already producing relevant results for ITER such as the confirmation of significantly reduced gas absorption, important for ITER plasma operation and licensing.

## 4.5 Joint Technology Initiatives

Joint Technology Initiatives (JTIs) are a pioneering approach to develop public-private partnerships set-up at European level in order to leverage more R&D investments from Member States, associated countries and industry, to boost European competitiveness and to reduce fragmentation of EU R&D.

JTIs arise primarily from the work of European Technology Platforms. In a small number of cases, European Technology Platforms achieved such an ambitious scale and scope that they required the mobilisation of large public and private investments as well as substantial research resources to implement important elements of their Strategic Research Agendas (SRAs).

The importance of European Public-Private Partnerships in research for the long-term, sustainable development of the EU is recognised in the Commission's Communication on "Mobilising private and public investment for recovery and long-term structural change: developing Public Private Partnerships"<sup>30</sup>.

In practical terms, a JTI is a legally established body, a Joint Undertaking (JU), set up on the basis of Article 171 of the EC Treaty (which became Article 187 of the Treaty on the Functioning of the EU (TFEU)). For the areas addressed by JTIs, SRAs have been developed through intense collaboration between industry, including SMEs, the research community, civil society organisations and other stakeholders. JTI members are jointly responsible for monitoring progress, guiding the evolution of the initiatives and adapting the work programmes in response to changing needs. In this respect, each JTI is accountable to its founding members as well as to the Council and the European Parliament. Moreover, interim and final evaluations of each JTI with the assistance of independent experts are foreseen.

JTIs have a dedicated budget and staff. The Joint Undertakings (JU) provide a framework for the public and private players to work and take decisions together. They organise calls for proposals, oversee selection procedures and put in place contractual arrangements for projects set-up to implement each JTIs' research agenda. JTIs allow funds from different sources to be jointly managed and are responsible for communication and dissemination activities. Each Joint Undertaking includes a Governing Board, an Executive Director and staff, as well as internal or external advisory bodies.

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<sup>30</sup> [COM \(2009\) 615, 19.11.2009.](#)

The five JTIs are:

- **Clean Sky** in the field of aeronautics envisages that innovative, greener technologies will be demonstrated and validated; new technologies are being developed, test flights will be conducted; the results of successful demonstrators can be exploited by aeronautics companies.
- **Innovative Medicines (IMI)** aims to provide new methodologies and tools for accelerating the development of safer and more effective medicines for patients, by focusing research on developing and validating new techniques and methods.
- **ARTEMIS** aims to help European industry consolidate and reinforce its world leadership in Embedded Computing Systems technologies, allowing building computing systems into various kinds of electronic equipment or machines.
- **ENIAC** seeks to develop key technologies for nanoelectronics, and key components and devices across different application areas in order to strengthen European competitiveness and sustainability, and to facilitate the emergence of new markets and societal applications in sectors such as health, transport and energy.
- **Fuel Cells & Hydrogen (FCH)** with the overall objective of speeding up the development and deployment of hydrogen supply and fuel cell technologies.

In 2011, the work within the Commission focused on ensuring that the JTIs implemented their research agendas. Also, a number of practical issues were addressed such as implementing the housing solution, IT infrastructure and tools, implementation of accounting systems, recruitment of staff and staff training, finalising the General Financing Agreement with the Joint Undertakings and concluding various Service Level Agreements (SLA).

#### **4.5.1 Clean Sky Joint Undertaking**

Clean Sky (CS)<sup>31</sup> is a public private partnership whose aim is developing environmentally friendly technologies impacting all flying segments of commercial aviation with the goal of contributing to the ACARE targets for reduction of emissions and noise in Air Transport in Europe, thus contributing to improving the Air Transport system worldwide. CS shall spearhead the contribution of aviation in minimising the impact of anthropogenic activities on climate change, thus providing socio-economic benefits to European citizens and society and increase the competitiveness of the European aeronautical industry.

To implement CS, the European Community, represented by the Commission, and the major aeronautical stakeholders in Europe have agreed to set up a Joint Undertaking (JU) as an autonomous legal entity for the period up to 2017. The CS JU was adopted by the European Council in December 2007.

The objective of the CS JU is achieved through the coordination of research activities that pool resources from the public and private sectors and are carried out by the main aeronautical stakeholders (private CS members) directly, and by partners selected following the response to open and competitive Calls for Proposals. The JU's key objectives, as described in the Annual Implementation Plan (AIP), are twofold comprising operational objectives, which are the milestones and deliverables defined for each Integrated Technology Demonstrator (ITD), and management objectives, at the level of the JU, which include research activities, communication and relations with stakeholders and administration and finances.

As in the past years, Clean Sky maintained close links with the SESAR Joint Undertaking, which investigates air traffic management technologies in line with the Single European Sky initiative, with dedicated meetings at different levels (ITD, TE; JU).

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<sup>31</sup> <http://www.cleansky.eu/>

The major progresses achieved in the implementation of the Strategic Research Agenda are embedded in the achievements of the six ITDs which for the year 2011 are:

- Major progresses have been made in the blade design with respect to the robustness against impacts of debris. The principle concepts of shielding for critical parts of the structure and systems are being developed and will be tested in 2012.
- The feasibility phase for the CROR-engine integration and CROR demo-FTB including numerical simulation, and subscale ground testing, has progressed. The “pusher” configuration has been confirmed.
- Aircraft models for business-jets, small and medium range and long range transport aircraft have been prepared for the CleanSky Technology Evaluator to contribute to the first “CleanSky Technology Assessment
- With regards to the link between Clean Sky and SESAR, progress has been made in the coordination between both programs. In the area of Management of the Trajectory and Mission (MTM), results are now ready to present the various concepts in order to check with SESAR JU their compatibility with future Air Traffic Management (ATM) rules and to receive updates from SESAR to be taken into account at a more advanced level in CS implementation.
- In 2011 in the frame of the Eco-Design ITD, work continued on the feasibility of an all-electrical aircraft, through the study of innovative energy management architectures, requiring joining effort to provide appropriate requirements to Systems ITD. Furthermore, as the result of changes in planning and executions of a number of activities, the delivering of the report on the 1st Assessment of the Eco-Design ITD has been postponed to February 2012.

In 2011 the evaluation of Call seven (published in September 2010) was performed in January and three Calls for Proposals were published: call 8 (2011-01); call 9 (2011-02); call 10 (2011-03), for a total value of € 87,1 million and a funding value of € 52,6 million. The CS JU managed in total 159 topics, resulting in a total of 325 partners from 22 countries.

For all calls for proposals, 40% of the winners selected for funding by the Clean Sky JU were SMEs.

Recalling that the CS JU rules allow for single applicants and not only consortia, in 2011 the number of submitted proposals was of 322 projects and the 305 out of those were considered eligible. The global number of projects selected for funding was of 118.

The TaxiBot "Dispatch Towing Vehicle (DTV)"project, won in 2011 the Innovation Award at Inter Airport Europe in Munich and one of the Clean Sky project was selected to participate to the Innovation Convention 2011 (BLADE project).

An updated strategy for communication and dissemination was adopted by the Governing Board in December 2011. A CS communication network was established to gather all CS members on communication issues and the CS website is being regularly updated with timely information such as press releases, calls for proposals, regular news. CS Governing Board met four times in 2011 and the decisional process run smoothly.

The Clean Sky initiative was promoted at different technical conferences such as CEAS in Venice (Engineering associations council), or ISABE (engines) in Stockholm. But the two main events were:

- The Aerodays in Madrid in March; organized by the CDTI of Spain and the European Commission, this very important event (more than 1000 participants) allowed Clean Sky to have two dedicated workshops and to participate in a plenary session (Executive Director). Clean Sky was also present in the related exhibition with a booth where mock-ups and videos were displayed.
- The Paris Air Show in June; this Air Show, organised every second year, is the biggest in the world. Clean Sky participated with its own “chalet” and organized workshops on different technical areas each day. A celebration of the 400th

participant in Clean Sky, a German SME, took place on this occasion. Members of the European Parliament, European Commission and national officials, visitors from overseas, and many industrial representatives, paid a visit to this chalet and had meetings with the JU staff and ITD leaders as well.

The first internal audit started in November 2010 and was completed in 2011. Further implementation and updates of the CS JU main documents took place: Quality Manual, Manual of Financial Procedures, and Management Manual. The Development Plan was elaborated in several versions, up to the adoption by the Governing Board in 2011.

The legal framework of the Grant Agreements for members and for partners was modified to take into account the Lisbon Treaty.

This first Interim Evaluation of Clean Sky was performed in due time during the 4th Quarter 2010 by a Panel of six independent experts. The report was delivered to the European Commission and the JU in January 2011. The Panel found the concept of the CS JU appropriate for its objectives and recognised a number of achievements. The Report also put forward a set of recommendations which are being implemented by the JU and by the Commission accordingly.

#### **4.5.2 Innovative Medicines Joint Undertaking (IMI)**

The Innovative Medicines Initiative (IMI)<sup>32</sup> was set up in 2007 as a Joint Undertaking (JU) between the European Commission and the umbrella organisation of the European pharmaceutical industry EFPIA (European Federation of Pharmaceutical Industries and Associations) to implement the Joint Technology Initiative (JTI) in the area of pharmaceutical research, it became autonomous in November 2009. IMI aims to provide new methodologies and tools for accelerating the development of safer and more effective medicines for patients, by focusing research on developing and validating new techniques and methods.

The core task of IMI is the implementation of the Scientific Research Agenda (SRA) defined jointly between the pharmaceutical industry and stakeholders, represented by the Scientific Committee and the States Representative Group. The research agenda is implemented through calls for proposals.

The original SRA for IMI dates from 2008 and since then there has been considerable scientific progress. Also, several of the priorities have already been implemented through the initial three calls of IMI. The process for revising the SRA under the leadership of the IMI Scientific Committee was launched during the year. EFPIA, the States Representatives Group and independent experts contributed to the revision of the SRA. This process has been concluded in 2011. The revised SRA will be the basis for the remaining calls of IMI.

IMI managed two calls for proposals in 2011. The third call was launched in October 2010 with a deadline for submitting proposals on 18 January 2011. The fourth call was launched in July 2011 with a deadline for submission on 18 October 2011. Evaluations took place in February-March for the third call and for the fourth call the evaluation results of the Full Project Proposals (FPP) will only be available after March 2012, deadline for participants to submit the full projects.

Considering the two calls together, IMI launched 14 topics, seven each per call.

The third call registered a total of 32 Expressions of Interest (EoI), 30 of which were eligible, involving 438 participants from 25 different countries. The total indicative budget was € 114 million.

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<sup>32</sup> <http://www.imi.europa.eu/>

The first top-ranked EoIs, for each of the seven topics, were invited to prepare a FPP with the pre-formed EFPIA consortium. The full proposals were considered to be a constructive development of the EoIs. At the end of the evaluation process 7 Full Project proposals have been retained for funding with an EU contribution of € 111,8 million from IMI JU and € 70,8 million in kind contribution from EFPIA companies. SMEs represented 10% of the 123 non-EFPIA participants.

The fourth call registered a total of 86 EoIs, 80 of which were eligible, involving 939 participants from 34 countries. The total indicative budget was of € 105 million. Seven top-ranked EoIs have been invited to prepare a FPP with the pre-formed EFPIA consortium.

At the stage of EoI, the number of participants from SMEs represented about 19% of the total.

The IMI communication activities in 2011 were centred on continuing to build the relationships with its stakeholders. In addition, in the second half of 2011 communication focused on IMI Calls, on achievements and on process improvements.

IMI took part in six major mission-centred events held in Brussels, Budapest and Krakow during the year, namely the Stakeholder Forum and the Open Info Day, which both registered a significant participation. The website remains the principal channel to circulate specific information on IMI achievements, such as press releases and articles, while the newsletter reached 1.500 readers in 2011.

The overall responsibility for the operations of the IMI JU rests with the Governing Board, where the two funding members European Commission and EFPIA have equal voting rights. The Board provides strategic direction to the work of IMI and the decision delegated to it. The board met three times during the year.

The first Interim Evaluation of IMI took place in 2010 and the expert panel delivered its Report in December 2010. The overall appreciation of the panel is positive and a set of recommendations have been issued. In particular the experts considered that the implementation of certain aspects of the IMI governance should be refined in order to better align the different actors in IMI, namely the Governing Board, the Scientific Committee, the Executive Office and the States Representatives Group.

#### ***4.5.3 ARTEMIS (Embedded Computing Systems) and ENIAC (Nanoelectronics) Joint Undertakings***

The Commission, being a member of the Public Authorities and Governing Boards of ARTEMIS<sup>33</sup> and ENIAC<sup>34</sup>, ensures an active follow-up of their activities. ENIAC was granted in May 2010 the operational capacity to implement its budget (this capacity is commonly referred to as 'autonomy'), as was the case in 2009 for ARTEMIS.

As foreseen by the ARTEMIS and ENIAC regulations, the Commission mandated a panel of independent experts to carry-out a first Interim Evaluation of ARTEMIS and ENIAC<sup>35</sup>. In their report<sup>36</sup>, the independent experts recognised that these industry-led tri-partite partnerships are major achievements and recommended that research and technological development in the field of embedded systems and nanoelectronics should continue to be co-ordinated at European level.

The panel concluded that all parties should recommit to the strategic aims of the JTIs and issued a number of specific recommendations to the Member States, the Industrial Associations, the European Commission and the Joint Undertakings, aiming at improving further the JTI model.

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<sup>33</sup> <http://www.artemis-ju.eu/>

<sup>34</sup> <http://www.eniac.eu>

<sup>35</sup> [http://ec.europa.eu/dqs/information\\_society/evaluation/rtd/jti/](http://ec.europa.eu/dqs/information_society/evaluation/rtd/jti/)

<sup>36</sup> [http://ec.europa.eu/dqs/information\\_society/evaluation/rtd/jti/artemis\\_and\\_eniac\\_evaluation\\_report\\_final.pdf](http://ec.europa.eu/dqs/information_society/evaluation/rtd/jti/artemis_and_eniac_evaluation_report_final.pdf)

The Commission's response to the ARTEMIS and ENIAC evaluation report was published in December 2010<sup>37</sup>.

## **ARTEMIS**

The ARTEMIS JU supports R&D activities through open and competitive calls for proposals published on a yearly basis, to attract the best European research ideas and capacities in the field of embedded computing systems. Selected projects are co-financed by the Joint Undertaking and the Member States that have joined ARTEMIS. The ARTEMIS JU implements significant parts of the ARTEMIS-ETP Strategic Research Agenda co-funded by industry, research organisations, Member States and the Commission's own ICT programme.

In 2011 the ARTEMIS JU managed its fourth call for proposals as planned. Similarly to the previous calls, the 2011 call was published on 1 March 2011 with a two-step procedure: deadline for submission of Project Outlines (POs) on 31 March 2011 and of Full Project Proposals (FPPs) on 1 September 2011. At the first stage 41 eligible Project Outlines were submitted with a total number of participations of 667 organisations. The total requested budget was of € 545,4 million with a national funding of € 157,4 million. At the second stage 27 Full Project Proposals were submitted at the deadline for a total requested budget of € 370,245 million with national funding of € 127,438 million.

After the second step evaluation, 8 Full Project Proposals (FPPs) started the negotiation phase. In the projects invited for negotiation, the SMEs represented 31% of the participants.

Overall, the Public Authorities Board allocated 63,4 million € of public funds to 8 projects with a total eligible cost of 133,2 million € and 22,2 million € of Union funding.

During 2011 there has been a continuous interaction between the ARTEMIS JU team and ARTEMIS Industry Association (ARTEMISIA). Intensive collaboration contributed to the success of many events during the year and the highlight of the events was the ARTEMIS-ITEA2 Co-Summit 2011 held in Helsinki on 26-26 October, 2011.

During the year, ARTEMIS published also several information brochures on the ongoing and the future calls for proposals and three numbers of the quarterly ARTEMIS Magazine. The Undertaking also improved its visual identity by re-designing its logo.

The running of the Governing Board and the Public Administrations Board (PAB) progressed smoothly in 2011. The Governing Board held 3 meetings, while the PAB met twice. In addition, four written procedures were launched.

## **ENIAC**

The ENIAC JU supports R&D activities through open and competitive calls for proposals published on a yearly basis, to attract the best European research ideas and capacities in the field of nanoelectronics. The programme is open to organisations in EU Member States and Associated Countries. Selected projects are co-financed by the ENIAC JU and the countries that have joined ENIAC. The ENIAC JU implements significant parts of the Strategic Research Agenda.

The Annual Work Programme 2011 (AWP2011) was based on the "Vision, Mission and Strategy for European Micro- and Nanoelectronics" jointly set out with CATRENE<sup>38</sup>. The topics concerned both the technology, with 9 fields addressed, and the application, with 16 fields addressed.

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<sup>37</sup> COM(2010) 752 of 16 December 2010

([http://ec.europa.eu/dqs/information\\_society/evaluation/rtd/jti/fullreport\\_firstinterimevaluation\\_artemis\\_enia\\_jti.pdf](http://ec.europa.eu/dqs/information_society/evaluation/rtd/jti/fullreport_firstinterimevaluation_artemis_enia_jti.pdf))

<sup>38</sup> CATRENE is the Eureka cluster "Cluster for Application and Technology Research in Europe on NanoElectronics". It is a four-year programme, started in January 2008 and extended by another four years.



The ENIAC JU launched its fourth and fifth calls for proposals in 2011; the first call followed a 2-step procedure with a Project Outline submission phase and the second one was implemented as a single step due to limited available time. The decision to implement the second call with a single step procedure significantly helped in closing the gap with the intended total spending of the ENIAC JU by the end of its lifetime.

The evaluation procedures were both based on consensus panel meetings.

During the previous years, ENIAC member States decreased their effective commitment to funding and in 2011 for the first time the trend reversed.

The fourth call in 2011 was a 2-step call and was launched on 23 February 2011 with a deadline for submission of Project Outlines on 21 April 2011. The first step, the Project Outline phase, yielded 20 proposals with a total of 183 participants. A total of € 348,1 million was requested, of which 58,3 million was from the JU and 106,6 million from National funding.

At the second step, 9 full project proposals were submitted, 7 of those passed the threshold at the evaluation phase and 6 were retained for funding with a total of 108 participants. The budget committed at national level for the six winning proposals was of € 34,1 million and the JU budget € 20,8 million.

SMEs were well represented, both in submitted and retained for funding proposals, registering a success rate of 59%. In the projects invited for the negotiation, the SMEs represented 36% of participants.

The fifth call in 2011 was a one-step call and was launched on 27 June 2011 with deadline to submit Full Proposal Projects on 15 September 2011, with a total indicative budget of € 95,5 million.

Eight proposals were submitted at the deadline and 7 were considered eligible for a total requested budget of € 267,7 million, of which 44,7 million was from the JU budget and 76,6 million from national funding.

After the evaluation, six proposals passed the threshold and 1 failed. The budget committed at national level for the six winning proposals was € 55,135million and the JU budget was € 42,836 million.

The total number of participation in the submitted proposals was 103 and 87 were the participants of the projects retained for funding. The overall participation of SMEs was extremely good with 43 companies at the submission phase and 35 retained for funding (success rate of 81,4%). In the projects invited for negotiation, SMEs represented 40% of participants.

In addition to the calls for proposals, ENIAC launched a call for Expression of Interest in pilot lines.

Concerning ENIAC achievements, the E3Car project was awarded in 2011 for its innovative approach in tackling the main challenges in the management of electrical vehicle power train as well as in reducing the energy lost in the intermediate stages of the power chain.

E3Car achieved 28 demonstrators and generated an architectural view of the electrical vehicle. The project dynamics generated 7 more collaborative projects on electric mobility mobilizing more than 100 partners with a total budget of €180 million, thereby ensuring the future of European capability to roll out full electrical vehicle technology.

The ENIAC JU executes a communication plan through a contract with AENEAS in the name of its stakeholders and the main actions reported for 2011 are:

- Organization of a National Funding Authorities day;
- Face to face meetings with public authorities, notably with France, Germany, Netherlands, Romania, Spain, U.K., the Czech republic, Hungary, Poland, Ireland;
- Co-organization with the other Joint Undertakings of the "Innovation in Action" event at the European Parliament;
- 4 press releases;

- Co-organization of the European Nanoelectronic Forum and introduction of the “ENIAC JU Innovation Award”, to recognize the projects approaching completion or recently completed that produced the most impactful innovations;
- Participation in several events in Germany, Austria, Italy, Romania, sponsored events in France and Germany;
- Presentation at several conferences including, the Seventh International Nanotechnology Conference on Communication and Cooperation (INC7) in Albany, New York, the opening address at ESSCIRC/ESSDERS conference (Helsinki), presentation at SEMATECH Forum (Dresden), EuroSimE conference in Linz, and at the Nanoelectronics days in Rome and NanoVeneto in Mestre.

As regards the governance of the JU, the GB held 3 meetings in 2011, while the Public Administrations Board (PAB) met 5 times. There were nineteen written procedures. The main decisions taken by the GB during the year were related to Annual Implementation Plan 2012 and Annual Budget Plan 2012.

#### **4.5.4 Fuel Cells & Hydrogen Joint Undertaking (FCH JU)**

The Joint Undertaking for Fuel Cells and Hydrogen (FCH JU)<sup>39</sup> was established by Council Regulation (EC) No 521/2008 of 30 May 2008. Since that date the Commission was responsible for the interim management of the JU until November 15, 2010, when it reached the operational capacity to implement its own budget. The Executive Director was appointed in September 2010.

The FCH JU projects are funded with financial contributions from the EU and from in-kind contributions from the participants. To date there have been four annual calls for proposals completed in 2008, 2009, 2010, 2011 and 2012. Another call will be launched in 2013.

In 2011, there were 53 on-going FCH JU projects (with cumulative grants of ~111 million Euros) engaging some 285 different beneficiaries.

The 2011 call for proposals was fully managed by the FCH Programme Office; the negotiations for the 30 projects selected in this call (estimated grants of 109 million Euros) are to be completed in 2012. With a few exceptions, the overall coverage of topics to date has been as expected and the quality of proposals good.

After the first three FCH JU calls of proposals, it became clear that due to the specific matching requirement the FCH JU funding levels turned out to be considerably lower than in FP7. In order to decrease the gap to funding levels in FP7 and to properly recognise the role of the Research Grouping as a shareholder in the JU, an amendment of the Council Regulation was initiated in autumn 2010 and was adopted on November 14, 2011.

Over the last years, the Fuel Cells and Hydrogen industry has made considerable progress both in terms of technology development and commercial deployment. Industry commitment remains strong, despite the crisis. Following the success, in terms of impact of the results and visibility, of a techno-economic assessment on automotive applications, a study about the role of market and public policies in the commercialisation of Fuel Cell Electric Vehicles was awarded via public tender, for the FCH JU envisages commissioning studies in other sectors such as urban buses, stationary applications and material handling vehicles.

A large scale of communication activities, whose focus was to raise awareness on the FCH technologies and their contribution to current energy and environmental challenges, has become an international reference. The main events and initiatives were the following:

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<sup>39</sup> <http://www.fch-ju.eu/>

- Development of a new web site address (www.fch-ju.eu), managed in-house, replacing the sub-site hosted by DG RTD. Since it is online (15 March 2011) there have been over 40.000 visitors (47% new and 53% returning).
- Stand at the Charlemagne building during the EU Sustainable Energy Week (10 to 14 April 2011).
- Info Day (Brussels, May 11th) and brokerage event (Berlin, May 19th) on call for proposals FCH-JU-2011-1.
- Joint exhibition in the European Parliament in Brussels in collaboration with the other 4 Joint Undertakings from 4 to 6 October 2011 followed by a public conference, which counted on the presence of a number of MEPs.
- Participation of the Executive Director and/or the Programme Office staff in some 25 external events and conferences in different MS and key non-European countries (US, Japan, Korea, China, Canada) to present the FCH JU developments and explore potential collaboration

The Annual Implementation Plan 2012 jointly prepared by the members of the FCH JU was adopted after consultations with the relevant services of the Commission, the Scientific Committee and the FCH JU States Representatives Group.

Another important achievement in 2011 was the revision of the Multi Annual Implementation Plan (MAIP). The main focus of this revision was the updating of the programme targets and priorities to correspond to the latest technological and market developments.

New procedures to complete and strengthen the internal control system were adopted, in particular for the review and the acceptance of periodic reports and cost claims and for the ex-post audit of beneficiaries. These new procedures were implemented as the first cost claims were received and the first audits were launched.

The identification of critical risks in the frame of the Risk Management process carried out early 2011 (e.g. impact of funding rates on attractiveness of the programme, IT issues) enabled to develop corrective actions to mitigate them as confirmed by the risk management exercise carried out in October 2011.

The first interim evaluation of the FCH JU<sup>40</sup>, concluded in April 2011 was carried out by the Commission with the assistance of a panel of independent experts. The evaluation had as an objective to assess the effectiveness, efficiency and quality of the FCH JU operations, both with regard to the Joint Undertaking and its operating bodies and the technical activities carried out by its members and project participants. The primary outcome of the experts' report is that the FCH JU is an achievement and represents a valuable instrument for the European Union that should be maintained and supported to implement its work as originally envisaged. However, the experts have also identified a number of issues encountered by the FCH JU as well as some areas where its operation could be improved.

## **4.6 Article 185 (ex-169) Initiatives**

Article 185 of the Treaty of Lisbon provides a legal basis for the Union to participate in the joint implementation of national research programmes undertaken by several Member States, and thus provides a key building block of ERA because of the possibility it offers to combine EU, national and regional efforts into single European programmes. Article 185 Initiatives are set up at European level to address strategic areas where research and innovation are essential to European competitiveness. They have been introduced as another means of implementing the Seventh Framework Programme in areas selected in the Specific Programmes. The Union provides support beyond a simple

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<sup>40</sup> [http://www.fch-ju.eu/sites/default/files/EvalFuelCellHydroReport2011\\_ALLBROCHURE\\_WEB.pdf](http://www.fch-ju.eu/sites/default/files/EvalFuelCellHydroReport2011_ALLBROCHURE_WEB.pdf)

coordination of research programmes in that it requires a scientific, management and financial integration process. So far, five Article 185 Initiatives have been set up.

The pilot Art. 185 initiative under FP 6 is the European and Developing countries Clinical Trials Partnership (EDCTP, Decision 16/06/2003) which is the only one implemented via a grant agreement with an EU contribution of € 200 million. The four initiatives launched in FP7 are implemented by a general agreement between the Commission and the Dedicated Implementation Structure (DIS) and have entered the same pipeline at different times and therefore find themselves today at various developmental stages:

- Ambient Assistant Living (AAL, Decision 09/07/2008)
- EUROSTARS (Decision 09/07/2008)
- European Metrology Research Programme (EMRP, Decision 16/09/2009)
- Joint Baltic Sea Research and Development Programme (Bonus, Decision 22/09/2010)

The EU contribution for these 4 initiatives under FP7 is about €500 million.

The five Art. 185 initiatives are not subject to the Rules for Participation of FP7 and are based on the Rules for Participation of national programmes concerned – provided that they are compatible with EU legislation plus any additional requirement which may be imposed by the Delegation Agreement. The initiatives are implemented by indirect centralised management through a DIS which is responsible for the administrative, financial and contractual management of a joint research programme.

The Ambient Assisted Living (AAL) Joint Programme aims to use intelligent products and provide remote services, to extend the time elderly people can live independently in their home environment. AAL is implemented by 20 EU Member States and 3 Associated States. The programme's planned total budget is € 700 million, with € 150 million funded by FP7.

EUROSTARS addresses research and development performing SMEs and is undertaken by 32 countries, in the context of EUREKA, with a planned overall public contribution of € 400 million, € 100 million coming from FP7.

The European Metrology Joint Research Programme (EMRP) is an initiative undertaken by 22 countries raising € 400 million of public funding with € 200 million coming from FP7. It responds to growing demands for cutting-edge metrology, particularly addressing grand challenges like metrology for environment, energy or health or emerging technological areas, targeting innovation and scientific research and support for policy. EMRP is the first Article 185 Initiative to be developed using ERA-NET Plus as a bridging measure.

The BONUS Joint Research Programme evolved from an ERA-NET plus action and involves all eight EU countries surrounding the Baltic Sea with the aim of creating a cooperative, interdisciplinary, well-integrated trans-national strategic research programme for the Baltic Sea region. The total FP7 contribution amounts to € 50 million and is matched equally by contributions from the participating states. In this case also, and ERA-NET Plus action has been used for the first joint call. The implementation of the programme is divided into a strategic phase where the operational modalities are established and an implementation phase (which will last for a minimum of 5 years). Operational modalities, common funding rules and rates are now agreed by all participating states and steps towards signing of an implementation agreement between the Commission and the DIS is underway.

With regard to EDCTP (European and Developing Countries Clinical Trials Partnership), launched in 2003 under FP6 (providing a total of € 200 million for this initiative) and aimed at accelerating the development of medical products and interventions against HIV/AIDS, malaria and tuberculosis in developing countries, in particular in sub-Saharan Africa, the Commission adopted a Progress Report in October 2008 following a first Independent Expert Review in 2007. A no-cost extension for the implementation of the FP6 grant until May 2015 was granted based on the recommendations of the second independent expert evaluation conducted in 2009/2010. In the Communication from the Belgium Presidency of the Council of the European Union to the Competitiveness Council in November 2010, the second phase of the EDCTP with an enlarged scale and scope was called for. To that end, the FP7 work programme 2012 included a Support Action with the

EDCTP as named beneficiary for a grant of up to € 10 million for activities in support to the preparation of the second phase of the European and Developing Countries Clinical Trials Partnership (EDCTP2) starting in 2014.

The interim evaluations of both Eurostars and AAL have been completed during 2010 and the interim evaluation for EMRP was undertaken in 2011. These evaluations have shown that the use of Article 185 of the TFEU has created substantial leverage effects and real European added value by integrating national programmes and pooling resources.

The annual Joint Programming Event on 9-10 November 2011 organised by DG Research and Innovation included a parallel session on the Art. 185 instrument ('Article 185 initiatives for joint research programmes: A model for programme integration of public-public partnerships (P2Ps)?') and attracted ERA-NET and Joint Programming Initiative (JPI) coordinators. For the first time also, a dedicated meeting between EC officials and Art. 185 initiatives' coordinators took place. This meeting was very well received by both the coordinators and EC officials. In view of the fact that all running initiatives are opting for a successor programme based on Art. 185 in Horizon 2020, other such dedicated meetings will be organised.

## 4.7 Risk-Sharing Financial Facility (RSFF)

In the 'Political guidelines for the next Commission', President Barroso mentioned the RSFF as "*an excellent example to build on*" to "*improve the blending between grants from the EU budget and EIB loans*" and, in general, to further intensify the partnership between the European Commission (EC) and the European Investment Bank (EIB)".

Access to finance to support RDI investments is a commitment of the Innovation Union Flagship Initiative: the EU should put in place financial instruments by 2014 to attract a major increase in private finance and close market gaps in RDI. The proposed Horizon 2020 also put emphasis on raising private investment and access to risk finance (through an increased use of loan guarantees and equity instruments).

The Commission and the EIB have successfully co-developed the RSFF since 2007. This innovative debt instrument improves access to debt financing for promoters of RDI investments by sharing the underlying risks on EIB's loans. Together, the European Union – through FP7 – and the EIB provide up to € 2 billion for the period 2007-2013 (up to € 1 billion each). This should allow for around €10 billion in additional loans for RDI operations. That is the RSFF multiplying effect on the EU contribution. RSFF is managed by the EIB Group. The Commission closely monitors the facility, notably the project eligibility and the effective use of the EU contribution.

RSFF beneficiaries can be European research-intensive entities, including SMEs and research infrastructures, irrespective of size and ownership, which contribute to the objectives of FP7. The RSFF supports access to finance across the entire spectrum, from research, technological development, demonstration to innovation.

In 2010, an Independent Expert Group in charge of RSFF interim evaluation underlined its successful achievements and proposed improvements<sup>41</sup>. On this basis, the European Council invited the Commission on 4 February 2011<sup>42</sup> to present proposals by the end of

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<sup>41</sup> See Report of the Independent Expert Group in charge of the RSFF evaluation:

[http://ec.europa.eu/research/evaluations/index\\_en.cfm?pg=rsff](http://ec.europa.eu/research/evaluations/index_en.cfm?pg=rsff)

and the response: European Commission Communication COM(2011) 52 'On the Response to the Report of the Expert Group on the Interim Evaluation of the Seventh Framework Programme for Research, Technological Development and Demonstration Activities and to the Report of the Expert Group on the Interim Evaluation of the Risk-Sharing Finance Facility':

[http://ec.europa.eu/research/evaluations/pdf/archive/other\\_reports\\_studies\\_and\\_documents/commission\\_response\\_fp7\\_ie\\_report\\_2011.pdf#view=fit&pagemode=none](http://ec.europa.eu/research/evaluations/pdf/archive/other_reports_studies_and_documents/commission_response_fp7_ie_report_2011.pdf#view=fit&pagemode=none)

<sup>42</sup> Doc EUCO 2/11.

2011 for "scaling-up" the RSFF and for assessing how best to meet the needs of fast-growing innovative companies. The European Parliament expressed similar requests.

Responding to these requests, the EU and the EIB amended the RSFF cooperation agreement on 5 December 2011. The project-by-project risk-sharing approach is replaced by a portfolio approach. The EU can assume a higher risk for a higher multiplying effect of its contribution: the EU financial contribution will be used as a first-loss piece<sup>43</sup>.

The EU and the EIB also created the RSI (Risk-Sharing Instrument for SMEs and mid-sized companies), managed by the European Investment Fund. This guarantee scheme incentivises intermediary banks to provide loans to innovative SMEs and small mid-sized firms investing in RDI. The key targets of this new RSFF window are up to **€ 1 billion of loans**, with 50% guaranteed by the EIF, the EU covering the first-loss piece at a level of € 120 million. The RSI is expected to benefit 300-500 companies. Appropriate coordination is ensured with complementary EU instruments, such as the debt and equity financial instruments funded under the *Competitiveness and Innovation Framework Programme 2007-13 (CIP)*.

The amendment to RSFF agreement also enlarged the definition of entities eligible as research infrastructures: RSFF can help any entity that participates to the achievements of the Research Infrastructure Programme (e.g. not only research infrastructures, but also suppliers and entities commercialising their outputs).

The RSFF has repeatedly been showcased as an example of how EU resources can leverage private funding for a larger impact in achieving EU objectives. By the end of 2011, 95 RSFF operations have been approved by the EIB, with a total loan volume of € 9,4 billion. The EIB has already signed loan agreements with promoters of 78 RSFF projects, with a total loan volume of € 7,3 billion. The EU contribution covers the risk of 34 % (€ 2,5 billion) of the RSFF portfolio. The amendment to the RSFF Cooperation Agreement has increased the EU risk-taking to address this unbalanced situation.

RSFF loans financed projects that comprise research, technological development, demonstration and innovation activities in the following sectors: energy (mainly renewable energy technologies), ICT, engineering and automotive and life science notably. The EIB also signed loans with several research infrastructures, other ones being in the pipeline.

The RSFF participation rate has steadily risen to over 20 participating countries. The European added-value also stems from the design of the projects: a client may perform RDI operations in several countries even if the RSFF loan is extended to a sole client.

Appropriate performance indicators encourage the EIB Group to reach a broader geographical distribution. The EIB Group shall make all reasonable efforts, notably through awareness-raising events. This also depends on the Member States' best efforts, notably to identify financial intermediaries interested in joining the EIB Group's network for RSFF purposes. For the RSI, the EIF will assess the applications of local financial intermediaries on a "first-come, first-served" basis, according to the RSI open call for expression of interest.

Information on the RSFF is available online<sup>44</sup>. In 2007 – 2010, the EU and the EIB presented the RSFF at more than 80 seminars, workshops and conferences covering almost all EU Member States and Associated Countries. In 2011, activities focused on target groups (including SMEs, potential RSI intermediaries and research infrastructures)

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<sup>43</sup> The EU contribution would first be used to cover potential losses on a portfolio of loans provided to a specific target group, up to a defined percentage of losses ("first-loss" cushion). The EIB contribution to the RSFF would only be used to cover further potential losses, on an agreed basis, that were to exceed the EU contribution.

<sup>44</sup> See: <http://www.eib.org/products/loans/special/rsff/index.htm?lang=en> and on the RSI: [http://www.eif.org/what\\_we\\_do/guarantees/RSI/index.htm](http://www.eif.org/what_we_do/guarantees/RSI/index.htm)

and countries which have not yet benefited enough from the RSFF. The Commission also regularly presents RSFF developments at FP 7 Programme Committee meetings (both for the Specific Programmes Co-operation and Capacities).

RSFF success and further developments also prepare a smooth transition to the scaled-up debt facility foreseen as part of the "Access to Risk Finance" component of Horizon 2020, notably for innovative SMEs.

Table 17 below provides the breakdown by year for approved and signed loans respectively. By the end of 2013, the EIB and the Commission will implement the major changes made in the RSFF Cooperation Agreement during the transitional year 2011, notably for innovative SMEs and research infrastructures.

**Table 17:** RSFF operations approved and signed by the EIB since the launch of the RSFF.

RSFF OPERATIONS	2007	2008	2009 <sup>45</sup>	2010	2011	TOTAL
Number of Approved RSFF Operations	14	14	36	22	9	95
Related Approved Loan Volume (€M)	887,4	1.501,7	4.187,2	2.111,3	713,0	9.400,5
Number of Signed RSFF Loan Agreements	9	12	25	20	12	78
Related Loan Volume (€M)	459,0	1.024	2.984,2	1.838,5	973,0	7.279

## 4.8 Participation of SMEs

The participation of SMEs to FP7 is closely monitored by the Commission. Particular attention is given to the funding for SMEs under the Cooperation Programme, in line with the target established in the FP7 Decision<sup>46</sup>. The aim is to ensure that at least 15% of the funding of the Cooperation Specific Programme goes to SMEs. This section focuses on the implementation of this 15% target.

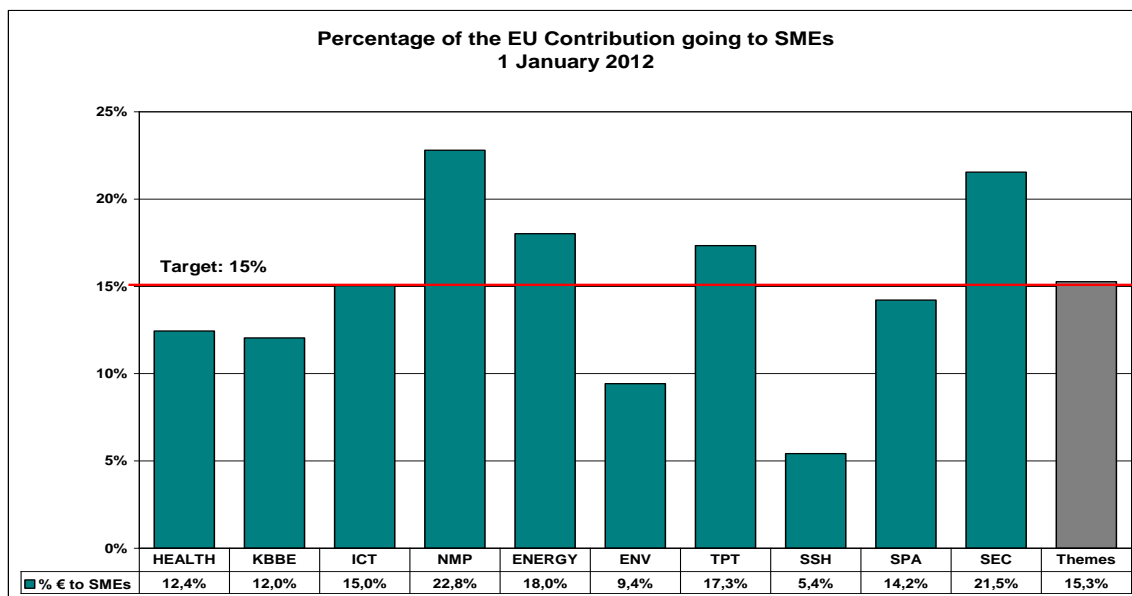
### **4.8.1 Funding for SMEs under the Themes of the Cooperation Programme**

The Themes (= Thematic Priorities) of the Cooperation Specific Programme represent 97,2% of the Cooperation Programme budget. Focusing on the SME participation in these Thematic Priorities only, €2,407 million, or 15,3% of the used Cooperation budget, is going to SMEs. Figure 37 presents the breakdown by theme by the end of 2011.

<sup>45</sup> The mentioned data for 2009 and 2010 (source: European Investment Bank) take into account any final technical adjustment.

<sup>46</sup> Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for Research, Technological Development and Demonstration activities (2007-2013). (<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:412:0001:0041:EN:PDF>)

**Figure 37:** The share of EU contribution going to SMEs for each theme within the Cooperation Programme.

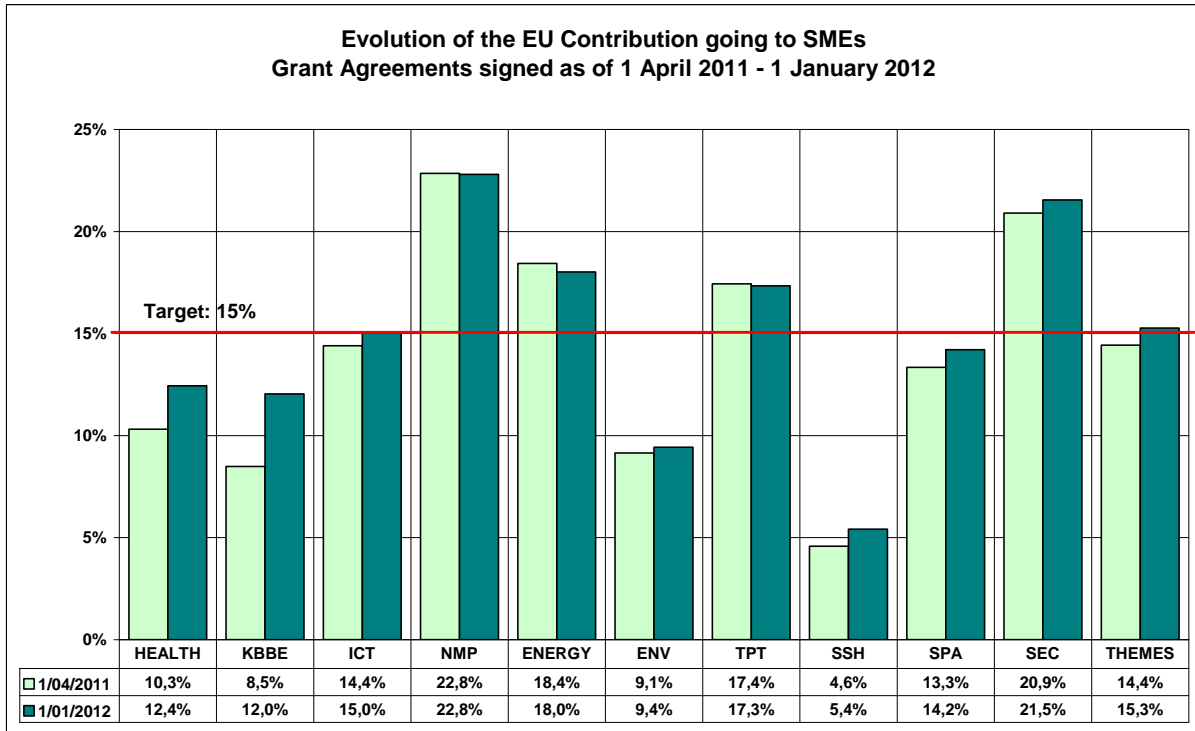


So far, the Cooperation Programme has spent in total 50.1% of the budget, amounting €15,750 million within the Thematic Priorities. Given the SME targeted elements in the Work Programmes 2012, the budgetary share of SMEs is forecasted to grow from the current 15,3 % to around 16 % of the Cooperation Programme by 2013. This represents €5,2 billion. For the five Specific Programmes of FP7, an extrapolation exercise forecasts the total budget going to SMEs in FP7 to amount to €7 billion, benefiting 17.000 SMEs in ca. 28.400 SME participations. This estimation is based on the average multiple participations by SMEs in FP7. The recurrence rate, being the average number of projects in which an organisation is involved, has increased to an average of 1,6 Grant Agreements per SME - demonstrating a positive trend in the interest of SMEs in FP7.

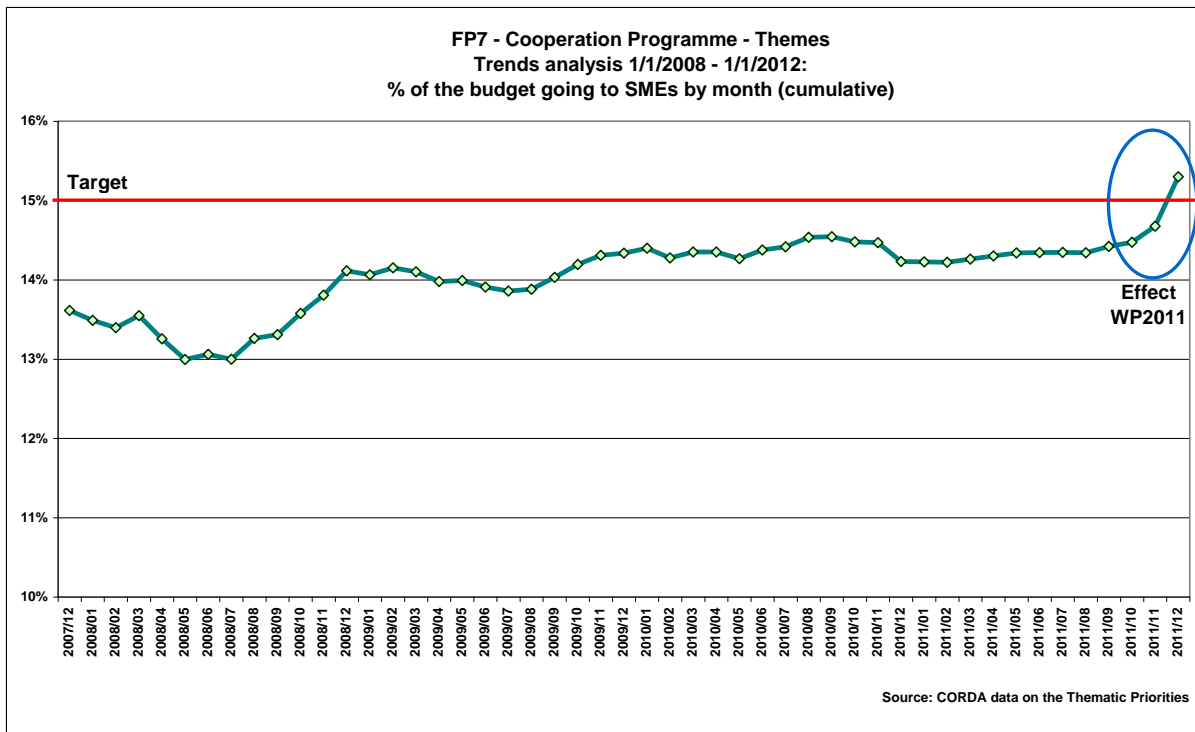
During the last months of 2011, there has been a significant increase in the budget share going to SMEs (see preliminary results in Figures 38 and 39). The SME strengthening measures in the Work Programmes 2011, in particular the ones of the Thematic Priorities HEALTH and KBBE appear to be effective.



**Figure 38:** Evolution of EU Contribution going to SMEs April 2011 – January 2012.



**Figure 39:** Trend analysis % of the Budget going to SMEs



The main justification for the overall increase of the EU contribution in the Thematic Priorities is the efforts made by the Thematic Priorities to include SME targeted measures.

The 2011 Work Programmes (WPs) covered a range of new SME friendly issues for most of the Themes. These include, for instance, SME specific topics, SME specific calls and earmarked budgets for SMEs.

As of 1<sup>st</sup> January 2012, 620 Grant Agreements (GAs) are signed based on calls published in the 2011 Work programmes. These represent:

- 20,1% SMEs participations (versus 17% overall).
- 18,7% of the EU contribution goes to SMEs.

This is a clear improvement compared to the GAs signed under 2007-2010 WPs, for which the results were:

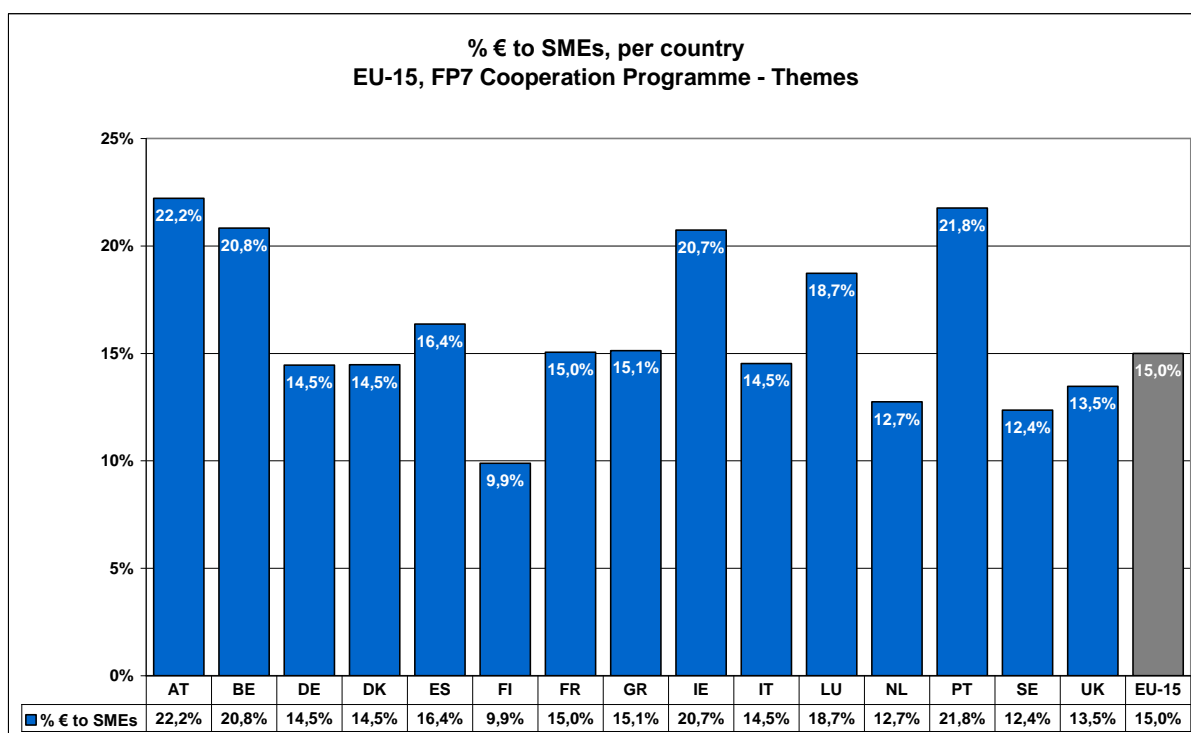
- 16,7% SMEs participations.
- 14,4% of the EU contribution went to SMEs.

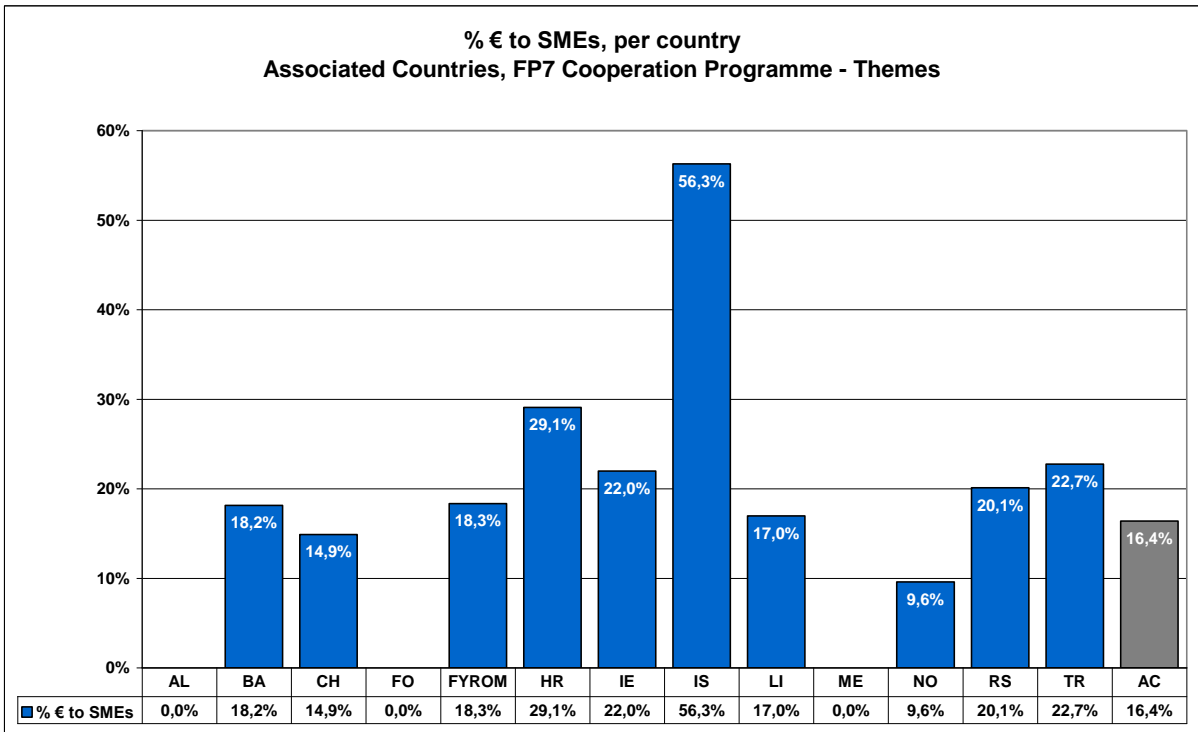
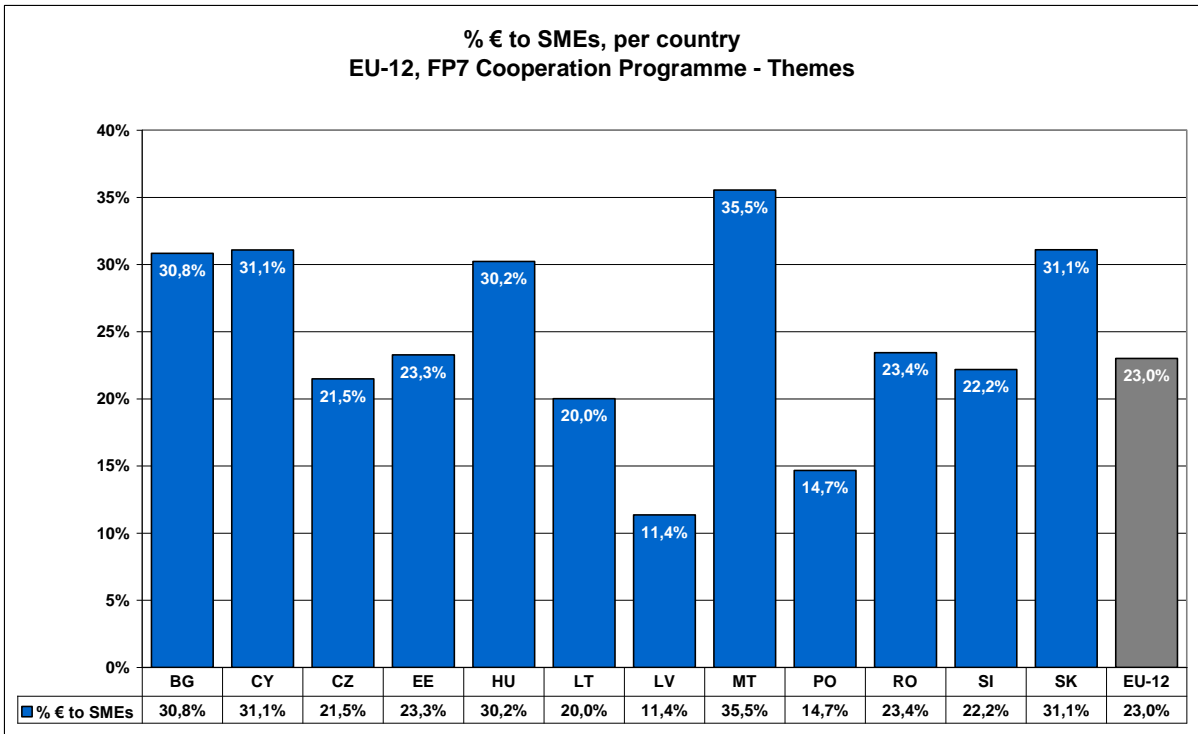
#### 4.8.2 Funding for SMEs under the Cooperation Themes by country

An indicator of the country performance regarding SME participation is the share of the budget going to SMEs per country under the ten Themes of the Cooperation Programme.

Figure 40 presents the SME budget share (%) in Grant Agreements under the ten Cooperation Programme Themes per country, and further broken down by EU15, EU12, and Associated Countries (AC).

**Figure 40:** Budget going to SMEs for the ten themes of the Cooperation Programme by country (EU15, EU12, and Associated Countries)





## 5 FP7 ACHIEVEMENTS AND FIRST PROJECT OUTCOMES

Any monitoring of a major research programme would be crucially incomplete without a closer look at the results obtained and the impacts achieved. The system of FP7 monitoring indicators (see Annex A) does therefore include a number of key indicators related to the output of projects and programmes.

### SESAM

Based on the FP7 revised project reporting system (SESAM), the information to be provided will be far more substantial than under previous Framework Programmes. Detailed information on reviews, publications, dissemination activities, patents, exploitable foregrounds per funding scheme and priorities/activities is extractable from SESAM. This new FP7 reporting system started operating in November 2009. This means that until now, and although grant agreements have already been signed for several thousands of FP7 projects, only a limited number of reports have been submitted electronically via the IT reporting tool, and it is thus still too early for an in-depth analysis.

Overall and by end of May 2012, 14.233 grant agreements were signed, 1.397 projects were completed and 1.011 project Final Reports were recorded in SESAM.

Based on the final reports recorded in the SESAM database by May 2012, on average 1 project produced 8 publications, 4 of them as an open access. On average 22 direct FTE were reported for 1 completed project.

**Table 18:** Reported values for the selected indicators from SESAM database (by May 2012)

Indicator	Description	Reported value
<b>(14) Articles Published*</b>	How many Articles were published /accepted for publication in peer-reviewed journals?	8.149
<b>(14.1) Articles Open Access</b>	To how many articles is open access?	4.256
<b>(19) Direct FTE Estimation</b>	For your project partnership please estimate the employment effect resulting directly from your participation in Full Time Equivalent (FTE = one person working fulltime for a year) jobs	22.056
<b>(15) New Patent Application</b>	How many new patent applications ('priority filings') have been made?	283

*\* Publications resulting from the Marie Curie interventions and activities financed by the Directorate General for Communications Networks, Content and Technology are not included*

At the time of the writing of this report, a working group composed of representatives from all research family DGs and Agencies involved in the implementation of FP7 is developing a reinforced strategy for the communication of project results and outputs.

## ANNEX A: MONITORING SYSTEM FOR FP7

### Context

The FP7 monitoring system is based on Article 7(1) and 6(1) of the EC and Euratom FP7 Decisions which states that<sup>47</sup>:

*"The Commission shall continually and systematically monitor the implementation of the Seventh Framework Programme and its specific programmes and regularly report and disseminate the results of this monitoring."*

The Ex-ante Impact Assessment on FP7 which was presented by the Commission at the same time as the FP7 proposal provides further detail<sup>48</sup>:

*"Monitoring of implementation management would be ensured by operational senior management within the Commission on a continuous basis with annual check points and using a common set of management performance indicators. Adequate resource would be given to this process. The annual results of this exercise will be used to inform senior management and as an input to the ex post assessment exercise."*

The introduction of a new monitoring system under FP7 that is also supposed to complement, where applicable, the DG RTD evaluation strategy, is further supported by the 2007 Special Report<sup>49</sup> of the European Court of Auditors concerning the Commission's system for evaluation and monitoring the Framework Programmes where the need for better coordination of evaluation and monitoring activities and the need to improve the relevance and credibility of these activities in terms of the decision making process were highlighted.

The changes to evaluation and monitoring introduced under FP7 are predominantly directed towards making these activities better suited to support policy and decision making, to improve their credibility and utility by strengthening the quality and consistency of the evidence base, and to enhance the overall coherence of the separate evaluation and monitoring activities carried out. Coherence also means ensuring that evaluation and monitoring fit with other similar activities for reporting and assessment such as the Annual Report and the components of the management cycle such as the Management Plan (MP) and Annual Evaluation Review (AER).

The annual Monitoring exercise already provided input for the Progress Report on FP7 implementation<sup>50</sup> and was part of the evidence base for the FP7 Interim Evaluation in 2010<sup>51</sup>.

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<sup>47</sup> Decision no. 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013), and Council Decision 2006/970/EURATOM of 18 December 2006 concerning the Seventh Framework Programme of the European Atomic Energy Community (Euratom) for nuclear research and training activities (2007 to 2011).

<sup>48</sup> This was explained more fully in the Commission staff working paper: Annex to the Proposal for the Council and European Parliament decisions on the 7th Framework Programme (EC and Euratom). Main Report: Overall summary – Impact assessment and ex ante evaluation (SEC (2005) 430).

<sup>49</sup> Special report no. 9/2007 concerning 'Evaluating the EU Research and Technological Development (RTD) framework programmes - could the Commission's approach be improved?' together with the Commission's replies (2008/C 26/01)

<sup>50</sup> Communication from the Commission to the Council, the European Parliament, the European Economic and Social Committee and the Committee of the regions on the progress made under the Seventh European Framework Programme for Research (COM (2009) 209, 29.04.2009)

<sup>51</sup> [http://ec.europa.eu/research/evaluations/index\\_en.cfm](http://ec.europa.eu/research/evaluations/index_en.cfm)

## Key features, indicators, and coverage

The FP7 monitoring system is an *annual exercise*, based on a *coherent set of performance indicators*, with the resulting report covering the year preceding the report's publication. It is *carried out by the Commission internally* and targeted to the needs of senior Commission management.

In view of the need to minimise burden on services, to maximise the potential impact and utility of the system, and to promote transparency, further features are desirable:

- Complementarity to existing systems of data collecting and monitoring at operational level and within different DGs; extensive use made of existing data sources and information from other reports (e.g. Management Plan, Annual Activity Report, Art. 173);
- Collection of new data to be kept to a minimum;
- Number of indicators to be kept to a minimum;
- The indicators selected to allow coverage of the entire range of activities carried out under the FP, while also ensuring that the assessment is sensitive to the distinctive character of each element;
- Review whenever necessary.

The key indicators for the FP7 monitoring system address priority and sensitive issues, and taken together, are expected to provide a clear snapshot of the effectiveness and efficiency of FP7 implementation. They have been developed in early 2008 by a working group comprising participants involved in research evaluation and monitoring activities from the research family DGs and representing the different structural features and types of research within the Framework Programmes.

The following table provides the detailed list of indicators including respective sets of sub-indicators as well as the main data source. The corresponding section in this report is also indicated.

INDICATOR / ISSUE	SUB-INDICATOR	MAIN DATA SOURCE	MONITORING REPORT
<b>Promotion of FP7</b>	1.1 Number of information days	Annual NCP Survey	Section 3.1.2
	1.2 Number of attendees at information days	Annual NCP Survey	Section 3.1.2
	1.3 Commission organised meetings of NCPs	DG RTD	Section 3.1.2
<b>Performance of the calls</b>	2.1 Success rates overall and by Specific Programme	CORDA	Section 2, Annex B
	2.2 Success rates in terms of proposals, applicants, project costs, EU contribution by Specific Programme	CORDA	Section 2, Annex B
	2.3 Success rate per country	CORDA	Section 2, Annex B
<b>Performance of the proposal evaluation and redress procedure</b>	3.1 Overall quality assessment of the proposal evaluators on the FP proposal evaluation process	Annual Evaluators' Survey	Section 3.2.1
	3.2 Assessment of quality by the evaluators between the FP evaluation process and other equivalent systems	Annual Evaluators' Survey	Section 3.2.1
	3.3 Time-to-grant	CORDA	Section 3.4
	3.4 Redress cases upheld (i.e. leading to a re-evaluation) – numbers and percentages	DG RTD	Section 3.2.2
<b>Quality of on-going research projects</b>	4.1 Average results of independent project review process	SESAM	see info Section 5
	4.2 Percentage of projects covered by reviews	SESAM	see info Section 5
<b>Project performance by outputs</b>	5.1 Average number of publications per project	SESAM	Section 5
	5.2 Average number of open access publications per	SESAM	see info

	project		Section 5
	5.3 Average number of new patent applications per project	SESAM	see info Section 5
<b>FP activity</b>	6.1 Total number of active projects by Specific Programme	CORDA	Annex B
	6.2 Average financial size of projects by Specific Programme	CORDA	Annex B
	6.3 Participation by types of organisation by Specific Programme	CORDA	Section 2, Annex B
	6.4 Participation totals per country	CORDA	Section 2, Annex B
<b>Achieving gender equality</b>	7.1 Number of male and female coordinators in proposals	CORDA	Section 2.5
	7.2 Number of male and female coordinators in projects	CORDA	Section 2.5
	7.3 Gender breakdown (by seniority) of project participants	CORDA	Section 2.5
	7.4 Percentage of male and female members in Advisory Groups and Programme Committees	DG RTD	Section 2.5
<b>Observing sound ethical principles in FP research</b>	8.1 Number of projects going through the ethics review process by Specific Programme and theme	DG RTD	Section 3.3
	8.2 Number of ethics reviews where the result showed insufficient attention had been given in proposal	DG RTD	Section 3.3
	8.3 Number of projects stopped as a results of the ethics review	DG RTD	Section 3.3
	8.4 Number of ethics screenings	DG RTD	Section 3.3
<b>Performance of international cooperation activities</b>	9.1 Total numbers of participations of Third Countries by priority area and funding scheme	CORDA	Section 2, Annex B
	9.2 Success rates of Third Countries	CORDA	Section 2, Annex B
	9.3 EU contribution to Third Countries	CORDA	Section 2, Annex B
	9.4 Number of international outgoing/incoming fellowships	DG EAC	Section 4.3
<b>Simplification</b>	10.1 Do stakeholders perceive that the FP is getting simpler to use in terms of financial and administrative procedures?	Annual NCP Survey	Section 3.6.2
	10.2 How do stakeholders find the ease of use of the FP, compared to similar international research actions and large national schemes?	Annual NCP Survey	Section 3.5
	10.3 Are there any aspects of FP procedures which are adversely affecting to a significant extent the quality of research carried out and the quality of participation in the FP?	Annual NCP Survey	Section 3.5

The FP7 monitoring system is intended to cover all activities under the Framework Programme, with the exception of direct (in house) research actions carried out by the Joint Research Centre (JRC)<sup>52</sup>. The coverage is predominately for implementation issues and in a more limited way (reflecting data availability) research outputs.

This Monitoring Report covers the year 2011. It should be kept in mind that at the time of writing the report information on grant agreements resulting from 2011 calls is limited, considering that negotiations relating to some of these 2011 calls are still on-going. One consequence of the limitations in data availability is that it is not possible to be both informative and consistent in the definition of '2011' throughout the report. Where reference is made to 2011 calls, calls with a 2011 call closure date are included. Where little or no information is available for 2011, the report refers to the latest available data.

<sup>52</sup> The monitoring of JRC direct actions is carried out through the [Annual Activity Reports](#) and by the JRC Board of Governors based on the information contained in the JRC Annual Report.

## ANNEX B: STATISTICAL TABLES ON PARTICIPATION PATTERNS

**Table B1: Concluded (as of February 2011) calls under FP7 with closure dates in 2007 - 2011 and corresponding submitted proposals by specific programme.**

SPECIFIC PROGRAMME	STAGES	CLOSURE YEAR										TOTAL	
		2007		2008		2009		2010		2011		2007-2011	
		Calls	Submitted proposals	Calls	Submitted proposals	Calls	Submitted proposals	Calls	Submitted proposals	Calls	Submitted proposals	Calls	Submitted proposals
COOPERATION	1	23	6.319	19	3.450	27	5.275	43	4.050	18	3.083	130	22.177
	2	1	935	7	1.340	6	948	6	1.063	8	2.152	28	6.438
IDEAS	1	0	0	4	4.696	4	4.457	6	6.089	4	2.363	18	17.605
	2	1	9.167	0	0	0	0	0	0	0	0	1	9.167
PEOPLE	1	12	3.282	12	4.639	11	6.184	9	6.011	11	8.260	55	28.376
	2	1	905	0	0	0	0	0	0	0	0	1	905
CAPACITIES	1	17	3.671	12	1.676	16	1.839	10	1.573	4	305	59	9.064
	2	4	1384	0	0	1	383	0	0	0	0	5	1.767
EURATOM	1	2	67	1	42	1	30	5	122	1	49	10	310
	2	0	0	0	0	0	0	0	0	0	0	0	0
Total	1	54	13.339	48	14.503	59	17.785	73	17.845	38	14.060	272	77.532
	2	7	12.391	7	1.340	7	1.331	6	1.063	8	2.152	35	18.277
	All stages	61	25.730	55	15.843	66	19.116	79	18.908	46	16.212	307	95.809

**Table B2: Included and retained proposals, applicants, project budgets (in million euro) and corresponding success rates for FP7 calls concluded in 2007 - 2011.**

SPECIFIC PROGRAMME	Counts of included proposals					Counts of retained proposals					Success rates of proposals				
	2007	2008	2009	2010	2011	2007	2008	2009	2010	2011	2007	2008	2009	2010	2011
COOPERATION	9.029	3.728	5.513	4.040	3.751	1.479	691	1.052	925	785	16,4%	18,5%	19,1%	22,0%	21,0%
IDEAS	547	4.442	4.293	5.972	2.318	201	484	629	736	323	36,7%	10,9%	14,7%	12,0%	14,0%
PEOPLE	3.404	4.563	6.139	5.924	8.158	1.102	1.271	1.952	1.414	1.627	32,4%	27,9%	31,8%	24,0%	20,0%
CAPACITIES	1.643	1.575	1.924	1.579	292	332	256	385	278	58	20,2%	16,3%	20,0%	18,0%	20,0%
EURATOM	63	38	29	38	48	18	18	19	46	20	28,6%	47,4%	65,5%	40,0%	42,0%
Total	14.686	14.346	17.898	17.553	14.567	3.132	2.720	4.037	3.399	2.813	21,3%	19,0%	22,6%	19,4%	19,3%
SPECIFIC PROGRAMME	Applicants in included proposals					Applicants in retained proposals					Success rates of applicants				
	2007	2008	2009	2010	2011	2007	2008	2009	2010	2011	2007	2008	2009	2010	2011
COOPERATION	84.887	37.561	49.886	42.314	37.015	16.184	8.145	10.729	8.716	8.720	19,1%	21,7%	21,5%	20,6%	24,0%
IDEAS	604	5.570	5.128	6.819	2.703	214	578	680	298	363	35,4%	10,4%	13,3%	4,4%	13,0%
PEOPLE	6.063	12.884	16.064	8.519	17.770	2.075	2.710	4.032	2.235	3.225	34,2%	21,0%	25,1%	26,2%	18,0%
CAPACITIES	12.590	10.951	12.776	12.148	1.938	3.334	2.397	3.791	2.197	389	26,5%	21,9%	29,7%	18,1%	20,0%
EURATOM	661	462	316	419	529	270	282	239	264	235	40,8%	61,0%	75,6%	63,0%	44,0%
Total	104.805	67.428	84.170	70.219	59.955	22.077	14.112	19.471	13.710	12.932	21,1%	20,9%	23,1%	19,5%	22,0%



SPECIFIC PROGRAMME	Project cost of included proposals					Project cost of retained proposals					Success rates in project costs				
	2007	2008	2009	2010	2011	2007	2008	2009	2010	2011	2007	2008	2009	2010	2011
<b>COOPERATION</b>	40.837,2	19.055,1	24.227,6	19.124,6	17.072,9	7.830,6	3.838,3	5.183,4	4.002,9	3.987,4	19,2%	20,1%	21,4%	20,9%	23,4%
<b>IDEAS</b>	788,3	7.572,3	7.090,8	10.355,0	5.359,9	286,4	938,2	1.121,2	636,1	716,9	36,3%	12,4%	15,8%	6,1%	13,4%
<b>CAPACITIES</b>	2.728,0	3.563,3	4.287,9	3.587,6	420,5	835,2	1.088,3	1.110,6	425,4	85,9	30,6%	30,5%	25,9%	11,9%	20,4%
<b>EURATOM</b>	309,4	163,4	107,5	163,9	163,7	130,0	125,1	90,0	99,9	70,3	42,0%	76,6%	83,7%	61,0%	42,9%
<b>Total</b>	<b>44.674,5</b>	<b>30.362,4</b>	<b>35.728,9</b>	<b>33.246,4</b>	<b>23.038,5</b>	<b>9.089,3</b>	<b>5.994,6</b>	<b>7.513,2</b>	<b>5.175,8</b>	<b>4.874,8</b>	<b>20,3%</b>	<b>19,7%</b>	<b>21,0%</b>	<b>15,6%</b>	<b>21,2%</b>
SPECIFIC PROGRAMME	EU contribution to included proposals					EU contribution to retained proposals					Success rates in EU contribution				
	2007	2008	2009	2010	2011	2007	2008	2009	2010	2011	2007	2008	2009	2010	2011
<b>COOPERATION</b>	28.740,47	12.951,75	17.526,72	13.804,76	12.499,38	5.515,3	2.737,7	3.703,0	3.225,3	2.863,8	19,2%	21,1%	21,1%	23,4%	22,9%
<b>IDEAS</b>	770,86	7.349,82	6.839,46	9.686,58	4.976,95	279,1	927,0	1.093,2	1.315,1	701,4	36,2%	12,6%	16,0%	13,6%	14,1%
<b>CAPACITIES</b>	2.084,76	2.770,95	3.676,50	2.876,91	366,61	636,0	712,0	805,3	701,3	69,8	30,5%	25,7%	21,9%	24,4%	19,0%
<b>EURATOM</b>	202,26	78,13	62,76	96,69	99,52	78,9	52,1	51,1	57,1	41,0	39,0%	66,7%	81,4%	59,1%	41,2%
<b>Total</b>	<b>31.807,9</b>	<b>23.156,7</b>	<b>28.117,1</b>	<b>26.476,2</b>	<b>17.959,1</b>	<b>6.515,14</b>	<b>4.431,81</b>	<b>5.658,44</b>	<b>5.307,03</b>	<b>3.686,22</b>	<b>20,5%</b>	<b>19,1%</b>	<b>20,1%</b>	<b>20,0%</b>	<b>20,5%</b>

**Table B3:** Numbers of EU27 Collaborative links for all programmes

		FP7 Collaborative Links for All Programmes																												
		Member States																										Total		
		AT	BE	DE	DK	EL	ES	FI	FR	IE	IT	LU	NL	PT	SE	UK	BG	CY	CZ	EE	HU	LT	LV	MT	PL	RO	SI		SK	EU
Member States	AT	887	102	4247	481	694	1606	629	2082	285	2179	50	144	365	845	2425	222	76	376	134	375	84	56	42	519	277	268	174	114	21918
	BE	102	637	5557	820	984	2808	718	474	436	3648	88	2733	700	1396	433	232	15	545	140	521	201	98	58	760	386	365	176	54	34775
	DE	4247	5557	1709	2592	3322	930	3207	445	1446	1228	200	8068	860	5306	1426	604	314	1742	404	544	350	200	185	2424	187	906	523	479	109033
	DK	481	820	2592	546	45	1326	486	1682	324	1467	27	806	299	842	2363	111	61	228	118	224	167	58	48	319	171	20	86	84	16671
	EL	694	984	3322	415	1062	2248	680	2464	364	2833	64	1233	631	744	2818	320	253	358	126	337	165	84	87	552	361	208	148	95	23585
	ES	1606	2808	930	1326	2248	4165	1686	6785	948	7162	102	3495	1608	2237	7550	488	243	853	251	907	234	154	178	1274	765	570	285	225	59083
	FI	629	718	3207	486	680	1686	801	1688	259	1668	45	164	340	1116	222	117	67	243	183	290	95	61	40	470	227	187	12	89	18980
	FR	2082	4174	1445	1682	2464	6785	1888	5796	1024	1220	164	5065	1428	3426	1450	440	250	104	266	1037	293	194	141	1559	850	523	317	449	78496
	IE	285	436	1446	324	364	948	259	1024	363	923	28	717	245	395	1551	100	60	160	68	108	51	42	40	242	114	118	70	36	10562
	IT	2179	3648	1228	1467	2833	7162	1668	9230	923	6627	146	4557	1543	2848	9163	607	246	1039	295	1024	274	191	166	1723	927	668	352	356	74448
	LU	50	88	200	27	64	102	45	164	28	116	12	84	39	51	114	22	16	26	19	28	16	17	14	39	23	17	21	4	1476
	NL	144	2733	8068	1066	1233	3495	164	5065	717	4557	84	2347	770	2063	6821	326	144	655	208	640	191	126	85	986	452	400	216	234	46499
	PT	365	700	1660	299	631	1608	340	1428	245	1643	39	770	504	466	1604	128	100	85	73	193	63	47	45	280	221	180	74	47	13838
	SE	845	1896	5306	842	744	2237	1116	3426	395	2848	51	2063	466	1216	4002	155	90	391	205	413	121	93	69	611	308	226	136	121	29891
	UK	2425	4313	1856	2363	2813	7550	2212	6550	1551	8463	114	6821	1504	4002	7389	682	311	1189	427	1167	378	211	168	2064	855	667	406	385	86906
	BG	222	232	604	111	320	488	117	440	100	607	22	326	128	155	682	255	59	121	55	142	68	50	53	193	252	106	67	31	6006
	CY	76	15	314	61	253	243	67	250	60	246	16	144	100	90	311	59	62	55	40	48	34	39	41	78	55	43	29	11	2940
	CZ	376	545	1742	228	358	853	243	1104	160	1039	26	655	185	391	1189	121	55	281	53	217	63	51	35	350	183	131	131	57	10812
	EE	134	140	404	118	126	251	183	266	68	295	19	208	73	205	427	55	40	53	63	71	57	62	46	104	62	57	39	13	3639
	HU	375	521	1544	224	337	907	290	1037	168	1224	28	640	193	418	1167	142	48	217	71	654	73	70	45	279	217	129	155	46	11004
	LT	84	201	350	157	105	234	95	293	51	274	16	191	63	121	378	68	34	63	57	73	149	53	20	102	80	52	37	15	3426
	LV	56	98	200	58	84	164	61	194	42	191	17	126	47	93	211	50	39	51	62	70	53	211	43	76	68	52	29	8	2444
	MT	42	58	135	48	87	178	40	111	40	166	14	85	45	69	168	53	41	35	46	45	20	43	16	57	52	20	26	5	1774
	PL	519	760	2424	319	552	1274	470	1659	242	1723	39	986	280	611	2064	193	78	350	104	279	102	76	57	503	247	161	155	50	16197
	RO	277	386	1187	171	361	765	227	850	114	927	23	452	221	308	855	252	55	183	62	217	80	68	52	247	184	110	95	45	8724
	SI	268	365	906	120	208	570	187	523	118	668	17	400	180	226	667	106	43	131	57	129	52	20	11	10	187	60	31	6527	
	SK	174	176	523	86	148	285	112	317	70	352	21	216	74	136	406	67	29	131	39	155	37	29	26	155	95	60	104	19	4041
EU	114	164	479	84	95	225	89	449	36	356	4	234	47	121	385	31	11	57	18	46	16	8	5	50	45	31	19	0	3203	
<b>Total</b>	<b>21918</b>	<b>34775</b>	<b>109033</b>	<b>16871</b>	<b>23585</b>	<b>59083</b>	<b>18980</b>	<b>78496</b>	<b>10552</b>	<b>74448</b>	<b>1476</b>	<b>46499</b>	<b>13838</b>	<b>29891</b>	<b>86906</b>	<b>6006</b>	<b>2940</b>	<b>10812</b>	<b>3639</b>	<b>11004</b>	<b>3426</b>	<b>2444</b>	<b>1774</b>	<b>16197</b>	<b>8724</b>	<b>6527</b>	<b>4041</b>	<b>3203</b>	<b>706888</b>	

E-CORDA extraction date: 2012/02/16

- 7463 and more
- 1750 - 7463
- 104 - 1750
- 52 - 104

**Table B4: Numbers of EU27 applicants and requested EU financial contribution in retained proposals (in € million) and corresponding success rates for FP7 calls concluded in 2007 - 2011 by country.**

COUNTRIES	Applicants in retained proposals					Success rates of applicants					EC contribution to retained proposals					Success rates in EC contribution				
	2007	2008	2009	2010	2011	2007	2008	2009	2010	2011	2007	2008	2009	2010	2011	2007	2008	2009	2010	2011
AT - Austria	581	324	478	408	354	20,5%	19,3%	22,1%	23,5%	23,6%	178,8	105,2	149,5	131,1	108,7	20,4%	17,9%	21,3%	20,6%	25,5%
BE - Belgium	976	573	808	708	613	27,1%	24,2%	27,3%	26,7%	26,2%	306,4	172,3	228,2	212,6	176,7	26,5%	21,7%	23,2%	22,5%	26,5%
BG - Bulgaria	61	94	92	90	79	14,9%	16,6%	16,5%	20,8%	23,1%	18,7	11,8	14,8	13,2	8,8	11,6%	10,3%	9,5%	10,0%	15,3%
CY - Cyprus	74	49	70	66	25	16,4%	16,6%	16,9%	19,1%	11,3%	8,9	7,9	13,8	8,9	5,9	8,5%	11,3%	13,9%	10,5%	10,7%
CZ - Czech Republic	281	159	180	159	135	20,9%	17,6%	20,2%	20,8%	21,6%	51,7	24,7	33,2	32,1	22,4	18,4%	11,5%	16,2%	16,0%	18,1%
DE - Germany	3,054	1,762	2,464	2,100	1,655	23,4%	21,8%	23,8%	26,5%	23,5%	1,625,5	692,9	966,2	895,2	625,4	24,0%	22,7%	23,9%	24,5%	24,8%
DK - Denmark	447	285	368	301	311	24,4%	22,9%	25,9%	25,0%	24,6%	144,2	10,2	129,7	108,6	104,4	22,6%	22,6%	25,8%	20,3%	24,3%
EE - Estonia	108	68	70	62	32	22,4%	23,6%	22,8%	20,5%	17,3%	19,5	10,5	11,3	10,2	3,3	20,3%	11,1%	15,4%	13,7%	8,0%
EL - Greece	685	384	580	397	306	15,5%	14,6%	17,5%	18,3%	15,1%	178,9	92,1	163,3	98,6	86,5	14,1%	10,6%	13,6%	14,1%	15,1%
ES - Spain	1,443	992	1,531	1,344	1,077	19,9%	19,4%	21,0%	21,0%	19,3%	383,3	256,1	397,3	397,0	310,9	17,8%	16,8%	17,9%	17,7%	19,8%
FI - Finland	507	281	404	262	223	23,1%	22,7%	23,5%	20,6%	20,9%	182,4	132,9	117,1	99,7	60,5	23,2%	24,3%	18,8%	15,2%	14,2%
FR - France	2,205	1,379	1,720	1,443	1,123	25,7%	24,3%	25,7%	27,6%	22,9%	770,6	512,5	634,8	551,5	366,3	26,6%	24,0%	26,8%	25,8%	23,8%
HU - Hungary	309	191	213	200	150	17,6%	20,4%	20,9%	24,0%	21,8%	47,1	30,9	38,4	34,7	26,6	12,2%	11,0%	15,3%	16,0%	18,7%
IE - Ireland	270	162	314	243	193	22,7%	21,0%	23,8%	23,5%	19,6%	68,5	31,5	92,8	73,7	55,5	19,1%	12,9%	20,0%	17,8%	18,5%
IT - Italy	1,956	1,218	1,688	1,415	1,091	17,1%	16,6%	19,4%	19,9%	19,4%	589,0	384,3	459,6	440,0	303,1	16,3%	14,2%	16,0%	16,0%	17,1%
LT - Lithuania	71	61	52	59	32	16,7%	24,0%	19,7%	22,6%	16,1%	9,2	9,2	8,1	5,0	2,2	11,8%	23,3%	15,5%	11,2%	6,2%
LU - Luxembourg	31	17	27	24	18	18,1%	16,7%	18,9%	21,8%	20,5%	7,9	16	3,9	3,9	3,3	16,7%	5,4%	10,0%	12,8%	16,2%
LV - Latvia	58	35	40	39	28	20,9%	20,3%	21,6%	21,5%	26,4%	7,8	3,1	3,3	6,6	1,6	14,9%	10,6%	7,7%	15,5%	8,3%
MT - Malta	49	19	21	22	10	23,6%	14,1%	16,0%	22,0%	16,9%	4,0	1,9	2,7	1,4	1,0	11,8%	7,6%	13,7%	8,1%	11,6%
NL - Netherlands	1,234	817	999	972	813	26,2%	24,4%	25,1%	28,0%	24,1%	414,8	313,3	367,2	394,6	269,8	24,4%	22,9%	24,5%	24,4%	23,0%
PL - Poland	424	246	336	328	187	17,6%	16,8%	20,1%	22,9%	17,5%	80,6	40,9	67,8	63,5	27,9	16,3%	9,7%	16,1%	12,9%	9,4%
PT - Portugal	329	242	336	249	214	17,9%	18,4%	22,0%	18,9%	18,1%	67,1	47,3	66,4	55,0	46,9	14,7%	13,8%	17,4%	13,6%	17,7%
RO - Romania	234	132	138	120	78	13,3%	16,3%	16,0%	15,5%	16,6%	30,3	18,0	23,5	16,5	9,4	8,9%	8,7%	9,4%	7,8%	7,7%
SE - Sweden	825	476	587	549	371	24,4%	22,8%	23,6%	27,1%	20,0%	277,1	163,7	204,6	198,9	130,5	22,2%	20,0%	20,4%	20,8%	19,4%
SI - Slovenia	179	95	123	96	90	16,6%	15,5%	15,5%	15,8%	16,3%	33,5	11,8	18,6	16,6	15,3	14,6%	8,3%	9,1%	9,7%	12,9%
SK - Slovakia	105	61	72	57	44	17,4%	19,1%	22,5%	19,5%	18,5%	14,9	7,1	9,4	8,1	7,2	12,0%	10,5%	14,2%	10,9%	14,8%
UK - United Kingdom	2,648	1,829	2,404	2,186	1,691	23,1%	23,3%	24,3%	25,1%	22,2%	838,5	723,1	754,7	825,5	528,1	21,2%	23,9%	20,9%	21,5%	20,0%
Subtotal	19,244	11,951	16,115	13,899	10,943	21,3%	20,7%	22,5%	23,7%	21,4%	5,896,3	3,914,8	4,980,1	4,704,8	3,308,3	20,8%	19,4%	20,4%	20,2%	20,6%
HR - Croatia	68	39	40	76	39	17,4%	14,1%	11,8%	26,8%	20,3%	9,1	8,3	7,1	12,3	8,5	14,5%	12,7%	5,0%	12,7%	21,2%
IS - Iceland	38	29	28	34	36	21,7%	26,4%	18,4%	23,8%	24,0%	8,8	6,8	2,6	7,7	10,6	18,7%	18,8%	6,7%	16,8%	25,1%
ME - Montenegro	8	10	3	9	5	16,7%	33,3%	9,7%	37,5%	45,5%	0,4	0,5	1,3	0,3	0,1	9,1%	12,1%	12,8%	10,5%	41,4%
MK - FYROM	20	17	10	13	13	16,5%	20,2%	11,6%	16,3%	38,2%	2,4	3,4	1,4	0,6	0,9	14,1%	18,1%	3,6%	2,4%	23,5%
TR - Turkey	142	118	180	205	132	12,7%	12,3%	19,2%	20,9%	18,4%	25,4	16,9	23,6	21,3	14,2	8,9%	3,3%	4,1%	7,9%	14,0%
AL - Albania	7	6	10	7	2	8,2%	16,2%	23,3%	21,9%	7,1%	0,4	0,2	0,6	0,2	0,2	5,2%	7,2%	10,9%	11,8%	5,6%
BA - Bosnia and Herzegovina	7	5	6	8	3	6,8%	15,2%	13,0%	14,5%	10,3%	0,6	0,2	0,3	0,6	0,6	6,5%	7,7%	2,5%	5,4%	18,5%
CH - Switzerland	703	523	686	522	419	23,5%	27,1%	26,1%	28,1%	22,5%	250,7	232,9	288,5	217,0	147,6	23,6%	29,6%	27,5%	25,3%	23,5%
FO - Faroe Islands	3	1	1	1	6	75,0%	50,0%	50,0%	25,0%	54,5%	0,2	0,1	0,4	0,2	0,9	69,1%	10,0%	67,7%	44,6%	43,0%
IL - Israel	281	217	308	244	202	18,3%	19,9%	23,6%	23,5%	23,1%	88,3	91,9	121,4	105,4	60,3	16,5%	14,6%	19,5%	17,7%	16,4%
LI - Liechtenstein	1	2	1	2	-	5,3%	25,0%	12,5%	20,0%	0,0%	0,4	0,4	0,5	0,8	-	8,7%	24,9%	27,8%	23,9%	0,0%
MD - Moldova	3	10	5	6	6	9,4%	31,3%	23,8%	20,0%	12,2%	0,5	0,4	0,1	0,3	0,6	16,6%	16,8%	4,0%	10,2%	10,1%
NO - Norway	333	241	342	303	166	22,0%	23,3%	25,5%	27,7%	20,7%	97,4	77,8	113,2	112,0	48,4	19,0%	18,8%	21,3%	22,9%	16,3%
RS - Serbia	50	31	35	51	37	12,6%	12,6%	10,7%	23,0%	19,7%	11,3	4,4	10,2	5,8	2,3	13,1%	6,9%	6,3%	6,9%	9,0%
Subtotal	1,664	1,249	1,655	1,481	1,056	19,5%	21,2%	22,8%	25,3%	21,6%	495,8	443,2	571,2	484,6	295,1	18,8%	17,6%	17,9%	19,4%	19,1%
AR - Argentina	33	26	33	30	29	19,8%	27,7%	33,0%	21,3%	35,4%	3,5	2,8	0,8	2,0	1,7	16,0%	26,2%	11,4%	11,4%	20,6%
AU - Australia	46	44	63	36	37	29,3%	44,0%	35,2%	25,2%	23,1%	12	13	15	0,3	2,6	24,2%	22,2%	30,5%	7,4%	23,2%
BR - Brazil	32	55	87	65	65	10,5%	27,8%	28,4%	19,5%	30,0%	4,0	5,8	5,4	7,1	2,7	8,0%	22,5%	16,5%	14,4%	14,1%
CA - Canada	49	33	58	39	45	25,3%	26,6%	36,5%	26,4%	26,3%	18	12	2,4	12	2,4	18,6%	20,5%	27,7%	31,5%	26,5%
CL - Chile	14	13	22	19	16	13,7%	22,4%	33,3%	18,4%	23,9%	1,5	0,6	0,6	1,1	1,2	11,4%	7,5%	9,0%	9,1%	18,0%
CN - China	77	54	125	136	85	14,8%	22,3%	28,1%	34,9%	30,1%	10,4	4,4	6,3	5,7	3,5	16,5%	17,1%	12,9%	16,8%	16,7%
EG - Egypt	11	22	42	34	16	6,9%	21,6%	21,6%	19,4%	18,2%	0,7	0,5	4,2	4,7	1,6	2,9%	4,1%	14,6%	17,3%	14,8%
IN - India	90	46	69	45	41	22,0%	24,5%	23,4%	18,1%	22,2%	11,4	5,5	8,1	4,3	5,3	18,6%	24,5%	21,3%	16,6%	24,3%
JO - Jordan	7	3	15	10	7	13,2%	12,5%	27,3%	17,3%	23,3%	0,3	0,1	1,3	1,1	0,9	4,7%	2,6%	19,3%	30,4%	23,6%
JP - Japan	19	10	32	20	23	24,7%	24,4%	35,6%	23,0%	31,9%	1,4	0,4	1,4	1,3	0,7	21,5%	41,0%	26,5%	31,1%	14,8%
KR - Republic of Korea	11	10	14	2	7	32,4%	35,7%	26,9%	11,8%	25,9%	0,7	0,9	0,6	-	0,1	32,4%	47,7%	22,5%	0,0%	10,0%
MA - Morocco	22	21	31	22	12	16,4%	30,0%	22,0%	21,2%	24,5%	2,4	0,5	3,0	2,0	1,2	14,0%	9,0%	18,7%	18,1%	18,6%
MX - Mexico	17	14	58	28	21	16,5%	16,7%	32,8%	20,6%	25,3%	1,8	1,0	1,7	3,0	1,6	14,2%	7,6%	11,2%	13,5%	20,2%
NZ - New Zealand	11	21	24	17	14	34,4%	50,0%	40,0%	29,8%	26,9%	1,1	0,1	1,0	0,3	0,1	30,5%	9,5%	31,5%	7,3%	2,2%
RU - Russian Federation	121	128	115	109	62	19,2%	22,1%	22,0%	27,4%	23,4%	19,4	12,2	13,9	9,9	3,9	17,3%	17,7%	13,7%	1	

**Table B5: Proposals, applicants, EU contribution success rates by Specific Programme for FP7 calls concluded in 2007 - 2011**

		PERIOD	COOPERATION	CAPACITIES	PEOPLE	IDEAS	EURATOM	Total FP7	Total FP7 (excl. IDEAS)	Total FP7 (excl. IDEAS & PEOPLE)
Submitted proposals	Number of included proposals	2007-2011	26.101	7.051	28.198	17.577	218	79.145	61.568	33.370
		2011	3.751	292	8.158	2.318	48	14.567	12.249	4.091
	Number of applicants	2007-2011	251.734	50.539	61.321	20.829	2.389	386.812	365.983	304.662
		2011	37.015	1.938	17.770	2.703	529	59.955	57.252	39.482
	Requested EC funding (EUR million)	2007-2011	85.560	11.798	-	29.624	539	127.579	97.955	97.898
		2011	12.478	367	-	4.977	100	17.937	12.960	12.944
	Number of applicants per proposal	2007-2011	9,6	7,2	2,2	1,2	11,0	4,9	5,9	9,1
		2011	9,9	6,6	2,2	1,2	11,0	4,1	4,7	9,7
	EC contribution per proposal (EUR million)	2007-2011	3,28	1,67	-	1,69	2,47	1,61	1,59	2,93
		2011	3,33	1,26	-	2,15	2,07	1,23	1,06	3,16
	EC contribution per applicant (EUR million)	2007-2011	0,34	0,23	-	1,42	0,23	0,33	0,27	0,32
		2011	0,34	0,19	-	1,84	0,19	0,30	0,23	0,33
Retained proposals	Number of proposals	2007-2011	4.880	1.357	7.376	2.378	98	16.089	13.711	6335
		2011	785	58	1.627	323	20	2.813	2.490	863
	Number of applicants	2007-2011	53.893	12.919	14.512	2.632	1.292	85.248	82.616	68.104
		2011	8.720	389	3.225	363	235	12.932	12.569	9.344
	Requested EC funding (EUR million)	2007-2011	18.088	2.947	-	4.317	280	25.667	21.350	21.315
		2011	2.842	70	-	701	41	3.664	2.963	2.952
	Number of applicants per proposal	2007-2011	11,0	9,5	2,0	1,1	13,2	5,3	6,0	10,8
		2011	11,1	6,7	2,0	1,1	11,8	4,6	5,0	10,8
	EC contribution per proposal (EUR million)	2007-2011	3,71	2,17	-	1,82	2,86	1,60	1,56	3,36
		2011	3,62	1,20	-	2,17	2,05	1,30	1,19	3,42
	EC contribution per applicant (EUR million)	2007-2011	0,34	0,23	-	1,64	0,22	0,30	0,26	0,31
		2011	0,33	0,18	-	1,93	0,17	0,28	0,24	0,32
Success rate	Success rate (proposals)	2007-2011	19%	19%	26%	14%	45%	20%	22%	19%
		2011	21%	20%	20%	14%	42%	19%	20%	21%
	Success rate (applicants)	2007-2011	21%	26%	24%	13%	54%	22%	23%	22%
		2011	24%	20%	18%	13%	44%	22%	22%	24%
	Success rate (EC funding)	2007-2011	21%	25%	-	15%	52%	20%	22%	22%
		2011	23%	19%	-	14%	41%	20%	23%	23%
Signed grants	Number of signed grant agreements	2007-2011	4.529	1.316	5.951	2.324	103	14.223	11.899	5.948
		2011	1.052	311	1.622	835	19	3.839	3.004	1.382
	Number of grant holders	2007-2011	51.800	12.563	10.798	2.620	1.386	79.167	76.547	65.749
		2011	12.491	2.990	3.044	930	225	19.680	18.750	15.706
	Granted EC funding (EUR million)	2007-2011	16.392	2.537	2.414	3.732	245	25.320	21.588	19.174
		2011	3.944	685	728	1.405	39	6.801	5.396	4.668
	Number of participants per grant	2007-2011	11,4	9,5	1,8	1,1	13,5	5,6	6,4	11,1
		2011	11,9	9,6	1,9	1,1	11,8	5,1	6,2	11,4
	EC contribution per grant (EUR million)	2007-2011	3,62	1,93	0,41	1,61	2,38	1,78	1,81	3,22
		2011	3,75	2,20	0,45	1,68	2,05	1,77	1,80	3,38
	EC contribution per grant holder (EUR million)	2007-2011	0,32	0,20	0,22	1,42	0,18	0,32	0,28	0,29
		2011	0,32	0,23	0,24	1,51	0,17	0,35	0,29	0,30

'Reference date 16/02/2012 Report was created for 307 calls

Figures on the basis of proposals submitted in response i) to FP7 calls involving a single-stage proposal submission and evaluation procedure and ii) to the second stage of FP7 calls involving a two-stage proposal submission and evaluation procedure

Figures for 2011: Proposals figures are based on the calls concluded in 2011, while signed grant agreement figures are based on the grants signed in 2011.

For EURATOM, data for collaborative projects on Fusion is not included

For PEOPLE "applicants" refer to hosting organisations/institutions. Data on requested EC financial contribution on the proposal level are usually not available for Marie-Curie Actions that makes up for the majority of PEOPLE programme - table cannot be completed entirely.

**Table B6: Proposals, applicants, EU contribution success rates by Funding Instruments for FP7 calls concluded in 2007 - 2011**

	PERIOD	CP & CP-CSA	CSA	NoE	ERC	MCA	BSG	Total FP7	Total FP7 (excl. ERC)	Total FP7 (excl. ERC & MCA)	
Submitted proposals	Number of included proposals	2007-2011	23.837	6.740	154	17.556	27.781	3.077	79.145	61.589	33.808
		2011	3.429	747	6	2.318	8.061	6	14.567	12.249	4.188
	Number of applicants	2007-2011	235.275	42.282	2.225	20.772	59.611	26.647	386.812	366.040	306.429
		2011	34.195	5.500	94	2.703	17.390	73	59.955	57.252	39.862
	Requested EC funding (EUR million)	2007-2011	85.661	7.738	802	29.616	-	3.763	127.579	97.963	97.963
		2011	12.178	747	22	4.977	-	13	17.937	12.960	12.960
	Number of applicants per proposal	2007-2011	9,9	6,3	14,4	1,2	2,1	8,7	4,9	5,9	9,1
		2011	10,0	7,4	15,7	1,2	2,2	12,2	4,1	4,7	9,5
	EC contribution per proposal (EUR million)	2007-2011	3,59	1,15	5,21	1,69	-	1,22	1,61	1,59	2,90
		2011	3,55	1,00	3,70	2,15	-	2,18	1,23	1,06	3,09
EC contribution per applicant (EUR million)	2007-2011	0,36	0,18	0,36	1,43	-	0,14	0,33	0,27	0,32	
	2011	0,36	0,14	0,24	1,84	-	0,18	0,30	0,23	0,33	
Retained proposals	Number of proposals	2007-2011	4.234	1.711	53	2.369	7.160	562	16.089	13.720	6.560
		2011	662	249	3	323	1.575	1	2.813	2.490	915
	Number of applicants	2007-2011	49.158	13.961	916	2.612	13.452	5.149	85.248	82.636	69.184
		2011	7.450	2.086	57	363	2.958	18	12.932	12.569	9.611
	Requested EC funding (EUR million)	2007-2011	18.503	1.802	315	4.314	-	731	25.667	21.353	21.353
		2011	2.710	238	12	701	-	3	3.664	2.963	2.963
	Number of applicants per proposal	2007-2011	11,6	8,2	17,3	1,1	1,9	9,2	5,3	6,0	10,5
		2011	11,3	8,4	19,0	1,1	1,9	18,0	4,6	5,0	10,5
	EC contribution per proposal (EUR million)	2007-2011	4,37	1,05	5,95	1,82	-	1,30	1,60	1,56	3,25
		2011	4,09	0,96	4,00	2,17	-	3,00	1,30	1,19	3,24
EC contribution per applicant (EUR million)	2007-2011	0,38	0,13	0,34	1,65	-	0,14	0,30	0,26	0,31	
	2011	0,36	0,11	0,21	1,93	-	0,17	0,28	0,24	0,31	
Success rate	Success rate (proposals)	2007-2011	18%	25%	34%	13%	26%	18%	20%	22%	19%
		2011	19%	33%	50%	14%	20%	17%	19%	20%	22%
	Success rate (applicants)	2007-2011	21%	33%	41%	13%	23%	19%	22%	23%	23%
		2011	22%	38%	61%	13%	17%	25%	22%	22%	24%
	Success rate (EC funding)	2007-2011	22%	23%	39%	15%	-	19%	20%	22%	22%
2011		22%	32%	54%	14%	-	23%	20%	23%	23%	
Signed grants	Number of signed grant agreements	2007-2011	3.936	1.637	52	2.313	5.718	567	14.223	11.910	6.192
		2011	922	351	7	834	1.567	158	3.839	3.005	1.438
	Number of grant holders	2007-2011	47.336	13.273	989	2.595	9.759	5.215	79.167	76.572	66.813
		2011	11.544	2.953	130	929	2.777	1.347	19.680	18.751	15.974
	Granted EC funding (EUR million)	2007-2011	16.432	1.779	292	3.729	2.387	702	25.320	21.591	19.204
		2011	4.036	400	40	1.405	720	201	6.801	5.396	4.676
	Number of participants per grant	2007-2011	12,0	8,1	19,0	1,1	1,7	9,2	5,6	6,4	10,8
		2011	12,5	8,4	18,6	1,1	1,8	8,5	5,1	6,2	11,1
	EC contribution per grant (EUR million)	2007-2011	4,17	1,09	5,62	1,61	0,42	1,24	1,78	1,81	3,10
		2011	4,38	1,14	5,75	1,68	0,46	1,27	1,77	1,80	3,25
EC contribution per grant holder (EUR million)	2007-2011	0,35	0,13	0,30	1,44	0,24	0,13	0,32	0,28	0,29	
	2011	0,35	0,14	0,31	1,51	0,26	0,15	0,35	0,29	0,29	

Reference date 16/02/2012 Report was created for 307 calls

Figures on the basis of proposals submitted in response i) to FP7 calls involving a single-stage proposal submission and evaluation procedure and ii) to the second stage of FP7 calls involving a two-stage proposal submission and evaluation procedure

Figures for 2011: Proposals figures are based on the calls concluded in 2011, while signed grant agreement figures are based on the grants signed in 2011.

For CP&CSA data on EURATOM Fusion is not included

For MCA "applicants" refer to hosting organisations/institutions. Data on requested EC financial contribution on the proposal level are usually not available for Marie-Curie Actions - table cannot be completed entirely.

**Table B7: Proposals, applicants, EU contribution success rates by Organisations for FP7 calls concluded in 2007 - 2011**

		PERIOD	HES - Higher or secondary education	PRC - Private for profit (excl. Education)	PUB - Public body (excl. Research and Education)	REC - Research organisation	OTH - Other	ERC / not applicable	Total FP7	Total FP7 excl. ERC	Nb of which SME (%)	
Submitted proposals	Number of applicants	2007-2011	151.609	100.288	15.661	77.062	21.420	20.772	386.812	366.040	96.379	25%
		2011	25.944	15.402	1.801	12.310	1.795	2.703	59.955	57.252	12.297	21%
	Requested EC funding (EUR million)	2007-2011	39.305	27.297	3.125	23.619	4.617	29.616	127.579	97.963	24.482	19%
		2011	5.241	3.897	344	3.151	328	4.977	17.937	12.960	3.063	17%
Retained proposals	Number of applicants	2007-2011	0,26	0,27	0,20	0,31	0,22	1,43	0,33	0,27	0,25	-
		2011	0,20	0,25	0,19	0,26	0,18	1,84	0,30	0,23	0,25	-
	Requested EC funding (EUR million)	2007-2011	31.279	22.084	4.781	19.894	4.598	2.612	85.248	82.636	18.805	22%
		2011	5.160	3.391	632	2.957	429	363	12.932	12.569	2.605	20%
Success rates	Requested EC funding (EUR million)	2007-2011	7.397	6.223	854	5.933	946	4.314	25.667	21.353	4.525	18%
		2011	1.082	943	102	769	67	701	3.664	2.963	675	18%
	EC contribution per applicant (EUR million)	2007-2011	0,24	0,28	0,18	0,30	0,21	1,65	0,30	0,26	0,24	-
		2011	0,21	0,28	0,16	0,26	0,16	1,93	0,28	0,24	0,26	-
Signed grants	Success rate (applicants)	2007-2011	21%	22%	31%	26%	21%	13%	22%	23%	20%	-
		2011	20%	22%	35%	24%	24%	13%	22%	22%	21%	-
	Success rate (EC funding)	2007-2011	19%	23%	27%	25%	20%	15%	20%	22%	18%	-
		2011	21%	24%	30%	24%	21%	14%	20%	23%	22%	-
	Number of grant holders	2007-2011	30.069	22.062	4.090	20.562	2.384	-	79.167	-	13.691	17%
		2011	7.351	5.525	973	5.163	668	-	19.680	-	3.656	19%
	Granted EC funding (EUR million)	2007-2011	10.890	5.937	702	7.219	572	-	25.320	-	3.450	14%
		2011	3.030	1.568	176	1.908	119	-	6.801	-	958	14%
EC contribution per grant holder (EUR million)	2007-2011	0,36	0,27	0,17	0,35	0,24	-	0,32	-	0,25	-	
	2011	0,41	0,28	0,18	0,37	0,18	-	0,35	-	0,26	-	

Reference date 16/02/2012 Report was created for 307 calls

Figures on the basis of proposals submitted in response i) to FP7 calls involving a single-stage proposal submission and evaluation procedure and ii) to the second stage of FP7 calls involving a two-stage proposal submission and evaluation procedure

Figures for 2011: Proposals figures are based on the calls concluded in 2011, while signed grant agreement figures are based on the grants signed in 2011.

Data on EURATOM Fusion is not included

For ERC applicants information on activity type is not available until the stage of signed grant agreement.

Data on financial contribution for PEOPLE/MCA is not available

**Table B8: Proposals, applicants, EU contribution success rates by Country types for FP7 calls concluded in 2007 - 2011**

COUNTRIES		PERIOD	EU-27	Associated countries	Candidate countries	Third countries	All countries
Submitted proposals	Number of applicants	2007-2011	329.594	24.984	7.500	24.731	386.809
		2011	51.124	3.794	1.105	3.932	59.955
	Requested EC funding (EUR million)	2007-2011	112.427	9.921	2.462	2.768	127.579
		2011	16.030	1.356	188	363	17.937
Retained proposals	EC contribution per applicant (EUR million)	2007-2011	0,34	0,40	0,33	0,11	0,33
		2011	0,31	0,36	0,17	0,09	0,30
	Number of applicants	2007-2011	72.355	5.816	1.321	5.756	85.248
		2011	10.943	831	225	933	12.932
Success rates	Requested EC funding (EUR million)	2007-2011	22.890	2.100	194	482	25.667
		2011	3.308	261	34	61	3.664
	EC contribution per applicant (EUR million)	2007-2011	0,32	0,36	0,15	0,08	0,30
		2011	0,30	0,31	0,15	0,07	0,28
Signed grants	Success rate (applicants)	2007-2011	22,0%	23,3%	17,6%	23,3%	22,0%
		2011	21,4%	21,9%	20,4%	23,7%	21,6%
	Success rate (EC funding)	2007-2011	20,4%	21,2%	7,9%	17,4%	20,1%
		2011	20,6%	19,2%	18,2%	16,8%	20,4%
Signed grants	Number of grant holders	2007-2011	68.667	5.490	1.236	3.774	79.167
		2011	16.964	1.379	372	965	19.680
	Granted EC funding (EUR million)	2007-2011	22.565	2.105	202	448	25.320
		2011	6.036	573	68	123	6.801
EC contribution per grant holder (EUR million)	2007-2011	0,33	0,38	0,16	0,12	0,32	
	2011	0,36	0,42	0,18	0,13	0,35	

Reference date 16/02/2012 Report was created for 307 calls

Figures on the basis of proposals submitted in response i) to FP7 calls involving a single-stage proposal submission and evaluation procedure and ii) to the second stage of FP7 calls involving a two-stage proposal submission and evaluation procedure

Figures for 2011: Proposals figures are based on the calls concluded in 2011, while signed grant agreement figures are based on the grants signed in 2011.

Data on EURATOM Fusion is not available

Data on financial contribution on the proposal level for MCA is not available

## ANNEX C: STATISTICAL RESULTS OF NCP SURVEY ON FP7 PROMOTION AND IMPLEMENTATION IN 2011

Response statistics of the NCP survey for the FP7 2011 Monitoring Report.

Start date : 2012-03-08		
End date : 2012-04-18		
There are 230 records in the current set of data.		
A. Information on responding NCP		
A.3 Please indicate the country of your NCP.		
Country	Number of records	% of total number records
Austria	8	3,48%
Belgium	6	2,61%
Bulgaria	9	3,91%
Cyprus	4	1,74%
Czech Republic	13	5,65%
Denmark	3	1,30%
Estonia	7	3,04%
Finland	4	1,74%
France	8	3,48%
Germany	13	5,65%
Greece	9	3,91%
Hungary	3	1,30%
Ireland	7	3,04%
Italy	15	6,52%
Latvia	4	1,74%
Lithuania	2	0,87%
Luxembourg	1	0,43%
Malta	3	1,30%
Poland	3	1,30%
Portugal	3	1,30%
Romania	6	2,61%
Slovakia	12	5,22%
Slovenia	6	2,61%
Spain	13	5,65%
Sweden	2	0,87%
United Kingdom	10	4,35%
<b>Total Member States</b>	<b>174</b>	<b>75,65%</b>
Albania	4	1,74%
Bosnia & Herzegovina	3	1,30%
Croatia	3	1,30%
Faroe Islands	1	0,43%
FYR of Macedonia	3	1,30%
Iceland	2	0,87%
Israel	1	0,43%
Norway	10	4,35%
Serbia	2	0,87%
Switzerland	3	1,30%
Turkey	2	0,87%
<b>Total Candidate and Associated Countries</b>	<b>34</b>	<b>14,78%</b>
Australia	2	0,87%
Canada	2	0,87%
Russia	5	2,17%
South Africa	7	3,04%
Ukraine	6	2,61%
<b>Total International countries</b>	<b>22</b>	<b>9,57%</b>
<b>TOTAL RECORDS</b>	<b>230</b>	<b>100%</b>

<b>B. FP7 implementation in 2011</b>		
<b>B.1 Promotion of FP7 in 2011</b>		
<b>B.1.1 Promotion of FP7 - information days 2011: Please, indicate the total number of FP7 information days organised by your NCP in 2011.</b>		
	Number of records	% of total number records
0	9	3,91%
1 - 3	98	42,61%
4 - 7	51	22,17%
> 7	65	28,26%
Don't know	2	0,87%
Not applicable	5	2,17%
<b>B.1.2 Promotion of FP7 - attendees at 2011 information days: Please, indicate an estimate of the total number of all attendees at all these 2011 information days.</b>		
< 10	6	2,61%
11 - 50	43	18,70%
51 - 100	39	16,96%
> 100	128	55,65%
Don't know	6	2,61%
Not applicable	8	3,48%
<b>B.2 FP7 Implementation in 2011 - Project Life Cycle</b>		
<b>B.2.1 FP7 Implementation 2011 - available information: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2011, the information available on FP7 calls?</b>		
5 (= excellent)	27	11,74%
4 (= good)	139	60,43%
3 (= satisfactory)	55	23,91%
2 (= poor)	6	2,61%
1 (= very poor)	0	0,00%
No opinion	3	1,30%
<b>B.2.2 FP7 Implementation 2011 - proposal evaluation procedures: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2011, the procedures for the evaluation of proposals submitted under FP7?</b>		
5 (= excellent)	10	4,35%
4 (= good)	111	48,26%
3 (= satisfactory)	75	32,61%
2 (= poor)	15	6,52%
1 (= very poor)	3	1,30%
No opinion	14	6,09%
Not applicable	2	0,87%
<b>B.2.3 FP7 Implementation 2011 - redress procedures: Based on your own observation and the feedback received from researchers and stakeholders in your country, how would you rate, for 2011, the procedures for redress?</b>		
5 (= excellent)	5	2,17%
4 (= good)	35	15,22%
3 (= satisfactory)	59	25,65%
2 (= poor)	22	9,57%
1 (= very poor)	6	2,61%
No opinion	82	35,65%
Not applicable	21	9,13%
<b>B.2.4 FP7 Implementation 2011 - observing sound ethical principles in FP research: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2011, the procedures for ethics reviews and screenings in FP7?</b>		
5 (= excellent)	22	9,57%
4 (= good)	70	30,43%
3 (= satisfactory)	39	16,96%
2 (= poor)	7	3,04%
1 (= very poor)	1	0,43%
No opinion	76	33,04%
Not applicable	15	6,52%

<b>B.2.5 FP7 Implementation 2011 - grant negotiations: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2011, the handling of FP7 grant negotiations by Commission Services?</b>		
5 (= excellent)	6	2,61%
4 (= good)	119	51,74%
3 (= satisfactory)	68	29,57%
2 (= poor)	7	3,04%
1 (= very poor)	1	0,43%
No opinion	21	9,13%
Not applicable	8	3,48%
<b>B.2.6 FP7 Implementation 2011 - project management: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2011, the management of FP7 projects by:</b>		
<b>Commission Services:</b>		
5 (= excellent)	20	8,70%
4 (= good)	127	55,22%
3 (= satisfactory)	57	24,78%
2 (= poor)	5	2,17%
1 (= very poor)	0	0,00%
No opinion	10	4,35%
Not applicable	11	4,78%
<b>Executive Agencies (REA, ERCEA):</b>		
5 (= excellent)	18	7,83%
4 (= good)	76	33,04%
3 (= satisfactory)	31	13,48%
2 (= poor)	7	3,04%
1 (= very poor)	3	1,30%
No opinion	57	24,78%
Not applicable	38	16,52%
<b>Joint Technology Initiatives (JTIs):</b>		
5 (= excellent)	6	2,61%
4 (= good)	32	13,91%
3 (= satisfactory)	24	10,43%
2 (= poor)	8	3,48%
1 (= very poor)	3	1,30%
No opinion	88	38,26%
Not applicable	69	30,00%
<b>B.2.7 FP7 Implementation 2011 - simplification (1): Based on your own observations and the feedback received from researchers and stakeholders in your country, please rate, for 2011, the ease of the use of FP7 for the following administrative and financial aspects or procedures, compared to FP6:</b>		
<b>Finding information on Framework Programme:</b>		
Easier than in FP6	134	58,26%
Same as in FP6	42	18,26%
More difficult than in FP6	5	2,17%
No opinion	36	15,65%
Not applicable	13	5,65%
<b>Finding information on open calls:</b>		
Easier than in FP6	141	61,30%
Same as in FP6	35	15,22%
More difficult than in FP6	7	3,04%
No opinion	34	14,78%
Not applicable	13	5,65%
<b>FP7 application procedures (proposal submission):</b>		
Easier than in FP6	128	55,65%
Same as in FP6	43	18,70%
More difficult than in FP6	9	3,91%
No opinion	34	14,78%
Not applicable	16	6,96%



<b>FP7 grant negotiations:</b>		
Easier than in FP6	87	37,83%
Same as in FP6	63	27,39%
More difficult than in FP6	7	3,04%
No opinion	53	23,04%
Not applicable	20	8,70%
<b>FP7 project management (in general):</b>		
Easier than in FP6	89	38,70%
Same as in FP6	72	31,30%
More difficult than in FP6	11	4,78%
No opinion	42	18,26%
Not applicable	16	6,96%
<b>FP7 project management - financial aspects and requirements:</b>		
Easier than in FP6	93	40,43%
Same as in FP6	59	25,65%
More difficult than in FP6	22	9,57%
No opinion	39	16,96%
Not applicable	17	7,39%
<b>FP7 project reporting and project reviews:</b>		
Easier than in FP6	93	40,43%
Same as in FP6	62	26,96%
More difficult than in FP6	10	4,35%
No opinion	49	21,30%
Not applicable	16	6,96%
<b>FP7 IT tools (e.g. NEF):</b>		
Easier than in FP6	118	51,30%
Same as in FP6	21	9,13%
More difficult than in FP6	17	7,39%
No opinion	55	23,91%
Not applicable	19	8,26%
<b>Communication with Commission Services (e.g. Project Officer, Financial Officer):</b>		
Easier than in FP6	75	32,61%
Same as in FP6	87	37,83%
More difficult than in FP6	9	3,91%
No opinion	44	19,13%
Not applicable	15	6,52%

<b>B.2.8 FP7 Implementation 2011 - simplification (2): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2011, the ease of the use of FP7 for the following administrative and financial aspects or procedures in absolute terms?</b>		
<b>Finding information on FP7:</b>		
5 (= excellent)	58	25,22%
4 (= good)	121	52,61%
3 (= satisfactory)	40	17,39%
2 (= poor)	4	1,74%
1 (= very poor)	2	0,87%
No opinion	5	2,17%
Not applicable	0	0,00%
<b>Finding information on FP7 open calls:</b>		
5 (= excellent)	75	32,61%
4 (= good)	112	48,70%
3 (= satisfactory)	31	13,48%
2 (= poor)	7	3,04%
1 (= very poor)	0	0,00%
No opinion	5	2,17%
Not applicable	0	0,00%

<b>FP7 application procedures (proposal submission):</b>		
5 (= excellent)	34	14,78%
4 (= good)	143	62,17%
3 (= satisfactory)	37	16,09%
2 (= poor)	10	4,35%
1 (= very poor)	0	0,00%
No opinion	6	2,61%
Not applicable	0	0,00%
<b>FP7 grant negotiations:</b>		
5 (= excellent)	14	6,09%
4 (= good)	108	46,96%
3 (= satisfactory)	72	31,30%
2 (= poor)	10	4,35%
1 (= very poor)	1	0,43%
No opinion	21	9,13%
Not applicable	4	1,74%
<b>FP7 project management (in general):</b>		
5 (= excellent)	13	5,65%
4 (= good)	111	48,26%
3 (= satisfactory)	78	33,91%
2 (= poor)	11	4,78%
1 (= very poor)	0	0,00%
No opinion	15	6,52%
Not applicable	2	0,87%
<b>FP7 project management - financial aspects and requirements:</b>		
5 (= excellent)	8	3,48%
4 (= good)	95	41,30%
3 (= satisfactory)	89	38,70%
2 (= poor)	17	7,39%
1 (= very poor)	2	0,87%
No opinion	16	6,96%
Not applicable	3	1,30%
<b>FP7 project reporting and project reviews:</b>		
5 (= excellent)	14	6,09%
4 (= good)	104	45,22%
3 (= satisfactory)	78	33,91%
2 (= poor)	14	6,09%
1 (= very poor)	1	0,43%
No opinion	16	6,96%
Not applicable	3	1,30%
<b>FP7 IT tools (e.g. NEF):</b>		
5 (= excellent)	23	10,00%
4 (= good)	92	40,00%
3 (= satisfactory)	65	28,26%
2 (= poor)	16	6,96%
1 (= very poor)	3	1,30%
No opinion	28	12,17%
Not applicable	3	1,30%
<b>Communication with Commission Services (e.g. Project Officer, Financial Officer):</b>		
5 (= excellent)	33	14,35%
4 (= good)	114	49,57%
3 (= satisfactory)	50	21,74%
2 (= poor)	9	3,91%
1 (= very poor)	3	1,30%
No opinion	20	8,70%
Not applicable	1	0,43%

**B.2.9 FP7 Implementation 2011 - dissemination of project findings: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2011, the communication and dissemination of FP7 project findings:**

**By project consortia:**

5 (= excellent)	17	7,39%
4 (= good)	78	33,91%
3 (= satisfactory)	66	28,70%
2 (= poor)	36	15,65%
1 (= very poor)	2	0,87%
No opinion	24	10,43%
Not applicable	7	3,04%

**By the European Commission Research web site on EUROPA**

5 (= excellent)	22	9,57%
4 (= good)	75	32,61%
3 (= satisfactory)	64	27,83%
2 (= poor)	32	13,91%
1 (= very poor)	4	1,74%
No opinion	29	12,61%
Not applicable	4	1,74%

**By the Community Research and Development Information Service CORDIS**

5 (= excellent)	23	10,00%
4 (= good)	83	36,09%
3 (= satisfactory)	66	28,70%
2 (= poor)	33	14,35%
1 (= very poor)	6	2,61%
No opinion	15	6,52%
Not applicable	4	1,74%

**B.3 FP7 Implementation in 2011 - General Aspects**

**B.3.1 Role of FP7 in global context (1): Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that FP7 ...**

**... comprises an effective balance between academic, industrial (including SMEs), and research organisation sectors?**

5 (= strongly agree)	19	8,26%
4 (= agree)	95	41,30%
3 (= average)	75	32,61%
2 (= disagree)	35	15,22%
1 (= strongly disagree)	1	0,43%
No opinion	5	2,17%

**... adequately stimulates the participation of industry?**

5 (= strongly agree)	12	5,22%
4 (= agree)	75	32,61%
3 (= average)	93	40,43%
2 (= disagree)	35	15,22%
1 (= strongly disagree)	5	2,17%
No opinion	10	4,35%

**... adequately stimulates the participation of women?**

5 (= strongly agree)	21	9,13%
4 (= agree)	74	32,17%
3 (= average)	69	30,00%
2 (= disagree)	27	11,74%
1 (= strongly disagree)	7	3,04%
No opinion	32	13,91%

**... adequately stimulates the participation of young researchers?**

5 (= strongly agree)	26	11,30%
4 (= agree)	77	33,48%
3 (= average)	76	33,04%
2 (= disagree)	31	13,48%
1 (= strongly disagree)	7	3,04%
No opinion	13	5,65%

<b>... provides sufficient opportunity for the wide participation of all Member States?</b>		
5 (= strongly agree)	30	13,04%
4 (= agree)	89	38,70%
3 (= average)	54	23,48%
2 (= disagree)	28	12,17%
1 (= strongly disagree)	12	5,22%
No opinion	17	7,39%
<b>... provides sufficient opportunity for international STI cooperation?</b>		
5 (= strongly agree)	23	10,00%
4 (= agree)	105	45,65%
3 (= average)	64	27,83%
2 (= disagree)	16	6,96%
1 (= strongly disagree)	3	1,30%
No opinion	19	8,26%
<b>B.3.2 Role of FP7 in global context (2): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate the potential of FP7 to support international STI cooperation?</b>		
5 (= very high)	33	14,35%
4 (= high)	118	51,30%
3 (= average)	48	20,87%
2 (= low)	15	6,52%
1 (= very low)	1	0,43%
No opinion	13	5,65%
Not applicable	2	0,87%
<b>B.3.3 Role of FP7 in your country: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate the importance of FP7 in your country for shaping research and innovation policy?</b>		
5 (= very high)	38	16,52%
4 (= high)	81	35,22%
3 (= average)	74	32,17%
2 (= low)	24	10,43%
1 (= very low)	7	3,04%
No opinion	6	2,61%
Not applicable	0	0,00%
<b>B.3.4 Equal opportunities in FP7: Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that the way FP7 is designed and implemented provides equal opportunities for the participation of women and men?</b>		
5 (= strongly agree)	41	17,83%
4 (= agree)	99	43,04%
3 (= average)	53	23,04%
2 (= disagree)	9	3,91%
1 (= strongly disagree)	5	2,17%
No opinion	22	9,57%
Not applicable	1	0,43%
<b>B.3.5 FP7 Novel measures: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2011, the implementation of the following FP7 novel measures?</b>		
<b>European Research Council (ERC)</b>		
Very well implemented	56	24,35%
Generally well implemented	87	37,83%
Acceptable	17	7,39%
Poorly implemented	10	4,35%
No opinion	60	26,09%
<b>Joint Technology Initiatives (JTIs)</b>		
Very well implemented	8	3,48%
Generally well implemented	54	23,48%
Acceptable	53	23,04%
Poorly implemented	31	13,48%
No opinion	84	36,52%

<b>Article 185 (ex-169) Initiatives</b>		
Very well implemented	6	2,61%
Generally well implemented	47	20,43%
Acceptable	62	26,96%
Poorly implemented	14	6,09%
No opinion	101	43,91%
<b>Risk Sharing Finance Facility (RSFF)</b>		
Very well implemented	2	0,87%
Generally well implemented	39	16,96%
Acceptable	43	18,70%
Poorly implemented	31	13,48%
No opinion	115	50,00%
<b>ERA-Net plus</b>		
Very well implemented	21	9,13%
Generally well implemented	73	31,74%
Acceptable	51	22,17%
Poorly implemented	18	7,83%
No opinion	67	29,13%
<b>Public Private Partnerships (PPPs) under the European Economic Recovery Plan</b>		
Very well implemented	13	5,65%
Generally well implemented	71	30,87%
Acceptable	32	13,91%
Poorly implemented	12	5,22%
No opinion	102	44,35%
<b>B.3.6 FP7 Simplification measures: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2011, the effectiveness of the following FP7 simplification measures?</b>		
<b>Certification of costs (fewer audit certificates)</b>		
5 (= very high)	31	13,48%
4 (= high)	114	49,57%
3 (= average)	38	16,52%
2 (= low)	8	3,48%
1 (= very low)	3	1,30%
No opinion	36	15,65%
<b>Participants Guarantee Fund (fewer ex-ante financial checks)</b>		
5 (= very high)	30	13,04%
4 (= high)	104	45,22%
3 (= average)	36	15,65%
2 (= low)	5	2,17%
1 (= very low)	1	0,43%
No opinion	54	23,48%
<b>Unique Registration Facility (URF)</b>		
5 (= very high)	60	26,09%
4 (= high)	102	44,35%
3 (= average)	34	14,78%
2 (= low)	7	3,04%
1 (= very low)	0	0,00%
No opinion	27	11,74%
<b>Certification of methodology</b>		
5 (= very high)	8	3,48%
4 (= high)	60	26,09%
3 (= average)	60	26,09%
2 (= low)	23	10,00%
1 (= very low)	17	7,39%
No opinion	62	26,96%
<b>Web-based electronic system for negotiations (NEF)</b>		
5 (= very high)	34	14,78%
4 (= high)	103	44,78%
3 (= average)	40	17,39%
2 (= low)	9	3,91%

1 (= very low)	2	0,87%
No opinion	42	18,26%
<b>Project reporting - streamlined guidelines and structure of reports</b>		
5 (= very high)	37	16,09%
4 (= high)	93	40,43%
3 (= average)	59	25,65%
2 (= low)	5	2,17%
1 (= very low)	0	0,00%
No opinion	36	15,65%
<b>Grant amendments - streamlined rules and procedures</b>		
5 (= very high)	22	9,57%
4 (= high)	86	37,39%
3 (= average)	63	27,39%
2 (= low)	11	4,78%
1 (= very low)	3	1,30%
No opinion	45	19,57%
<b>Research Participant Portal</b>		
5 (= very high)	52	22,61%
4 (= high)	98	42,61%
3 (= average)	51	22,17%
2 (= low)	3	1,30%
1 (= very low)	3	1,30%
No opinion	23	10,00%
<b>Simplification of recovery process (flat rate corrections)</b>		
5 (= very high)	22	9,57%
4 (= high)	79	34,35%
3 (= average)	38	16,52%
2 (= low)	3	1,30%
1 (= very low)	3	1,30%
No opinion	85	36,96%
<b>Wider acceptance of average personnel costs</b>		
5 (= very high)	22	9,57%
4 (= high)	99	43,04%
3 (= average)	38	16,52%
2 (= low)	10	4,35%
1 (= very low)	6	2,61%
No opinion	55	23,91%
<b>Flat rate system for SME owners and natural persons without salary</b>		
5 (= very high)	33	14,35%
4 (= high)	84	36,52%
3 (= average)	33	14,35%
2 (= low)	5	2,17%
1 (= very low)	0	0,00%
No opinion	75	32,61%
<b>B.3.7 FP7 - Comparison with other funding schemes: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate the ease of the use of FP7, in 2011, compared with similar international research actions or large national schemes?</b>		
5 (= FP7 much less complex than other schemes)	20	8,70%
4 (= less complex)	41	17,83%
3 (= about the same)	69	30,00%
2 (= more complex)	63	27,39%
1 (= much more complex)	21	9,13%
No opinion	13	5,65%
Not applicable	3	1,30%

## ANNEX D: GLOSSARY

AAL	– Ambient Assisted Living Joint Programme
AC	– Associated Countries
AdG	– ERC Advanced Grants
AENEAS	– Association for European Nanoelectronics Activities
AER	– Annual Evaluation Review
AIP	– Annual Implementation Plan
ARTEMIS	– Embedded Computing Systems Joint Technology Initiative
BEV	– Battery Electric Vehicle
BSG	– Research for the Benefit of Specific Groups
CATRENE	– Cluster for Application and Technology Research in Europe on NanoElectronics
Clean Sky	– Aeronautics and Air Transport Joint Technology Initiative
COFUND	– Marie Curie Co-funding of Regional, National and International Programmes
CORDA	– Common Research Data Warehouse
CORDIS	– Community Research and Development Information Service for Science
CP	– Collaborative Project
CP/CP-CSA	– Combination of Collaborative Project & Coordination and Support Action
CROR	– Counter Rotating Open Rotor
CS	– Clean Sky (Joint Undertaking)
CSA	– Coordination and Support Action
DG COMM	– Directorate-General for Communication
DG EAC	– Directorate-General for Education and Culture
DG ENTR	– Directorate-General for Enterprise and Industry
DG INFSO	– Directorate-General for Information Society and Media
DG RTD	– Directorate-General for Research & Innovation
DIGIT	– Directorate-General for Informatics
DIS	– Dedicated Implementation Structure
EC	– European Commission
EFPIA	– European Federation of Pharmaceutical Industries and Associations
EIB	– European Investment Bank
EMRP	– European Metrology Joint Research Programme
ENIAC	– Nanoelectronics Technologies 2020 Joint Technology Initiative
ENV	– Environment (including Climate Change)
EPSS	– Electronic Proposal Submission System
ERA	– European Research Area
ERAB	– European Research Area Board
ERA-NETs plus	– European Research Area Networks
ERC	– European Research Council
ERCEA	– European Research Council Executive Agency
ESR	– Evaluation Summary Report

EU SDS	– EU renewed Sustainable Development Strategy
EURAB	– European Advisory Board
F4E	– Fusion for Energy European Joint Undertaking
FCEV	– Fuel Cell Electric Vehicle
FCH	– Fuel Cells and Hydrogen Joint Technology Initiative
FET	– Future & Emerging Technologies
FP	– Framework Programme for Research and Technological Development
FTB	– Flying Test Bed
HES	– Higher or Secondary Education Organisation
IAPP	– Marie Curie Industry-Academia Pathways and Partnerships
ICE	– Internal Combustion Engine
ICT	– Information and Communication Technologies
IGDTP	– Implementing Geological Disposal Technology Platform
IIF	– International Incoming Fellowships
IMI	– Innovative Medicines Initiative Joint Technology Initiative
INCO	– Activities of International Cooperation
INCO-NETS	– Activities of International Cooperation - Networks
INFRA	– Research Infrastructures
IRSES	– Marie Curie International Research Staff Exchange Scheme
ITD	– Integrated Technology Demonstrator
ITER	– International Thermonuclear Experimental Reactor
ITN	– Marie Curie Initial Training Networks
JET	– Joint European Torus
JRC	– Joint Research Centre
JTI	– Joint Technology Initiative
JU	– Joint Undertaking
KBBE	– Knowledge Based Bio-Economy
LS	– Life Sciences
MCA	– Marie Curie Action
MELODI	– Multidisciplinary European Low-Dose Initiative
MP	– Management Plan
NCP	– National Contact Point
NEF	– Negotiation Form Facility
NMP	– Nanosciences, Nanotechnologies, Materials and new Production Technologies
NoE	– Network of Excellence
NUTS	– Nomenclature of Units for Territorial Statistics
OTH	– Other
PIC	– Participant Identification Code
PPP	– Public Private Partnership
PRC	– Private for Profit Organisation
PUB	– Public Body
REA	– Research Executive Agency
REC	– Research Organisation



RSFF	– Risk Sharing Financial Facility
RTDI	– Research, Technological Development and Innovation
S&T	– Science and Technology
SET-Plan	– Strategy Energy Technology Plan
SFIC	– Strategic Forum for International Cooperation
SiS	– Science in Society
SLA	– Service Level Agreement
SME	– Small and Medium Enterprise
SNETP	– Sustainable Nuclear Energy Technology Platform
SRA	– Strategic Research Agenda
SSH	– Socio-economic Sciences and Humanities
StG	– ERC Starting Grants
TFEU	– Treaty on the Functioning of the European Union
TTG	– Time-to-grant
TTP	– Time-to-pay
URF	– Unique Registration Facility

## **ANNEX E: KEY REFERENCES**

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**Further information and reports can be found on the [DG RTD Evaluation website](#).**