



EUROPEAN COMMISSION  
RESEARCH DIRECTORATE-GENERAL

The Director-General

# **Third FP7 Monitoring Report**

## **MONITORING REPORT 2009**

*13 July 2010*

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## 0 EXECUTIVE SUMMARY

The third FP7 Monitoring Report covers the implementation of the Framework Programme in the years 2007-2009. 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 1 this document provides a detailed factual analysis of the main elements of the overall implementation of FP7. Section 2 takes a closer look at some of the elements of the Framework Programme which deserve a special focus. Section 3 presents the current situation with regard to the simplification process and also the results of a survey on the perception of simplification in FP7 by National Contact Points (NCPs). Section 4 looks at the early achievements of the programme.

Although a substantial part of the report is based on existing material which has been already (at least partially) released, the report provides an integrated view on the different strands of FP7 activities.

Compared to the previous Monitoring Reports, this third Monitoring Report

- shows that basic participation patterns are rather stable after three years of FP7 implementation;
- allows in some specific areas a more complete comparison over time of FP7 implementation;
- presents for the first time detailed gender participation statistics for the different FP7 thematic areas as well as for the 27 EU Member States;
- includes two new 'special focus' topics, namely *Sustainable Development* and *Marie Curie Actions*.

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 three first years of FP7, 170 concluded calls received more than 55.000 proposals, out of which more than 40.000 – involving a staggering 235.000 applicant organisations and individuals – were included in the evaluation procedure, and more than 9.000 – involving more than 50.000 participants – were finally retained for negotiations, with a corresponding requested Community funding of €15 billion. Proposals and applicants had an average success rate of around 22%.
- On the *participation of small and medium enterprises (SMEs)*, it is estimated that during the first three years of FP7 implementation 14,5% of all participants in signed grant agreements were SMEs.
- On the *gender dimension of FP7 participation*, it is estimated that 20,5% of contact persons for scientific aspects in FP7 funded projects, 36,1% of Marie Curie fellows and 19,4% of principal investigators under ERC grants are women. 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 its first three years it will fund projects with participant organisations from as many as 162 countries. Outside the group of EU and associated countries the biggest participants are the USA, the 'BRICs' (in descending order of participation magnitude: Russia, China, India, and Brazil), Australia, and South Africa.

- On the *redress and ethical review* procedures, out of the 1.601 requests for redress received, only 19 led to a re-evaluation, whereas 771 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.

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# 1 FP7 IMPLEMENTATION IN 2009 – GENERAL OVERVIEW

## 1.1 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 creation of the European Research Area and carrying them further towards 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. JRC 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 thematic priorities 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 managed 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 world wide. It is managed under the Marie Curie programme.
- 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

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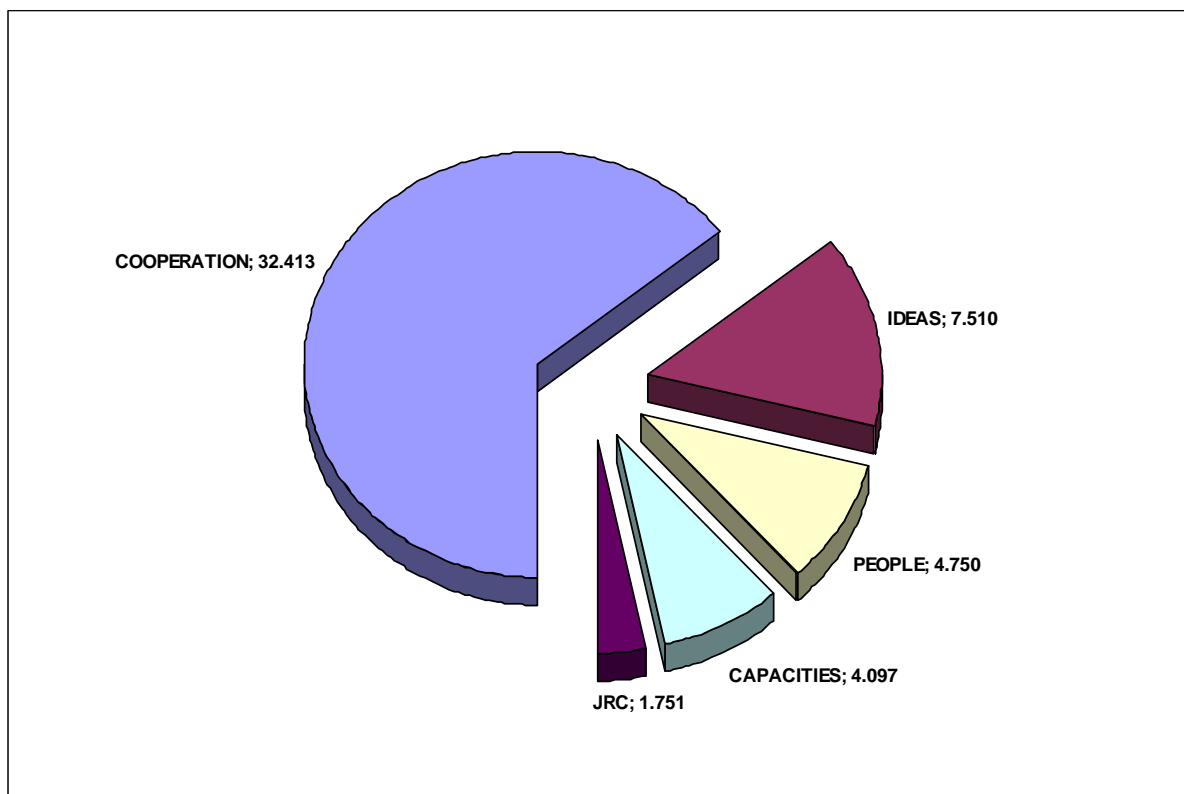
<sup>1</sup> Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013).

previous Framework Programmes. These novelties were presented in more detail in the [first FP7 Monitoring Report](#).

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

Specific Programmes	Thematic Areas		Abbreviation used in graphs
COOPERATION	Health		Health
	Food, Agriculture, and Biotechnology		Food
	Information and Communication Technologies		ICT
	Nanosciences, Nanotechnologies, Materials and new Production Technologies		Nanotech
	Energy		Energy
	Environment (including Climate Change)		Environment
	Transport (including Aeronautics)		Transport
	Socio-economic Sciences and Humanities		SSH
	Space		Space
	Security		Security
	General Activities		General
IDEAS	Starting Independent Researcher Grants		ERC
	Advanced Investigator Grants		ERC
PEOPLE	Initial Training of Researchers		Marie Curie
	Lifelong Learning and Career Development		Marie Curie
	Industry - Academia Partnerships / Pathways		Marie Curie
	The International Dimension		Marie Curie
	Specific Actions		Marie Curie
CAPACITIES	Research Infrastructures		Infrastructures
	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
EURATOM	Indirect Actions	Fusion Energy	Fusion
		Nuclear Fission and Radiation Protection	Fission
	Direct Actions	Nuclear Field (undertaken by JRC)	
JRC (Direct Actions)	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.\*



\* The EURATOM FP7 budget of €2,7 billion over 5 years is not included.

## 1.2 Participation patterns

This section aims to provide a comprehensive statistical overview of FP7 implementation in 2009 as well as a comparative overview of the first three years. The data used in this section are exclusively drawn from the Common Research Data (CORDA) warehouse.<sup>2</sup>

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.

<sup>2</sup> Further details can be found in the document *FP7 Subscription, Performance, Implementation during the first two years of operation, 2007-2008* European Commission, June 2009.



This report is based on statistical data on calls for proposals with closure dates in 2007, 2008 and 2009, which have been concluded by April 2010. The reported numbers of concluded calls are not final, especially for the last year, 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 and 2008, which have been updated according to the latest available information. It is, therefore, important to keep in mind the preliminary nature of the 2009 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 agreement counts instead of on a year by year basis.

**Box 1:** Data issues and methodology

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 no activity types are specified for the hosting organisations. In proposals submitted under People data on total cost and requested EC 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 EC contribution both at proposal and applicant level.

## **1.2.1 Overall participation**

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

The 54 calls for proposals with call closure date in 2009 recorded in CORDA by April 2010 attracted in total 13.654 applications for funding. The large majority of the 2009 applications (12.800) was submitted to 47 one-stage calls (see also table B1 in annex B).

The majority of submitted proposals (94% or 12.858) was 'included' (as defined above), and about a quarter of that (3.285) retained for funding negotiations with an overall success rate of 25,5% – significantly higher than in previous years.

At the time of data extraction included and retained proposals involved a total of 62.569 and 15.291 applicants respectively with an overall success rate of 24,4%. The so-far recorded numbers of applicants in retained proposals are higher than those in 2008 (14.110) and their success rates are considerably higher than those of 2008 (20,9%) and also above the average for the three years (22%).

The aggregate figures for 2007, 2008 and 2009 show that for a total of 170 concluded calls, 55.379 proposals were submitted, out of which 41.747 – involving 234.023 applicants – were included, and 9.121 – involving 51.397 participants – retained for negotiations. The average success rate for the three years was 21,8% in terms of proposals and 22% in terms of applicants.

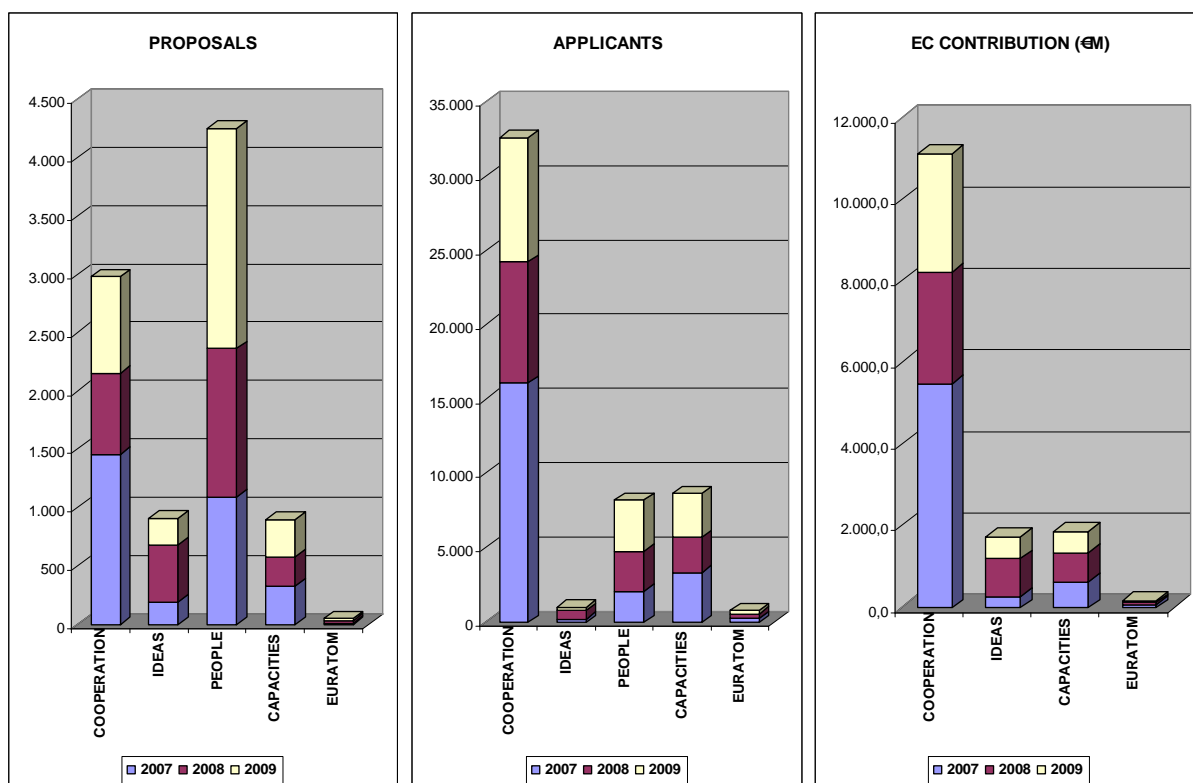
### **1.2.1.2 Project costs, requested contributions and corresponding success rates**

The included proposals, which correspond to the 54 recorded calls in 2009, involved a total project cost of €26,2 billion with a requested Community contribution of €20 billion. After the evaluation and selection stage the total project cost of the retained proposals is €5,4 billion, which corresponds to a success rate of 20,8%, and the requested Community contribution is €4 billion – about three quarters of the total cost, corresponding to a success rate of 20,1%.

The aggregate project cost of the retained proposals from 2007 to 2009 is €20,6 billion and the corresponding Community financial contribution is €14,9 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 table B2 in annex B.

**Figure 2:** Numbers of proposals, applicants and amounts of requested Community financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 by specific programme.



#### 1.2.1.2.1 Specific programme Cooperation

In 2009 the specific programme *Cooperation* received more than a third of all included proposals (4.432) and a quarter of all retained proposals (831), which involved about two thirds (40.608) and more than half (8.389) of all applicants respectively.

The aggregate figures for FP7 subscription and participation under *Cooperation* in 2009 in terms of numbers of proposals, applicants and amounts of budgets as recorded in *CORDA* at the time of data extraction (April 2010) are higher (and expected to become even higher) than those in 2008, both in terms of included and retained proposals, while success rates are comparable to those in past years (see table B2 in annex B).

More than half of all retained proposals, applicants and requested Community financial contribution under *Cooperation* in 2009 come from the thematic area of *Information and Communication Technologies*, followed at a distance by *Nanosciences, Nanotechnologies, Materials and new Production Technologies* (10,8% of proposals), and *Environment and Food, Agriculture and Fisheries, and Biotechnology* with similar shares (below 10%).

#### 1.2.1.2.2 Specific programme People (Marie Curie Actions)

At the time of data extraction for this report (April 2010) there were 9 concluded calls with call closure date in 2009 launched under the specific programme *People* recorded in the *CORDA* database.<sup>3</sup> These calls received 5.282 included and 1.889 retained proposals (or

<sup>3</sup> These are the following: FP7-PEOPLE-2009-EURAXESS, FP7-PEOPLE-2009-IAPP, FP7-PEOPLE-2009-IEF, FP7-PEOPLE-2009-IIF, FP7-PEOPLE-2009-IOF, FP7-PEOPLE-2009-IRSES, FP7-PEOPLE-2009-NIGHT, FP7-PEOPLE-2009-RG, FP7-PEOPLE-COFUND-2008. At the time of data extraction a large call with call closure date on 22/12/2009, namely FP7-PEOPLE-2010-ITN, was not yet 'concluded'; as a result, it is possible that the retroactively updated participation

41,1% and 57,5% of the total respectively) with 13,3% and 22,6% of all applicants respectively.

The recorded success rates were 35,8% at the level of proposals and 41,5% at the level of applicants (see figure 4). These success rates for 2009, however, are expected to be lower in subsequent Monitoring Reports with the retroactive updating of 2009 data, due to the exclusion of a large call under People, namely FP7-PEOPLE-2010-ITN, which at the time of data extraction for this report was not yet 'concluded' (see footnote 3).

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 Community financial contribution.

#### 1.2.1.2.3 *Specific programme Ideas (European Research Council)*

The single concluded one-stage call, as recorded in CORDA, with closure date in 2009 launched by the European Research Council (ERC) attracted 1.584 proposals, 1.526 of which were included in the selection but only 230 of those were retained for negotiations – a mere 7% of the total number of retained proposals in 2009 and less than half of those in 2008 – with a corresponding success rate of 15,1%.

The corresponding Community contribution amounts to an estimated €532 million or 13,2% of the total, and a success rate of 16,3%.

#### 1.2.1.2.4 *Specific programme Capacities*

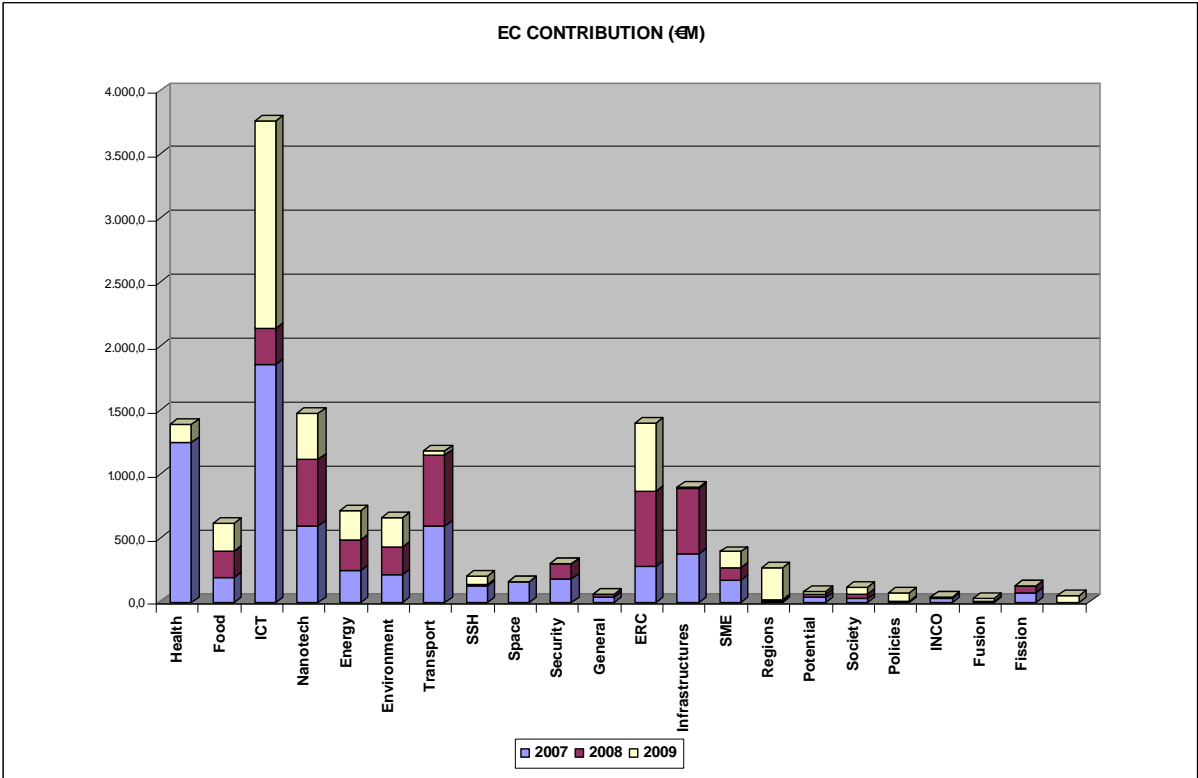
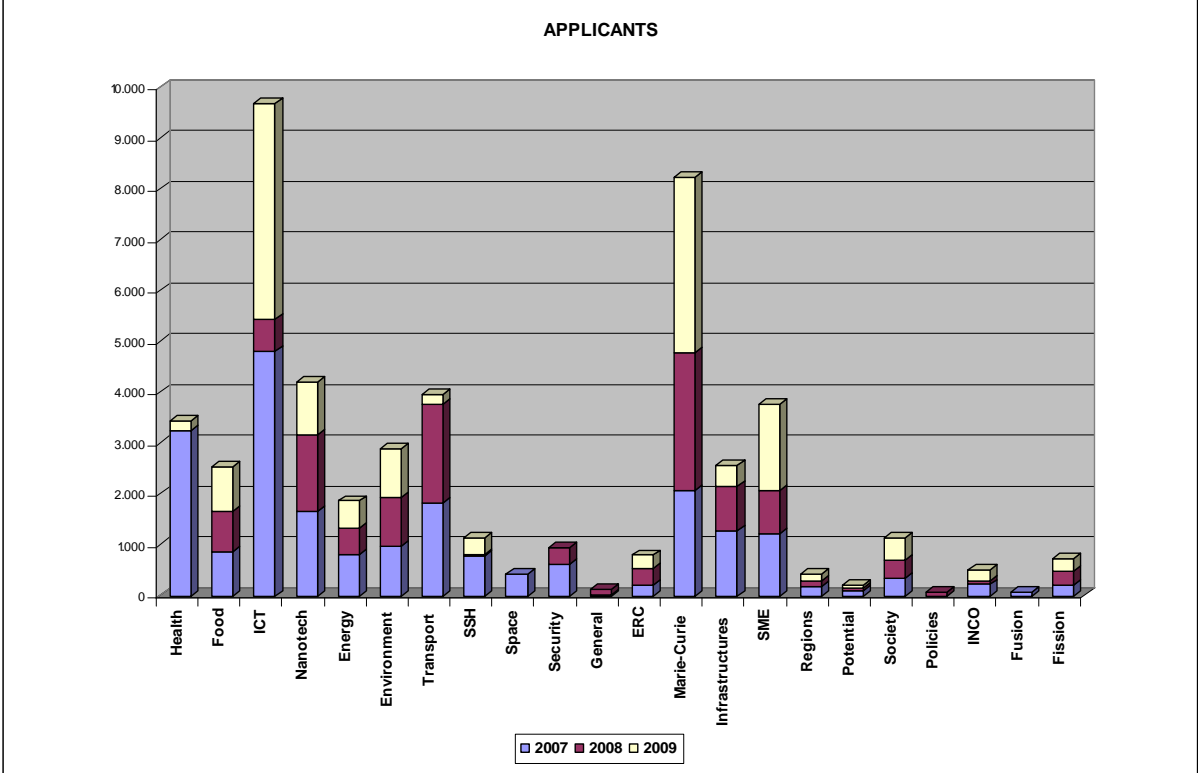
In 2009 the specific programme *Capacities* exhibited levels of included and retained proposals, participants and amounts of requested Community contribution comparable to those in the previous years. In relative terms, *Capacities* accounted for approximately a tenth of the whole FP7 in terms of retained proposals, somehow higher in terms of Community financial contribution, and close to a fifth of the total in terms of applicants. In absolute terms, the Community financial contribution in retained proposals under *Capacities* is similar in size to that of the ERC, namely €529 million.

As in previous years the thematic area with by far the largest share of retained proposals was *Research for the benefit of SMEs* (57% of the total number of retained proposals under *Capacities*), corresponding to slightly less than half of the entire budget of the *Capacities* programme. *Research Infrastructures* came second with 12% of all proposals and with approximately a quarter of the total requested Community contribution under the specific programme *Capacities*.

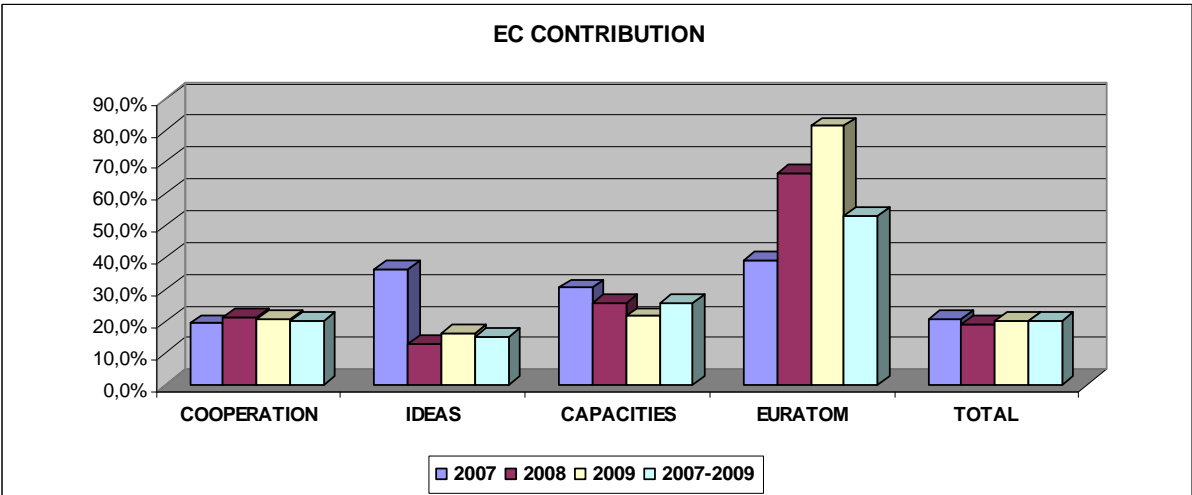
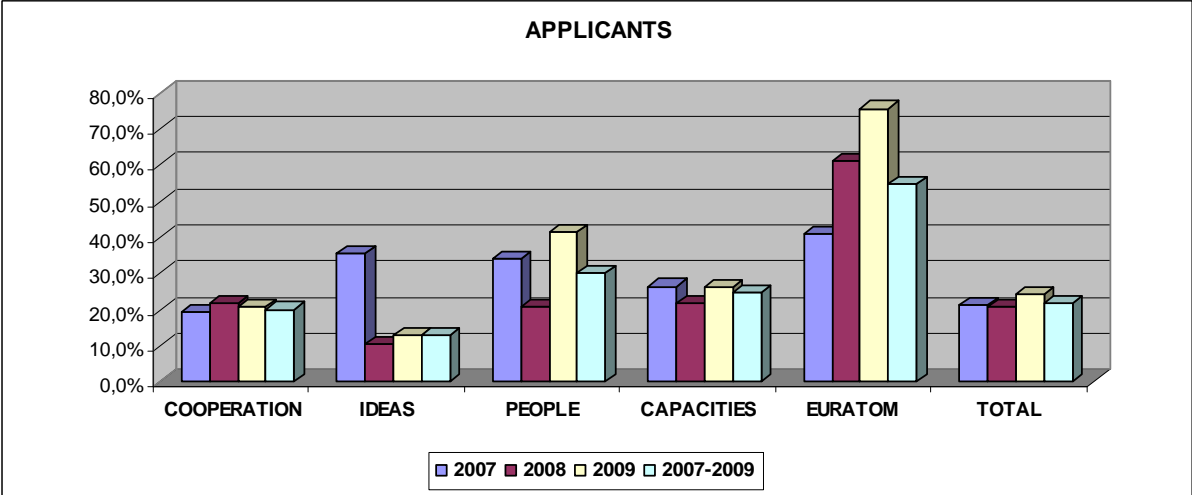
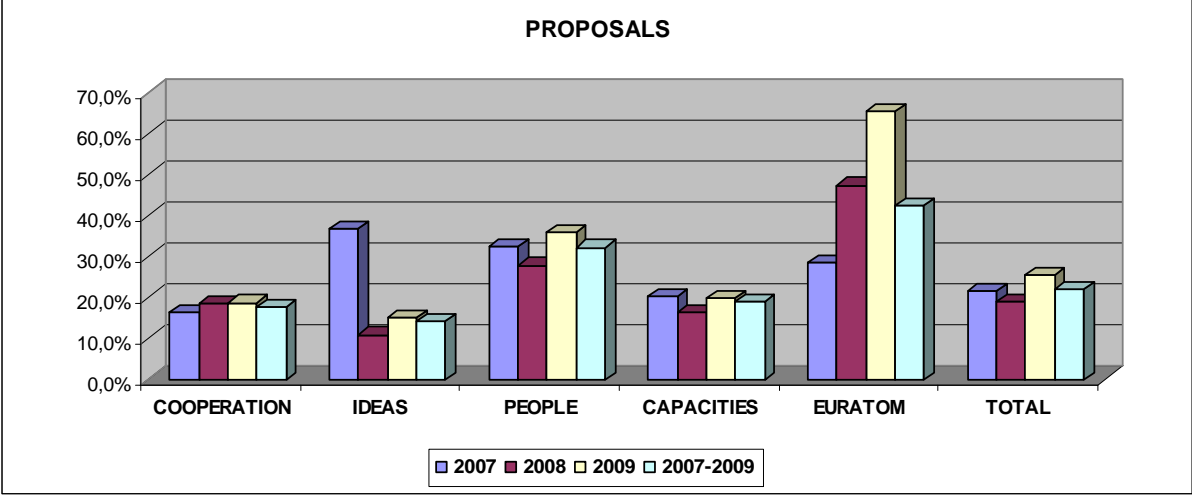
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statistics for 2009 for the specific programme *People* in subsequent Monitoring Reports, including the success rates, differ substantially from those presented here.

**Figure 3:** Numbers of applicants and amounts of requested Community financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 by thematic area.



**Figure 4:** Success rates in proposals, applicants and requested Community financial contribution for FP7 calls concluded in 2007, 2008 and 2009 by specific programme.

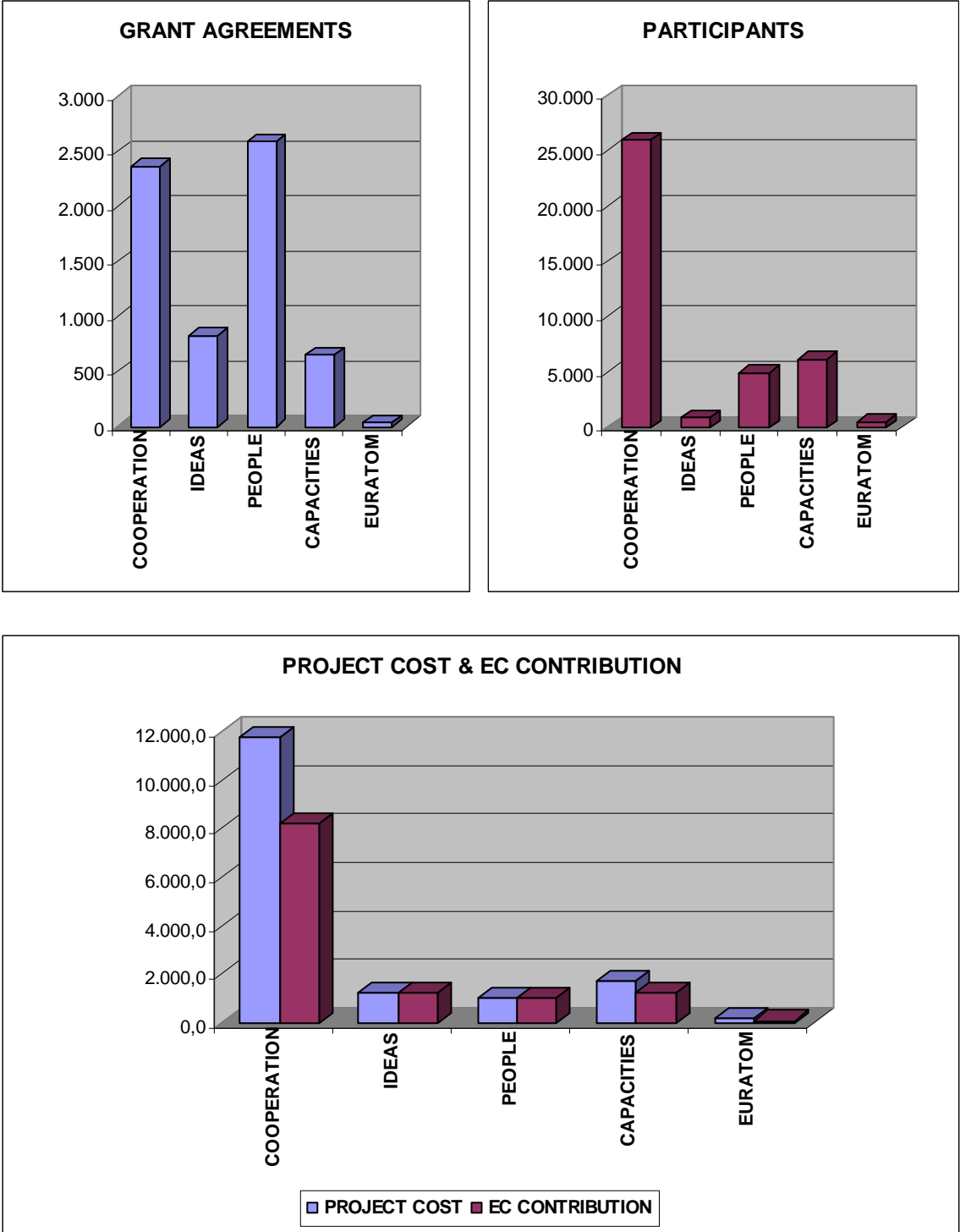


**1.2.1.3 Signed grant agreements**

As it is explained in the introductory paragraph of this section, given the volatile picture of the statistics on grant agreements due the continuous update of the database, it is deemed more informative to examine the cumulative situation, as presented in figure 5 below (see also table B4 in annex B).

For the concluded calls with closure dates in 2007-2009 as of April 2010, 6.483 grant agreements have been signed, which involve 38.691 participants and will be funded by the Community with €11,9 billion.

**Figure 5:** Numbers of FP7 signed grant agreements, participants and amounts of project costs and Community financial contribution in € million during the first three years of FP7 implementation (as of April 2010).



### **1.2.2 Participation by funding scheme**

Data on FP7 participation are conventionally aggregated in the CORDA database according to the following groups of funding schemes:<sup>4</sup>

- Collaborative Projects, including combinations of Collaborative Projects and Coordination and Support Actions (CP/CP-CSA)
- Networks of Excellence (NoE)
- Coordination and Support Actions (CSA)
- Marie Curie Actions (support for training and career development of researchers), Research for the Benefit of Specific Groups, and European Research Council (support for frontier research) (MC/BSG/ERC)

Similarly to the previous years, in 2009 Collaborative Projects made up by far the largest part of FP7 in retained proposals both in terms of total numbers of applicants (49,4%) and of requested Community contribution (71,2%), while Marie Curie Actions, BSG and the ERC have the highest share of retained proposals – more than two thirds of the total (2.271 or 69,1%). The share of the Networks of Excellence funding scheme remains very low, with only 16 new retained proposals (14 of which in the thematic area of Information and Communication Technologies) involving 209 applicants and a corresponding Community contribution of €73,9 million.

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<sup>4</sup> It should be noted that this conventional grouping is slightly different from that followed in the previous years in that ERC related actions are grouped now together with MC and BSG actions.



**Figure 6:** Numbers of retained proposals, numbers of applicants and amounts of requested Community financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 by funding scheme.

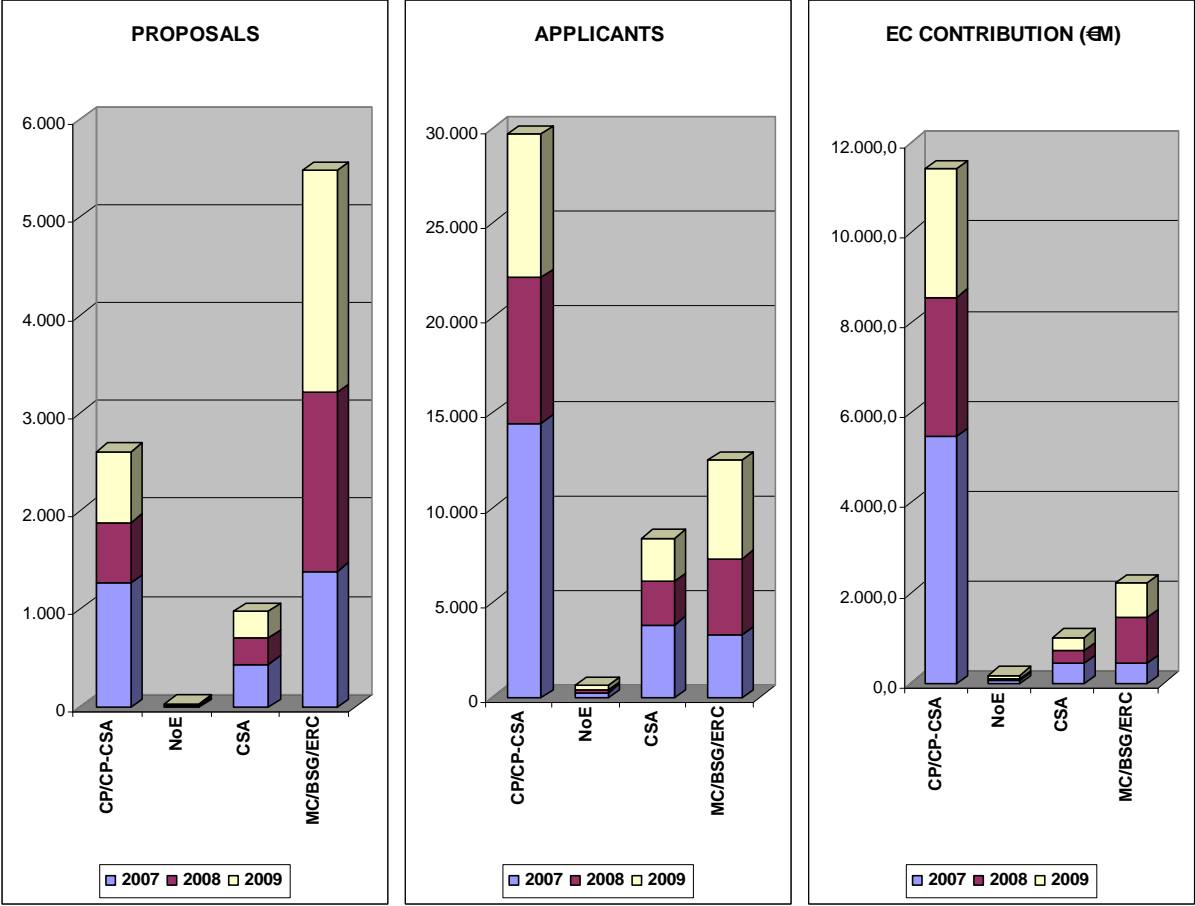
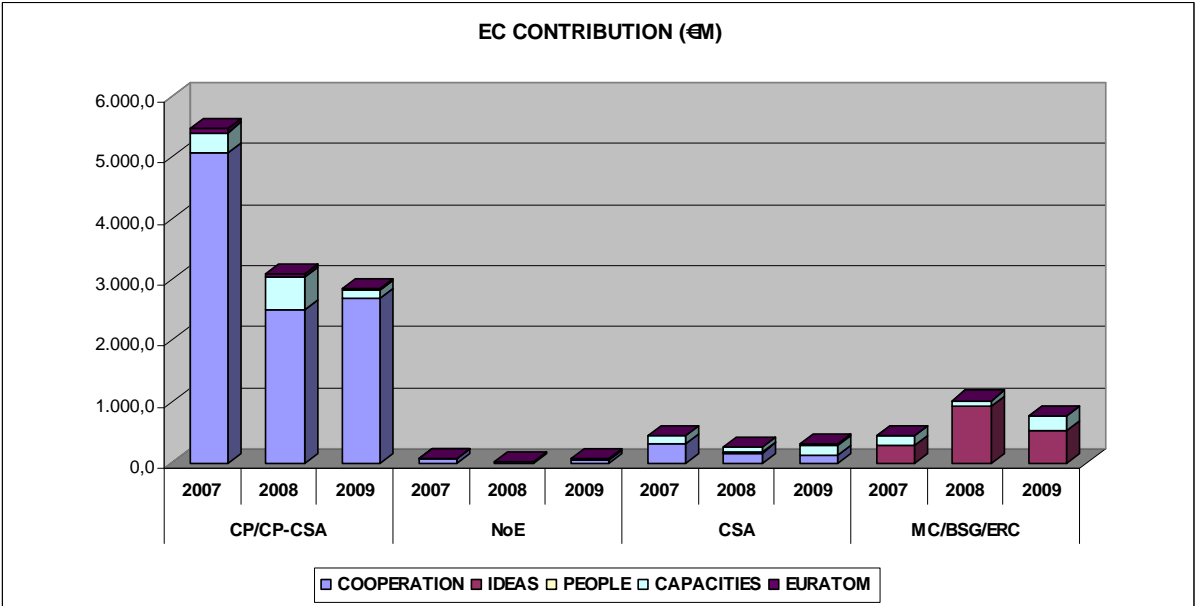
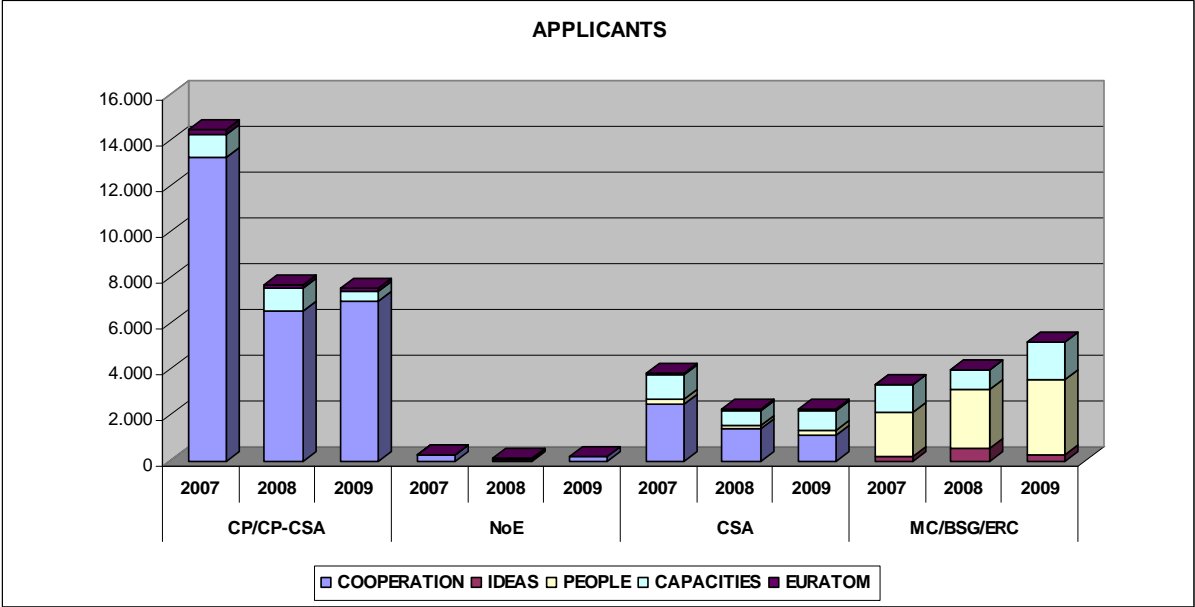


Figure 7 below presents a breakdown of the numbers of applicants and amounts of requested Community contribution (in € million) in retained proposals in 2007, 2008 and 2009 by specific programme and funding scheme.

**Figure 7:** Numbers of applicants and amounts of requested Community financial contribution in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 by funding scheme and specific programme.



**1.2.3 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)

In terms of numbers of applicants in 2009, similarly to the previous years, higher and secondary education institutes are the main beneficiaries of FP7, accounting for more than a third of applicants (5.807 or 38%) in retained proposals.

In terms of requested Community funding in retained proposals, the biggest beneficiaries in 2009 are again education institutes (HES) and private for profit organisations (PRC) with similar shares (29% of total), closely followed by research organisations (REC) (23% of total).

**Figure 8:** Numbers of applicants and amounts of requested Community financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 by type of organisation.

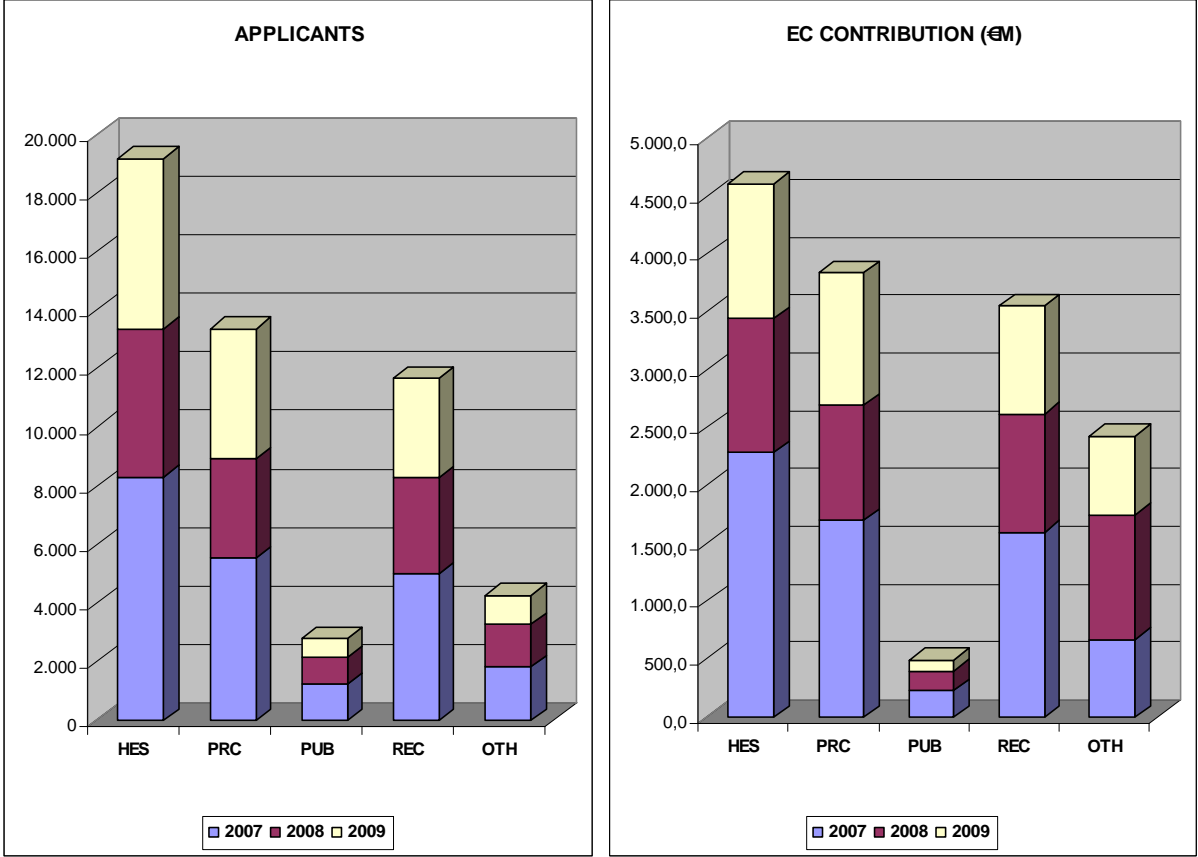


Figure 9 below presents a breakdown by type of organisation and by specific programme of the numbers of applicants and amounts of requested Community contribution (in €million) in retained proposals in 2007, 2008 and 2009.

**Figure 9:** Numbers of applicants and amounts of requested Community financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 by type of organisation and specific programme.

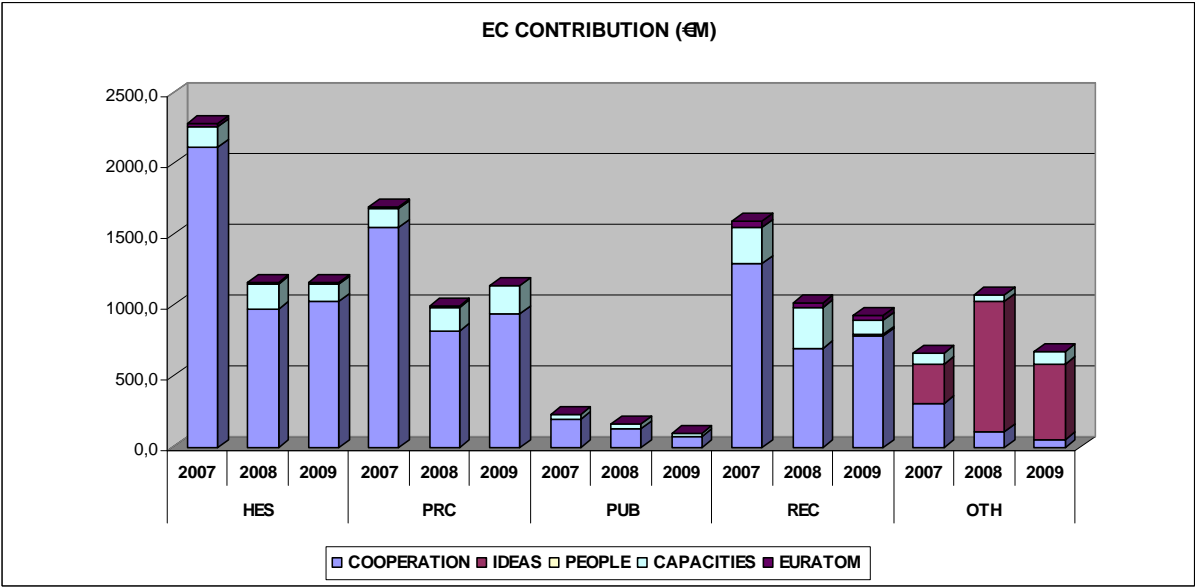
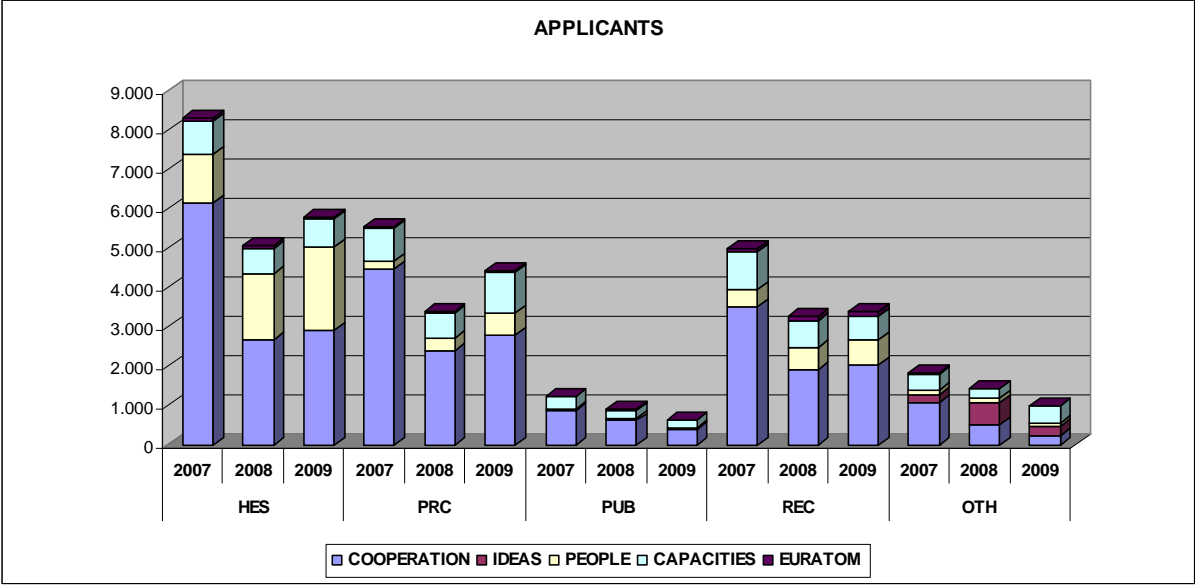
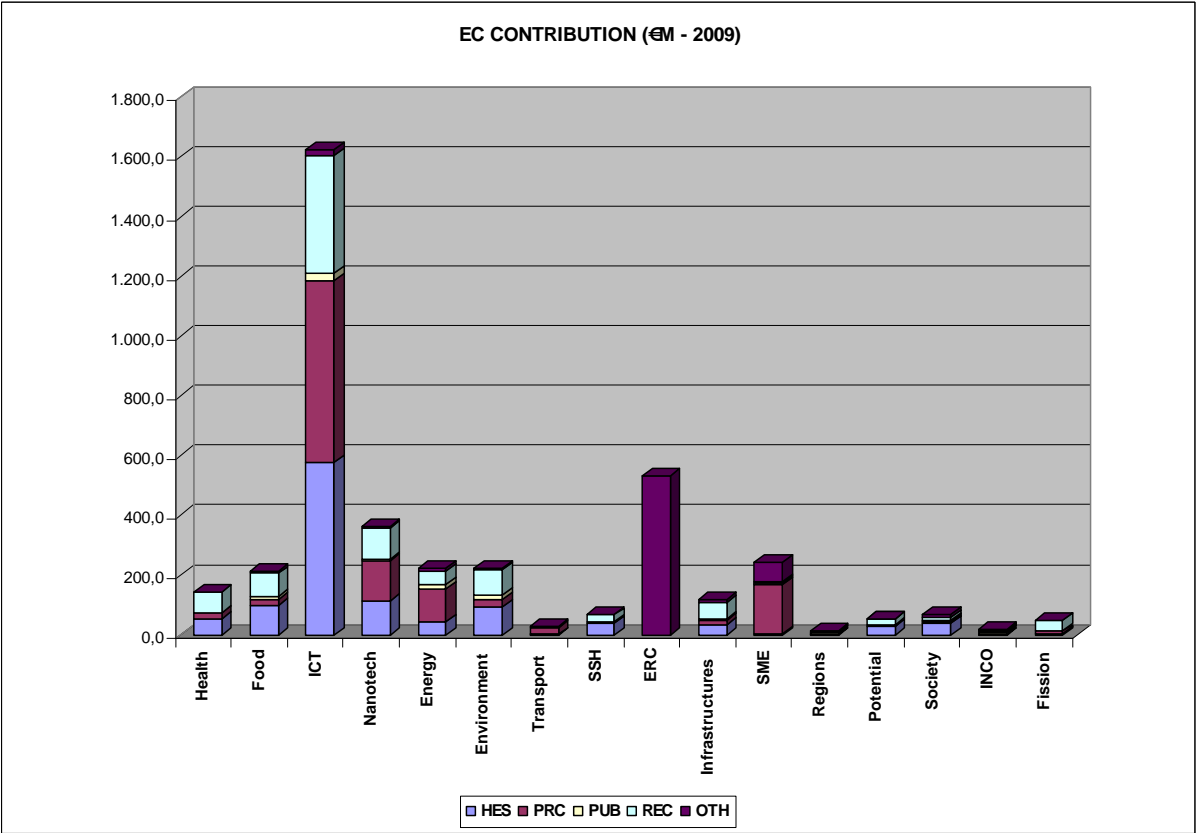
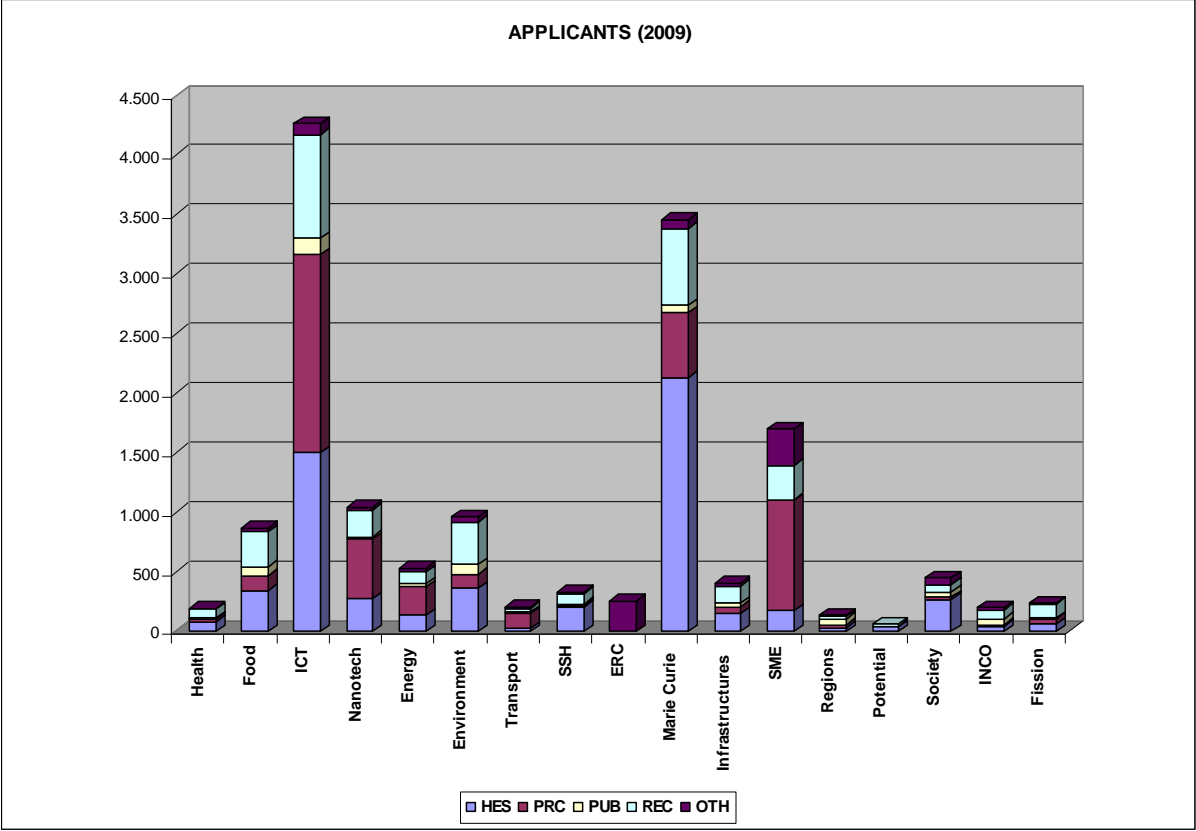


Figure 10 below shows the breakdown by type of organisation and by thematic area of the numbers of applicants and amounts of requested Community contribution (in € million) in retained proposals in 2009.

**Figure 10:** Number of applicants and amounts of requested Community contribution in retained proposals for FP7 calls concluded in 2009 by type of organisation and thematic area.



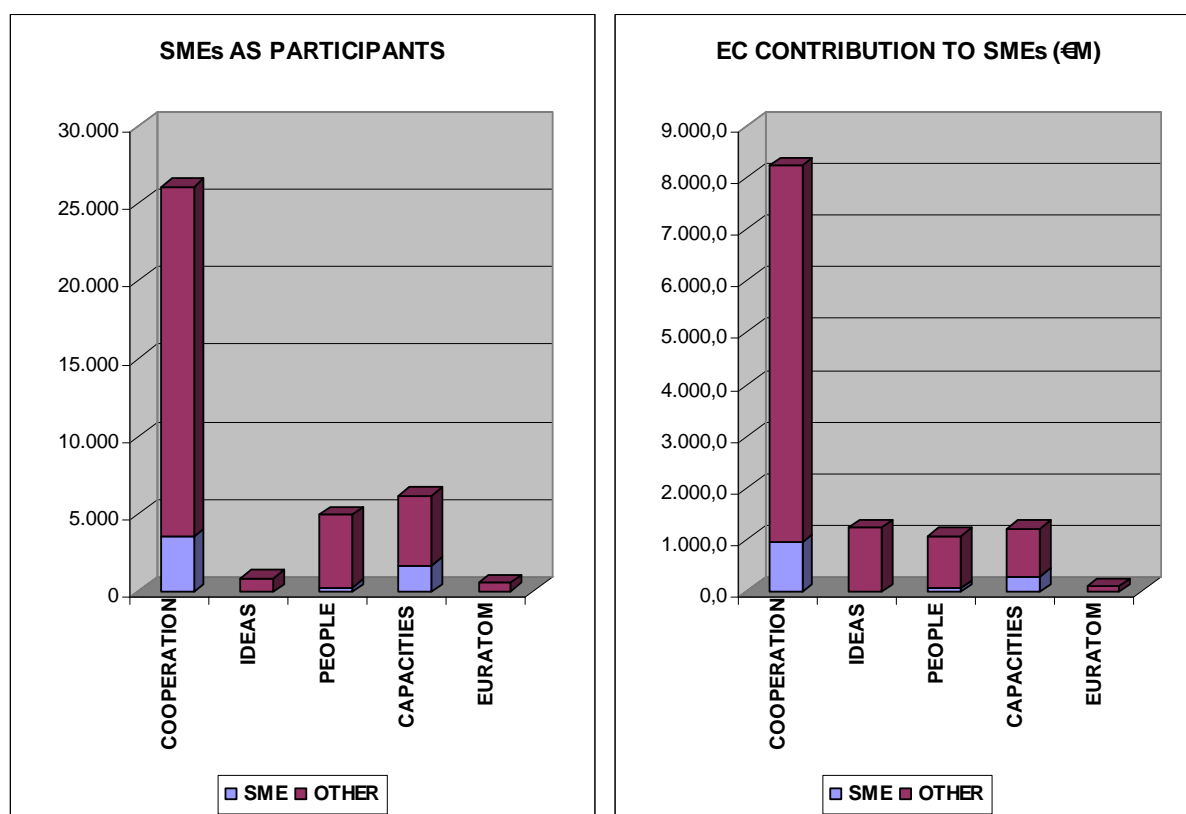
### 1.2.3.1.1 SME participation

Due to the well-known 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 concluded calls with call closure date from 2007 to 2009 as recorded in CORDA at the time of the last data extraction in April 2010.

During the first three years of FP7 implementation SMEs represented 14,5% of all participants in signed grant agreements, and their share of total project costs and requested Community contribution was 11% (€ 1,8 billion) and 11,3% (€ 1,3 billion) respectively. SMEs represent 13,7% of participants and receive 11,7% of Community funding in the specific programme Cooperation (see figure 11 below and table B5 in annex B).

About two thirds (63,6%) of all SMEs that participate in signed grant agreements are under the specific programme Cooperation, and more than a quarter (27,4%) of them under the specific programme Capacities. Their presence in the specific programmes Ideas and Euratom is negligible. In the case of the specific programme People, SME participation varies significantly from one action to another: While individual fellowships rarely involve SMEs, SMEs make up 25% of all participants in IAPP and their budget share is €25,4 million or 33,4% of the total for this Action.

**Figure 11:** Share of SMEs in terms of numbers of participants and amounts of Community financial contribution in grant agreements corresponding to FP7 calls concluded in 2007, 2008 and 2009.



### 1.2.4 Participation by country

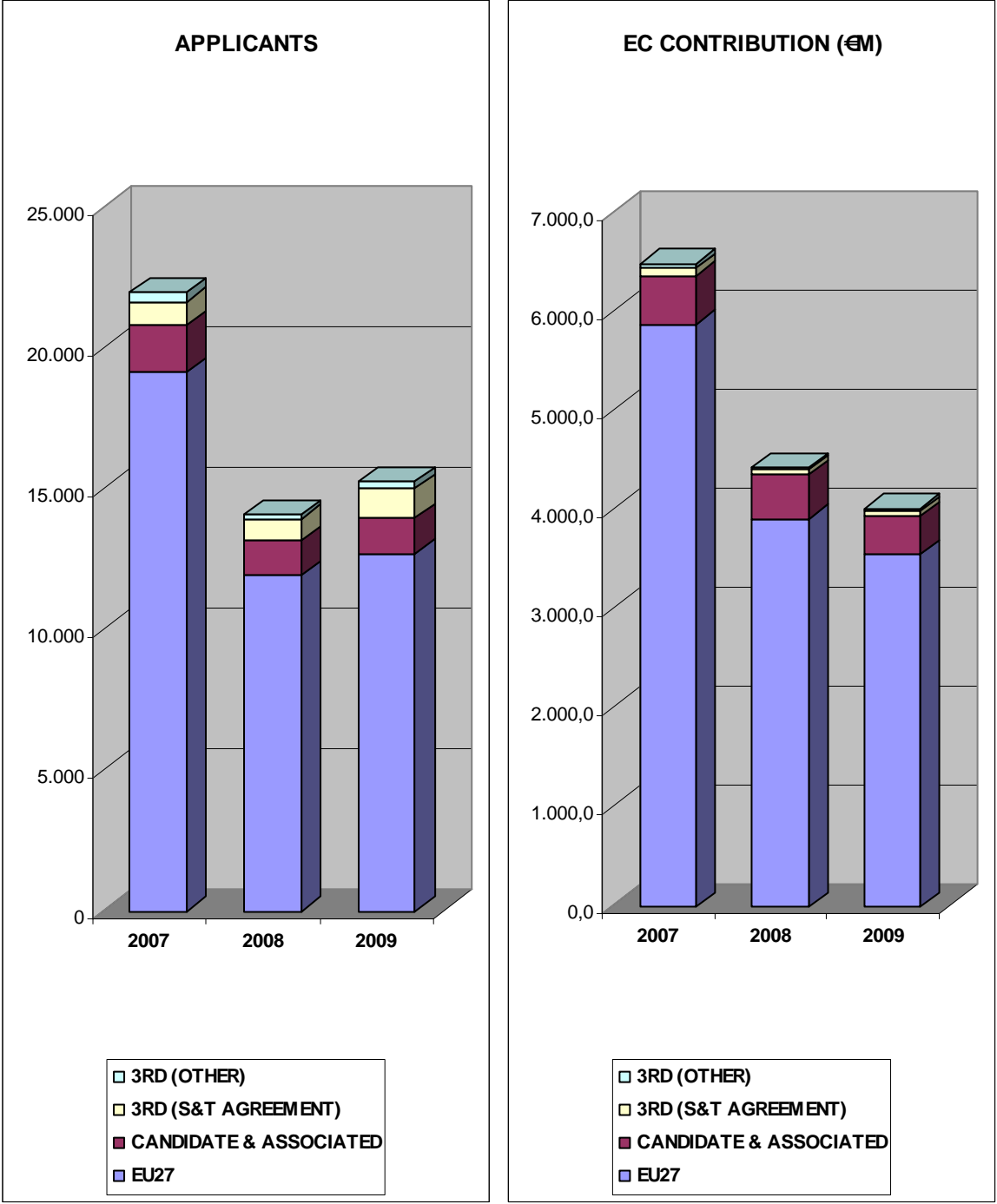
The Framework Programme by conception is a collaborative programme with global outreach open to all researchers and research organisations irrespective of their country of origin. During its first three years of implementation FP7 has attained unprecedented levels of international participation by involving researchers in retained proposals from as many as 162 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 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 12 below shows the shares of applicants and of requested Community financial contribution of each of the above groups of countries.

**Figure 12:** Numbers of applicants and amounts of requested Community financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 by country group.

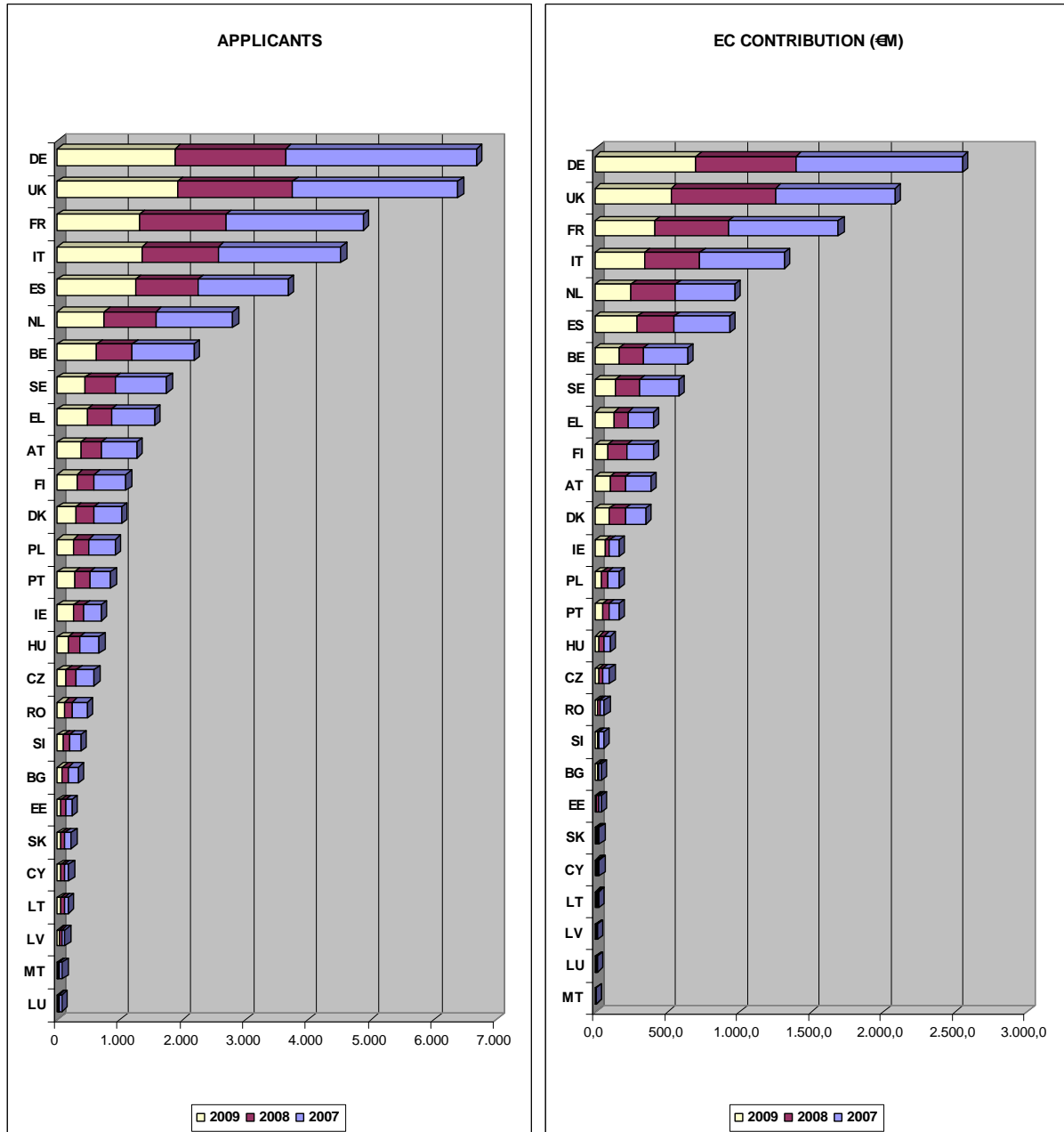




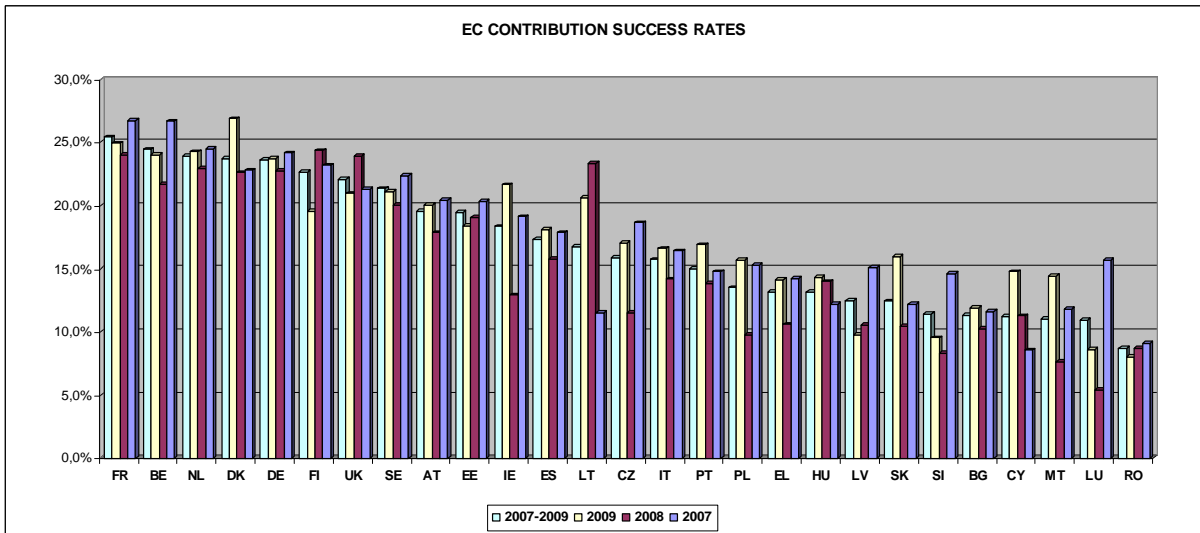
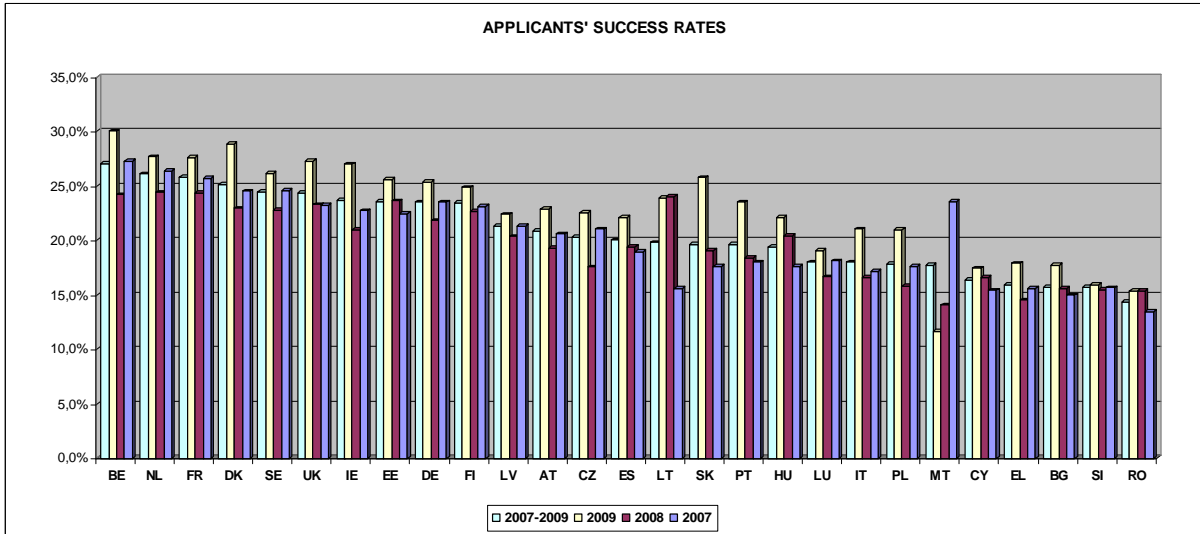
### 1.2.4.1 EU member states

The following graphs present various aspects of the EU member states participation patterns during the first three years of implementation of FP7, as well as the aggregate picture.

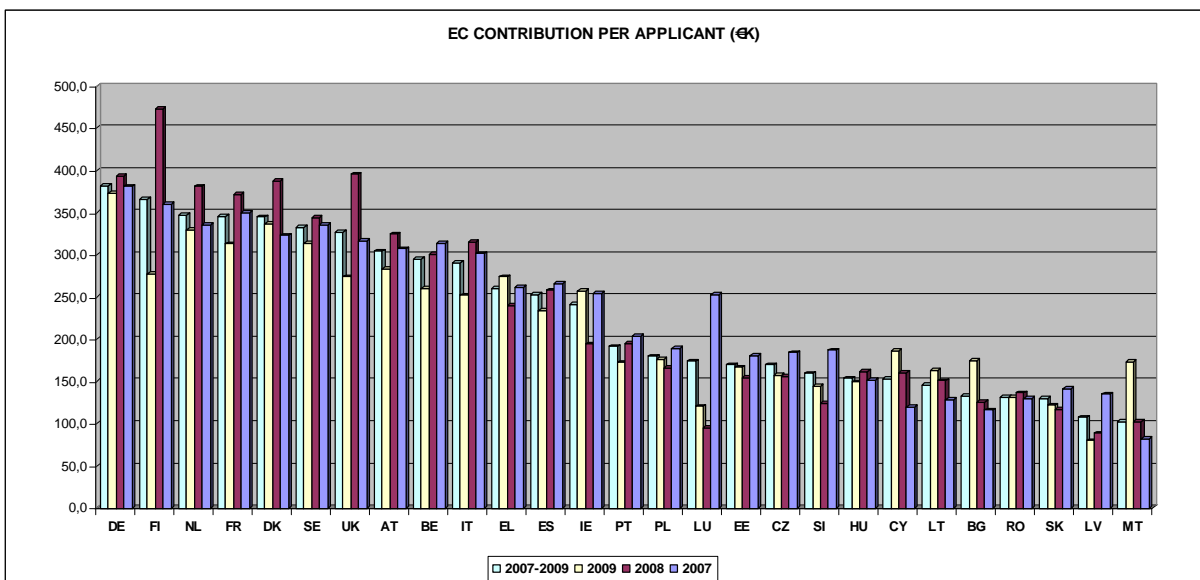
**Figure 13:** Numbers of EU27 applicants and requested Community financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 by EU member state.



**Figure 14:** Success rates of EU27 applicants and requested Community financial contribution for FP7 calls concluded in 2007, 2008 and 2009 by EU member state.



**Figure 15:** Requested Community financial contribution per applicant (in € thousand) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 by EU member state.

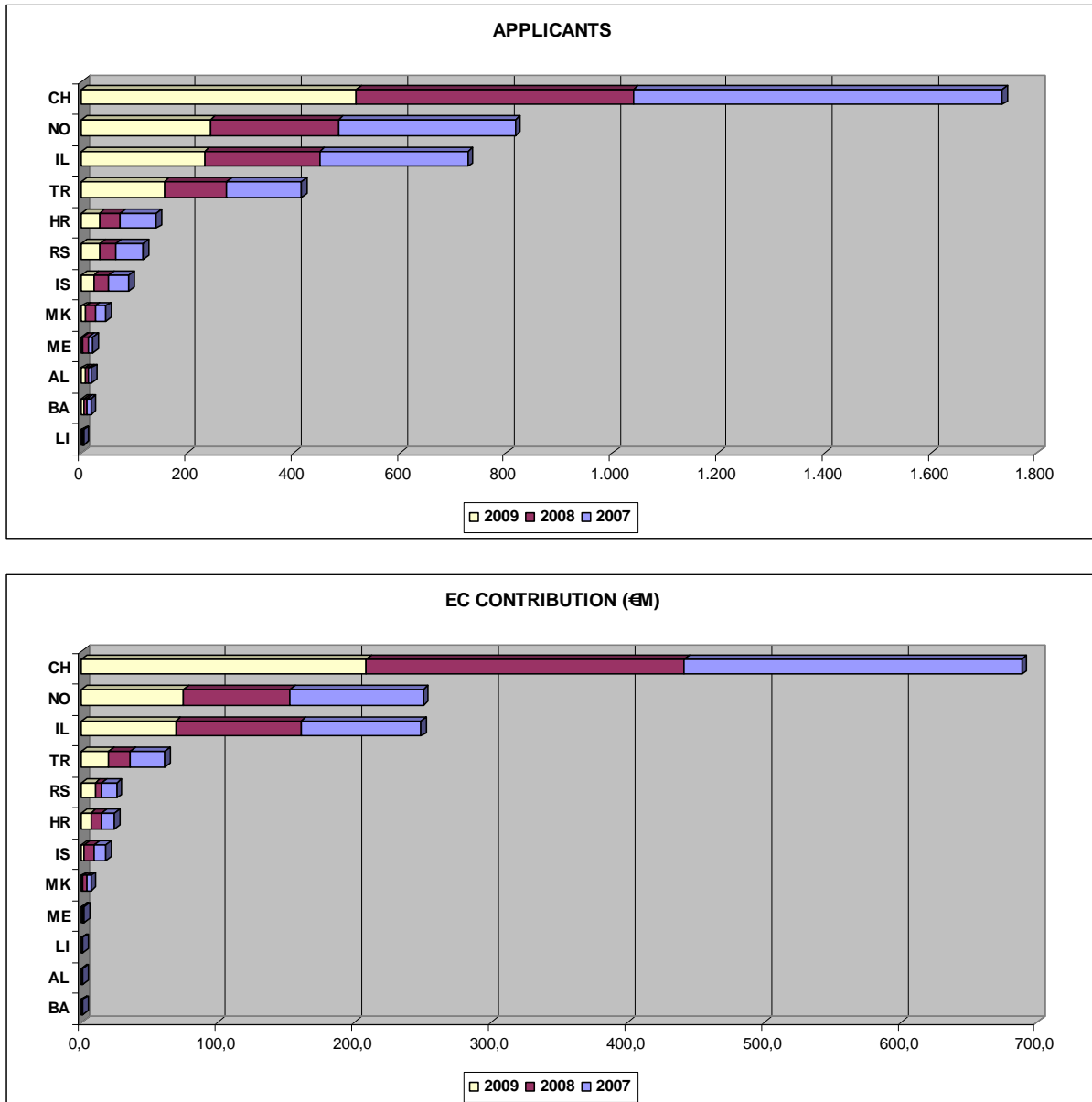


### 1.2.4.2 Candidate and associated countries

Candidate and associated Countries constitute a heterogeneous group,<sup>5</sup> which in 2009 accounted for 8,3% of total applicants in retained proposals and 9,9% of requested Community financial contribution with success rates 23,6% and 18,7% respectively.

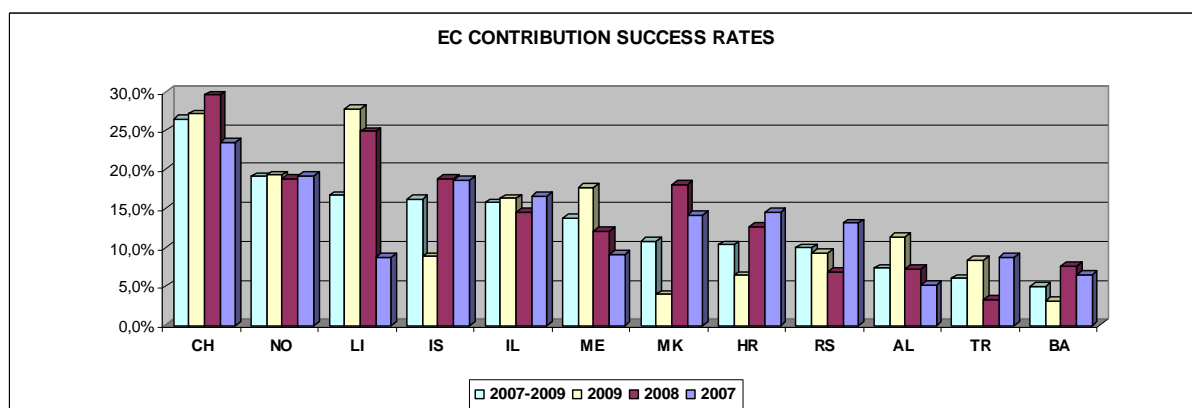
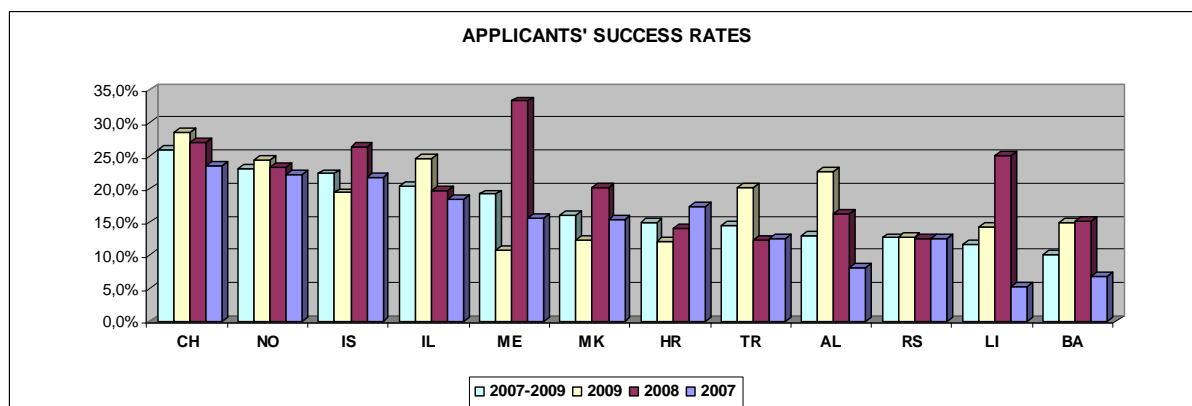
Figures 16, 17 and 18 present the situation in terms of numbers of applicants and requested Community contribution, success rates, and Community contribution per applicant in candidate and associated countries in the years 2007, 2008 and 2009.

**Figure 16:** Numbers of applicants and requested Community financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 for candidate and associated countries.

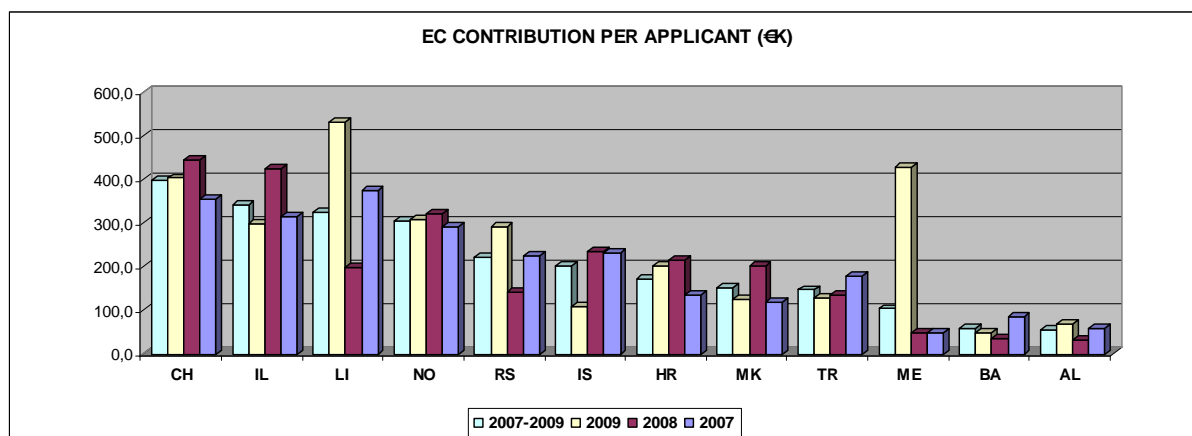


<sup>5</sup> The candidate and associated countries are Albania (AL), Bosnia-Herzegovina (BA), Croatia (HR), Former Yugoslav Republic of Macedonia (MK), Iceland (IS), Israel (IL), Liechtenstein (LI), Montenegro (ME), Norway (NO), Serbia (RS), Switzerland (CH), and Turkey (TR).

**Figure 17:** Success rates of applicants and requested Community financial contribution for FP7 calls concluded in 2007, 2008 and 2009 for candidate and associated countries.



**Figure 18:** Requested Community financial contribution per applicant (in € thousand) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 for candidate and associated countries.



### 1.2.4.3 Third countries

In 2009 there were 1.294 applicants from as many as 103 'third countries' with a total requested Community financial contribution of €74,5 million in retained proposals. These figures represent just 8,5% of the total number of applicants and a mere 1,9% of the total amount of requested Community contribution in retained proposals and correspond to an

average success rate of 27,6% for applicants and of 16,8% for requested financial contribution.

The sub-group of third countries with S&T agreements, which now consists of 19 members,<sup>6</sup> accounted in 2009 for 80% of the total number of third country applicants and for 70,4% of the total requested Community contribution to third countries in retained proposals, with success rates of 28,4% and 16,1% respectively.

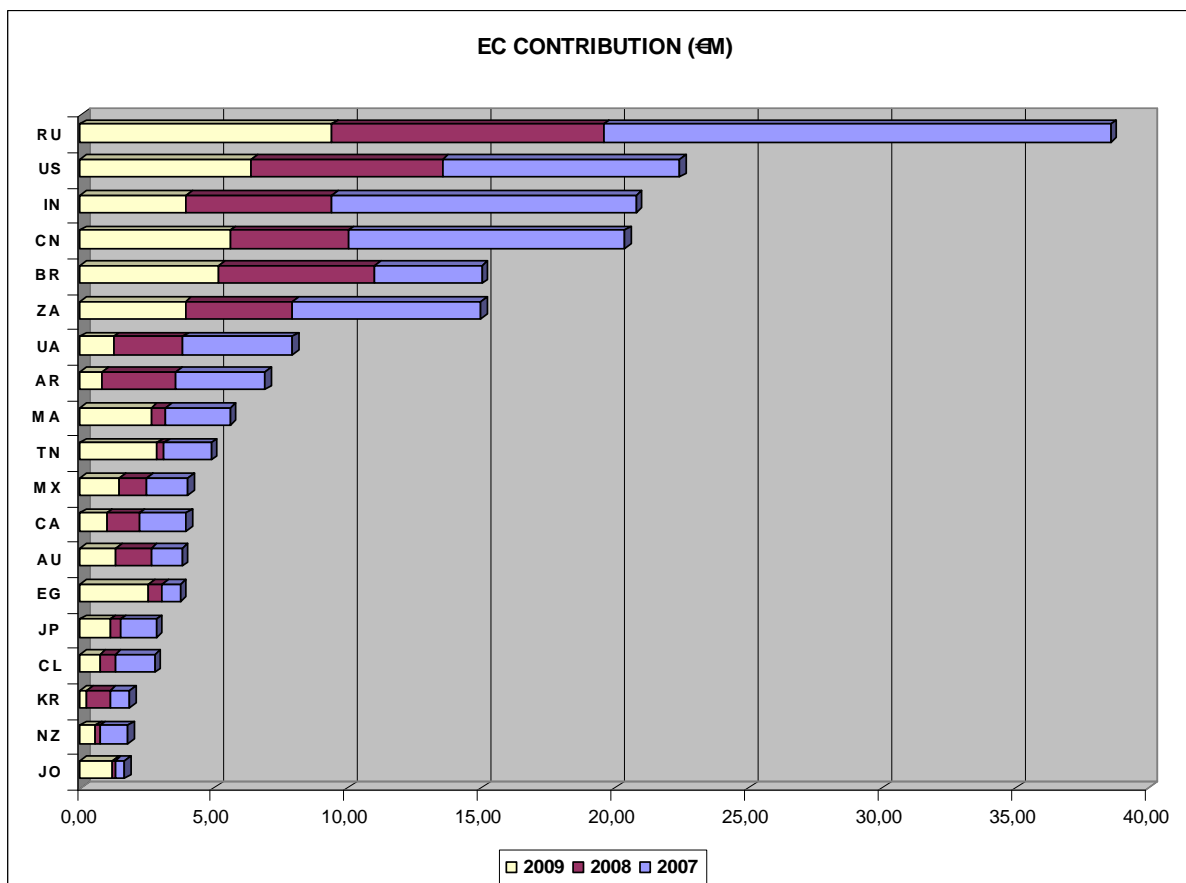
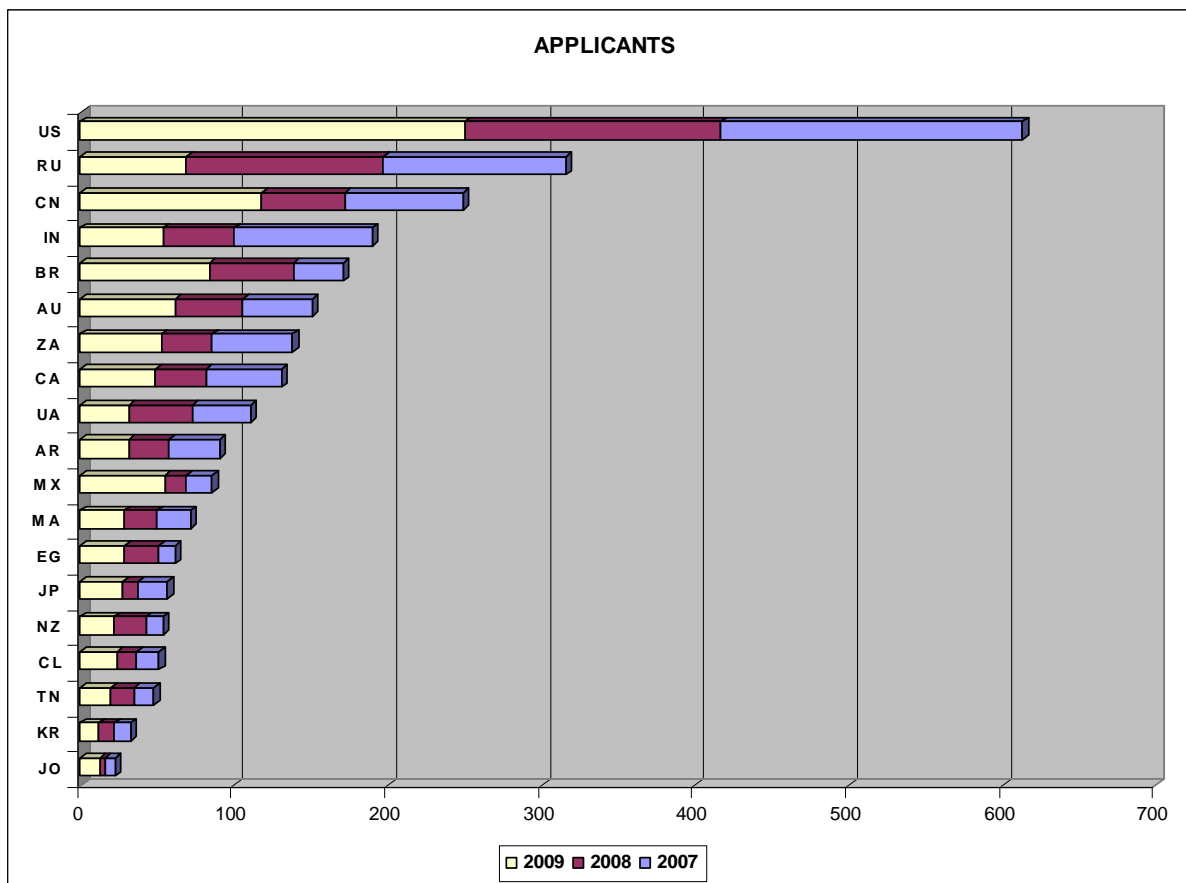
The 10 biggest third country participants in 2009 in terms of numbers of successful applicants have been the USA, China, Brazil, Russia, Australia, Mexico, India, South Africa, Canada, and Argentina (in descending order). In terms of Community financial contribution the 10 biggest beneficiaries (in descending order) have been Russia, USA, China, Brazil, India, South Africa, Tunisia, Morocco, Egypt, and Mexico. All of these countries have S&T agreements with the EU.

Figures 19, 20 and 21 below present the situation of the 19 third countries with S&T agreements in terms of numbers of applicants and requested Community financial contribution (in € million) in retained proposals, the corresponding success rates and the Community financial contribution per applicant (in €thousand).

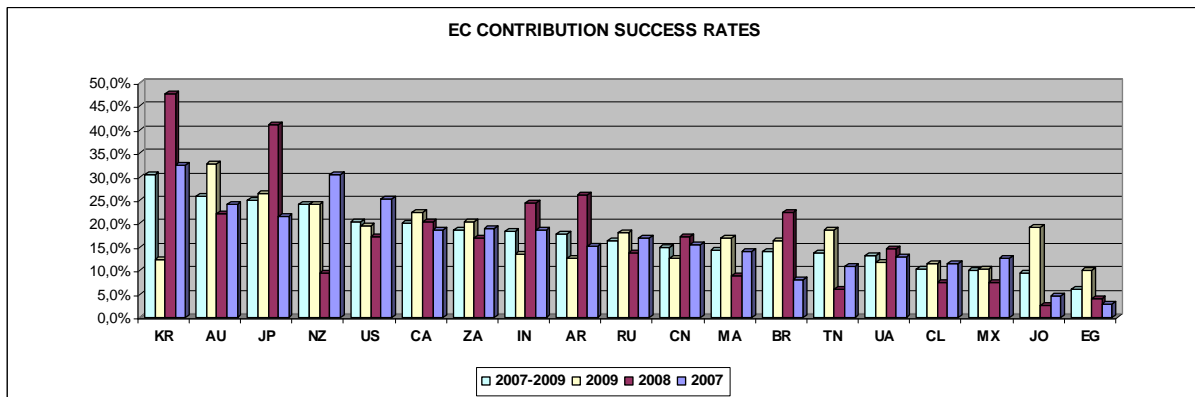
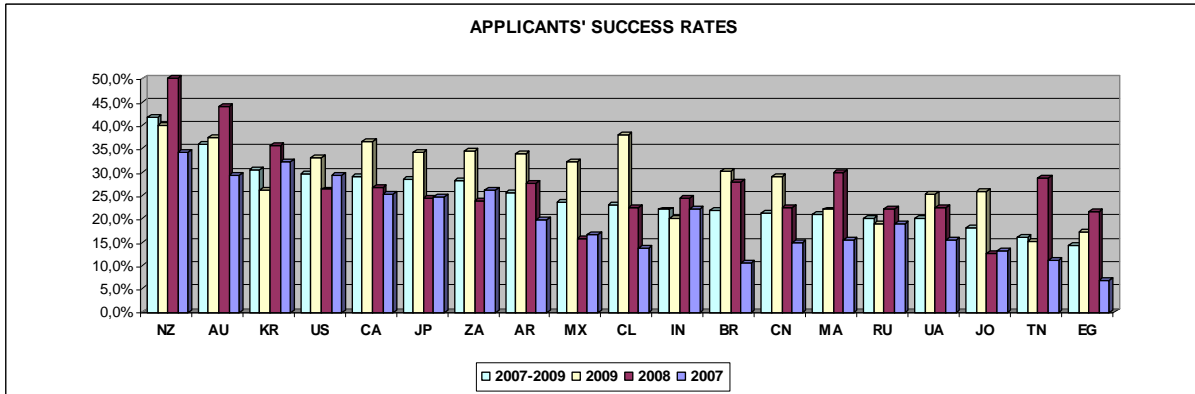
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<sup>6</sup> Argentina (AR), Australia (AU), Brazil (BR), Canada (CA), Chile (CL), China (CN), Egypt (EG), India (IN), Japan (JP), Jordan (JO), Mexico (MX), Morocco (MA), New Zealand (NZ), Russia (RU), South Africa (ZA), South Korea (KR), Tunisia (TN), Ukraine (UA), USA (US).

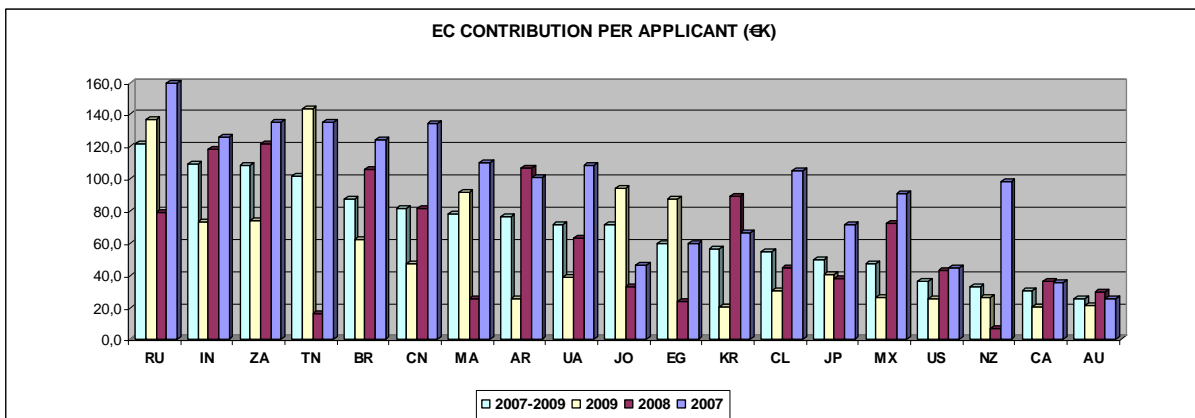
**Figure 19:** Numbers of applicants and requested Community financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 for third countries with S&T agreements.



**Figure 20:** Success rates of applicants and requested Community financial contribution for FP7 calls concluded in 2007, 2008 and 2009 for third countries with S&T agreements.



**Figure 21:** Requested Community financial contribution per applicant (in € thousand) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 for third countries with S&T agreements.



### 1.3 Gender equality and 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 Communities.<sup>7</sup> The Commission's stated aim was to achieve at least a 40%

<sup>7</sup> European Commission (1999): Communication "Women and Science: Mobilising women to enrich European research", COM(1999)76. Brussels.

representation of women in Marie Curie scholarships, 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 currently also valid for FP7.

### 1.3.1 Patterns of women participation as contact persons 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. Data of this type in the thematic area Information and Communication Technologies are not included in the CORDA database.<sup>8</sup>

At the moment of data extraction the database contained an estimated total of 122.129 individual project participants with assigned contact person roles whose gender identity has been registered in the database, of which 31.165 or 25,5% were women. Of all individuals having a contact person role in coordinating organisations, 29,4% (7.277) are women; in participating (non-coordinating) organisations the corresponding share of women is 24,5% (23.888).

About a fifth (20,5%) of all individuals characterised as *contact person for scientific aspects* in signed grant agreements are women. Women represent more than a third (36,1%) of individuals in the category *fellow*, which corresponds to the specific programme People (Marie Curie Actions), and about a fifth (19,4%) of individuals in the category *principal investigator*, which corresponds to lead scientists in ERC grant agreements (specific programme Ideas).

Tables 2 below and B6 in annex B present a detailed breakdown of this data.

**Table 2:** Participation of women in FP7 funded projects in signed grant agreements as percentage of total number of participants by individual role and role of participant organisation in the project.

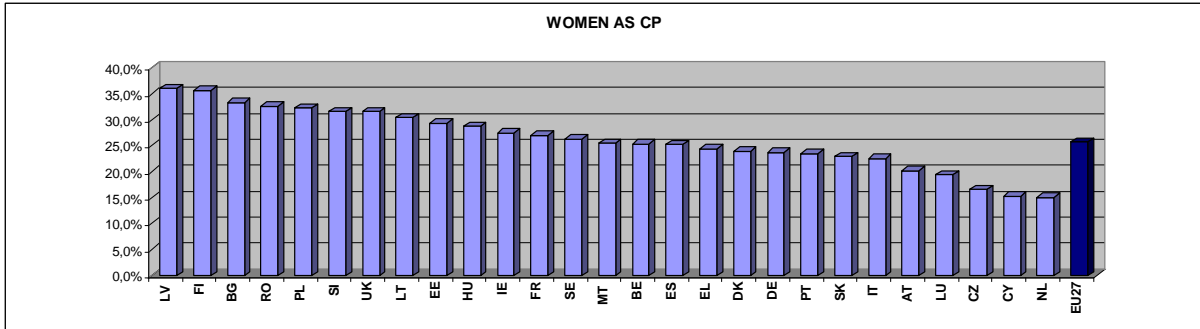
ROLE	COORDINATOR	PARTICIPANT	ALL
Contact person	40,4%	33,7%	34,9%
Contact person for scientific aspects	19,5%	20,6%	20,5%
Principal investigator	-	-	19,4%
Fellow	-	-	36,1%
Contact person for legal aspects	45,2%	39,1%	40,4%
First administrative officer	18,8%	14,1%	14,9%
Secondary administrative officer	27,6%	22,9%	23,8%
Total	29,4%	24,5%	25,5%

Figures 22 and 23 present the participation shares of women in contact person roles in FP7 funded projects (in signed grant agreements from 2007 to 2009) by country of origin of the participating organisation for the group of EU member states.

<sup>8</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.



**Figure 22:** Participation share of women in contact person roles in FP7 signed grant agreements by country in EU27.



**Figure 23:** Participation share of women in contact person for scientific aspects, fellow and principal investigator roles in FP7 signed grant agreements by country in EU27.

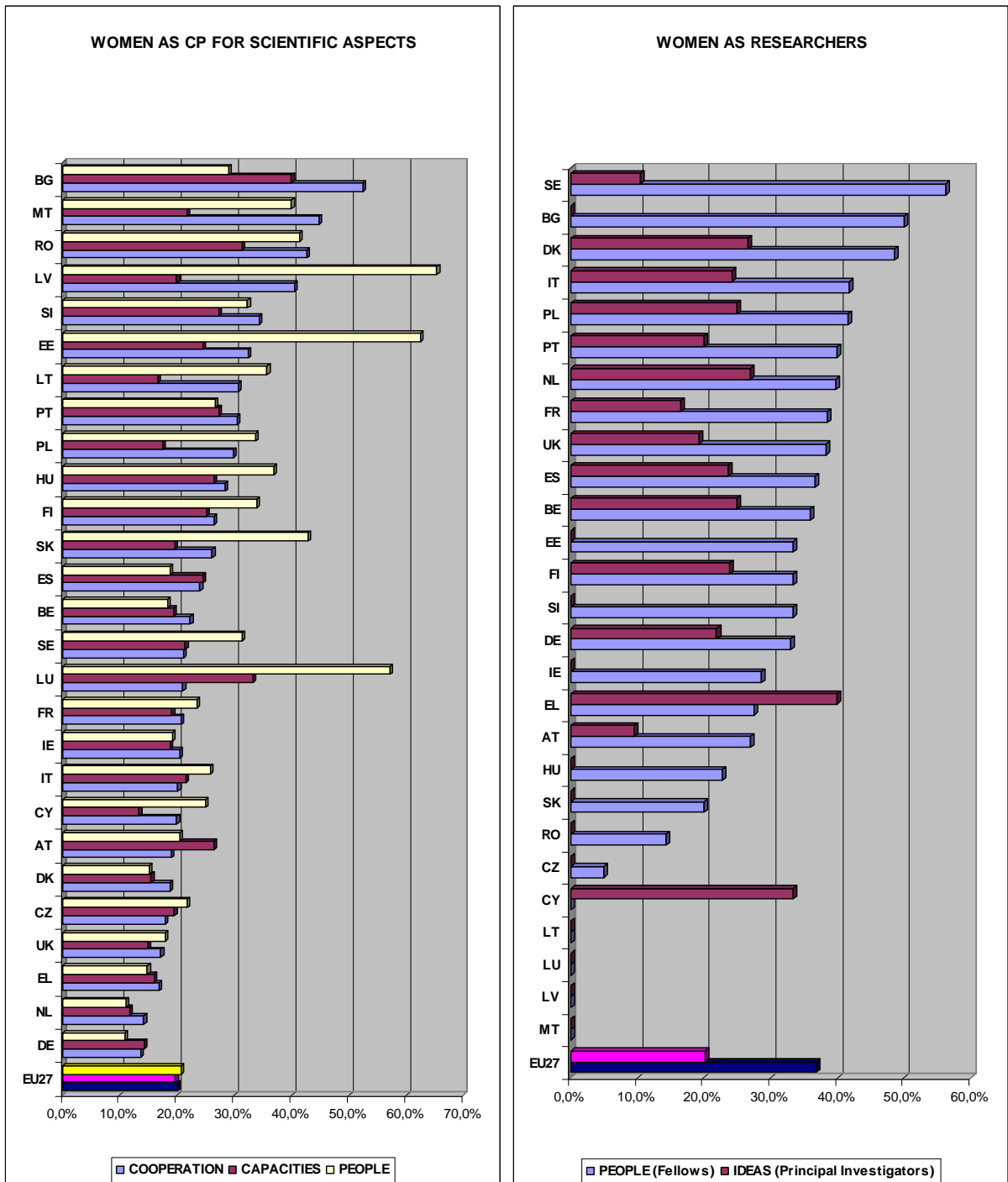
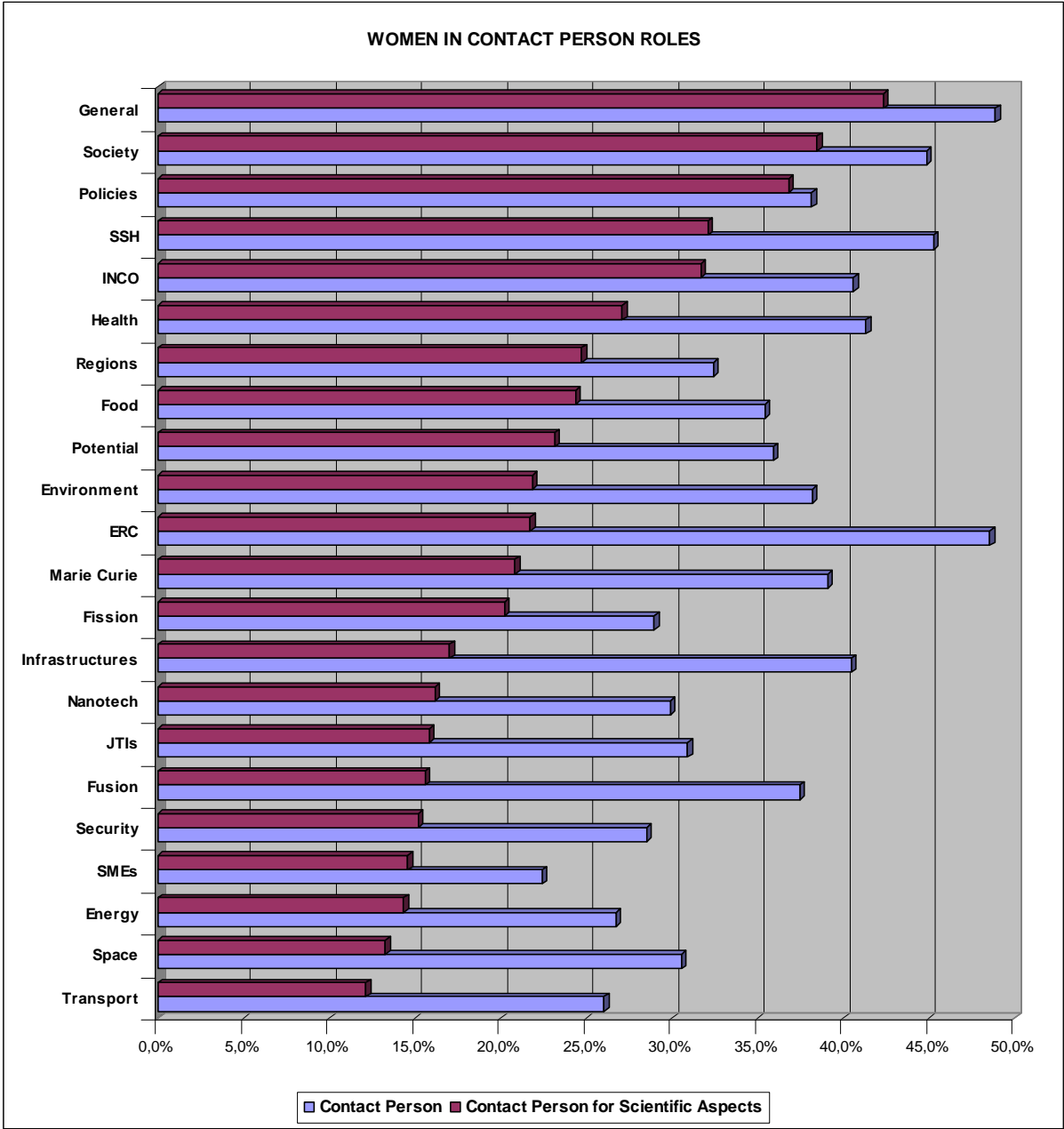


Figure 24 presents the participation share of women in contact person roles in FP7 funded projects (in signed grant agreements from 2007 to 2009) by thematic area. It is interesting to observe the considerable variation of female participation shares among different thematic areas, which ranges from 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 less than a fifth in Euratom activities, Nanosciences, Nanotechnologies, Materials and new Production Technologies, Energy, Space and Transport.

**Figure 24:** Participation share of women in contact person and contact person for scientific aspects roles in FP7 signed grant agreements by thematic area.



**1.3.2 Women participation in FP7 advisory groups, panels and committees**

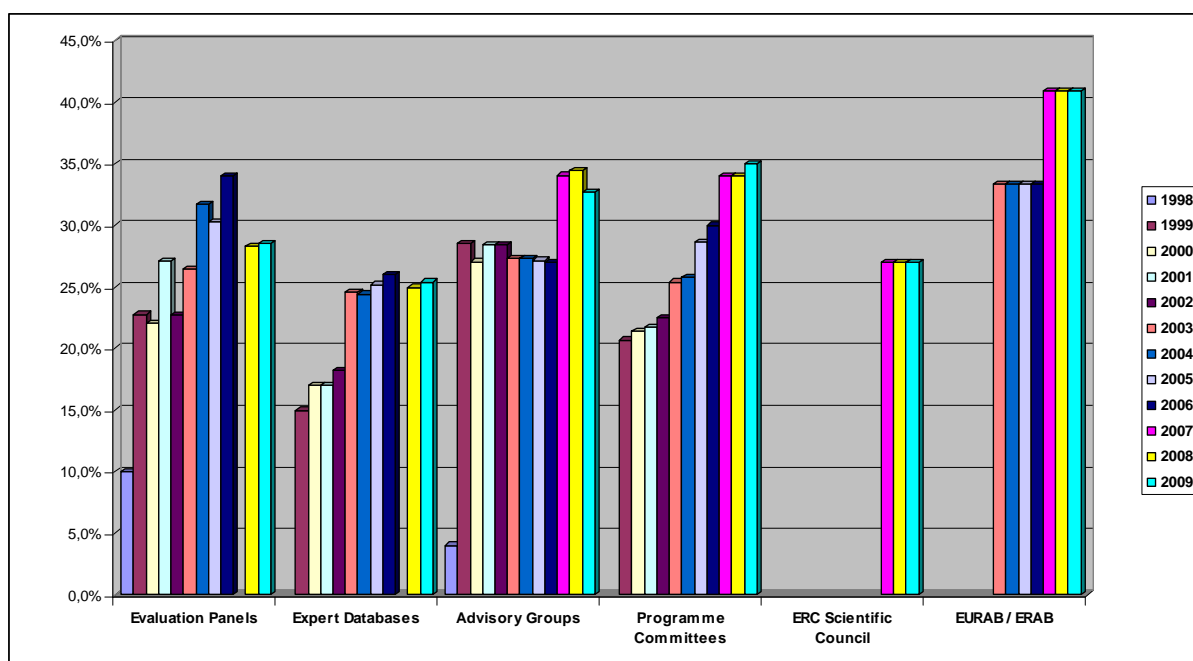
By the end of 2009, 25,4% of the evaluation experts registered in the FP7 experts' database (or 19.377 out of a total 76.218 entries), and 28,5% of the registered FP7 evaluation experts with at least one participation in evaluation panels (or 3.556 out of 12.467) were women. The share of women participation in FP7 experts' database and FP7 evaluation panels remains, therefore, at similar levels as in the past years.

Following a reduction of the number of the initially 16 Advisory Groups and a membership renewal in most groups in 2008, the percentage of women in the 11 Advisory Groups managed by DG RTD increased to 38,5%. These numbers are still below the 40% target, but they show an improvement in comparison to previous years. However, the percentage of women in all FP7 Advisory Groups, including those managed by other DGs, was 32,7% at the end of 2009, and hence slightly lower than in previous years.

The percentage of female members of FP7 Programme Committees in 2009 was 35%. In the same year female members of the ERC Scientific Council represented 27% of the total. 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 40,9%, which is higher than the respective figure (33% until 2006) for the European Advisory Board (EURAB) – the high level advisory board established for FP6.

Figure 25 below presents in more detail the shares of women participation in groups, panels and committees from FP4 to FP7 (1998-2009).

**Figure 25:** Participation share of women in advisory groups, panels and committees (FP4, FP5, FP6, FP7).



## 1.4 Quality assessment of 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 third year of FP7 was carried out. Similar surveys had already been conducted in 2007 and 2008. The data collected for the third year of FP7 confirm the positive picture of the quality of the evaluation process. Key figures are presented in table 3 below.

**Table 3:** Key figures of evaluators' survey 2009.

EVALUATORS' SURVEY	2007	2008	2009
Experts invited to participate	3.630	3.492	4.612
Responses received	2.281	1.682	2.373
Respondents finding the quality of the evaluation overall <i>satisfactory to excellent</i>	96,1%	97,6%	97,6%
Respondents rating the quality of the evaluation overall <i>excellent</i>	22,1%	26,5%	29%
Respondents, having previously evaluated research proposals for national or international research funding schemes, finding the EU evaluation process <i>better or much better</i>	52,6%	61,3%	61,0%

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 96,6% of the respondents.

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

- *Available time:* Still a large majority of the respondents (79%) 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 (18,5%) thought they had too little or totally insufficient time for this part of the evaluation, which is slightly more than what was recorded in 2007 and 2008.
- *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, 47% thought this was the most difficult to apply, which represents an increase compared to previous years (2007: 31%; 2008: 43%).
- *Conflicts of interest:* 25% 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, 92% (same as in 2008) 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. An overwhelming majority of the experts (97%) rated the overall organisation of the evaluation positively. A significant part of these respondents (47%) rated it as 'excellent' (2008: 43,9%; 2007: 29,9 %).

## 1.5 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.

Following the work of the "submission to ranking" working group, redress guidelines were drafted, setting out the more operational aspects of the new procedure. In particular:

- The redress committee meets in various configurations according to the different calls for proposals. Directorates nominate officials for jury service.

- The configurations work independently, and deliver their advice to the responsible directors. They may take account of possible comments from the director, and from the redress office (see below).
- A redress office (RO), located in unit RTD A1, 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>9</sup>

Table 4 presents the results of the redress procedure for FP7 calls launched in 2007-2009 (except ERC calls).

**Table 4:** Key figures for redress procedure in 2007-2009.

REDRESS PROCEDURE	2007	2008	2009	2007-2009
Proposals received	17.418	9.962	11.528	38.908
Redress requests received	772	398	431	1.601
Redress cases upheld but not leading to re-evaluation*	41	25	1	67
Redress cases leading to re-evaluation	8	9	2	19
Redress cases leading to re-evaluation (% of proposals received)	0,046%	0,090%	0,017%	0,049%

\* 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.

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 2007, the ERC put in place redress procedures, following the model established for FP7, but with a separate Ideas configuration of the redress committee. The ERC now has its own formal procedure, including its own redress committee and guidelines. Information on 2007-2009 cases can be found in section 2.1.1.

## 1.6 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 annex A (Ethical Review Procedures) of the "Rules for submission of proposals, and the related evaluation, selection and award procedures" (*Version 3, 21 August 2008, COM (2008)4617*).

### 1.6.1 Ethics review process

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

<sup>9</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

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.

#### **1.6.2 Ethics audit**

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 to deal with the ethics issues that are raised by their work and if necessary take corrective measures.

#### **1.6.3 Impact assessment procedure**

In 2010, the Ethics Review Sector of DG RTD will organise specialised workshops and undertake all necessary activities and initiatives so as to assess the impact of the ethics review and audit procedures upon the FP7 scientific community, the host institution structures and the competent national authorities and relevant ethics committees. Selected FP7 projects might be asked to participate on a voluntary basis. 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.

#### **1.6.4 Ethics review helpdesk**

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.

Table 5 below presents an overview on ethics reviews organised during the first three years of FP7.

**Table 5:** Key figures for ethics reviews in 2007-2009.

ETHICS REVIEWS	2007	2008	2009	2007 - 2009
Number of ethics reviews organised	245	294	232	771
Projects stopped as a result of the ethics review	0	0	0	0
Project proposals found to have insufficient safeguards in place, requested to modify project following contractually binding requirements	44	82	122	248
Proposals flagged for ethics audit	N/A*	7	12	19
Experts having participated in ethics review process	79	95	103	277

\* 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 2009 *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 *ERC*, *Health* and *Food* themes. Table 9 provides more details.

**Table 6:** Ethics reviews by FP7 thematic area in 2009.

ETHICS REVIEWS IN 2009 BY FP7 THEMATIC AREAS	
Environment	4
Food, Agriculture and Fisheries, Biotechnology	35
Health	39
ICT (Information and Communication Technologies)	21
Nanosciences, Nanotechnologies, Materials and new Production Technologies	13
Security	11
SMEs (Small and medium enterprises)	4
Transport	4
Ideas (ERC)	48
People (Marie Curie Actions)	52
<b>Total</b>	<b>232</b>

## 1.7 Dissemination activities

### 1.7.1 Internet

The European Commission Research web site on EUROPA provides up-to-date information on the latest decisions and latest advances in European Research. According to DIGIT/DG COMM statistics, the entire research web site on EUROPA, including pages of historical interest (e.g. FP5, FP4), currently has over 50.000 pages. It should be noted however, that there is some undercounting due to various reasons (e.g. to counting dynamic sites where parameters determine the page content as one page). Key figures for 2009, compared to 2008 and 2007 are shown below.

**Table 7:** EUROPA usage statistics (DIGIT/DG COMM statistics).

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

For 2009, Google monitoring had been set up for a selection of 49 current active sites on the European Commission Research web site on EUROPA. According to Google Analytics, these 49 sites comprise over 75.000 pages that were visited on average by 126.000 visitors per month. In 2009 there were 2,1 million visits leading to 6,1 million page views. There is, however, some overcounting (e.g. due to counting the same page twice, if parameters appear in a different order).

CORDIS, the Community Research and Development Information Service for Science, Research and Development, is run separately and is designed primarily for current and potential participants in the Framework Programmes. In addition to being the official source of information on FP7, CORDIS is intended to enhance exploitation of research results and to promote the dissemination of knowledge. Key figures for 2009, compared to 2007 and 2008, are shown below.

**Table 8:** CORDIS usage statistics.

CORDIS USAGE STATISTICS		2007	2008	2009
VISITS	Total amounts of visits	40.807.258	16.427.703	7.915.814
	Daily average of visits	111.495	44.884	21.628
PAGES	Total amount of page accesses	73.692.567	41.810.363	32.657.358
USERS	Number of users ( IP addresses)	343.595	294.078	266.396
	With only one visit	60.753	84.178	96.268
	With >1 visit	282.842	209.900	170.128
DOCUMENTS	Number of documents downloaded (correct & incorrect)	7.510.175	4.405.646	4.142.770
	Total size of documents downloaded	2.845,8 GB	2.012,0 GB	2.308,1 GB

CORDIS is using an incremental list of 'identified' robots to filter their activities in order to reflect as much as possible the usage of the CORDIS website by real users. This list was considerably improved as from mid-2008 together with the application of an algorithm that allowed the filtering of all suspicious IPs and user-agents. The absolute level of website activities is stable.

The Participant Portal, operational and accessible by the external world since January 2009, represents an innovative feature in dissemination and communication activities. In 2009, several applications have been integrated within the Participant Portal such as the Unique Registration Facility, the FP7 document service, the IT systems for grant negotiation, handling of amendments, scientific-technical reporting and in early 2010 for financial reporting.

### **1.7.2 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>10</sup> These guidelines address the network architecture, the nomination and recognition process and the operational modalities.

At a central level, one meeting of the NCP Coordinators took place in September 2009. The FP7 Legal and Financial NCPs met three times in 2009, namely in February, in June and in October, and discussed a broad range of issues (e.g. IT systems, negotiation process, audits, certification on the methodology, legal questions related to the FP7 model grant agreement, lump sum on daily allowance, JTIs, Executive Agencies).

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 2009 (see also Sections 1.10 and 3.2) provides some information on the numbers of FP7 information days, organised by NCPs in 2009. In this survey NCP National Coordinators and FP7 Coordinators for Specific Fields were asked to indicate the total number of FP7 information days organised in 2009 by their NCP and to provide an estimate of the total number of attendees at these 2009 information days. 40,3% of the respondents stated that more than 7 information days were organised by their respective NCP. Events cover a broad range from major information days, to medium-sized regional events, to small dedicated seminars and workshops including training days. Several NCPs organise information days for every major call. 5,7% of the respondents did not organise any information day at all. As regards the total number of attendees, 60,2% of the respondents indicated more than 100 attendees for their information days in total.

## **1.8 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. 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 data extraction (April 2010). The sample under consideration here also includes grant agreements that correspond to calls concluded in 2007 and in 2008.

Time-to-grant 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 72% of the total number of retained proposals for concluded FP7 calls so far and, therefore, they provide a reasonably good approximation of the final time-to-grant figures.

Taking into account the above limitations, the average time to grant for the whole FP7 is 350 days (median 335). Unsurprisingly this figure is higher than those reported in the previous

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<sup>10</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).

Monitoring Reports: in 2008 the average TTG was 333 days (median 318); in 2007 the average TTG was 291 days (median 287). The upward trend in TTG statistics does not necessarily imply a deterioration of time-to-grant performance from one year to another but rather it reflects the fact that at the time of reporting in previous Monitoring Reports several lengthier grant agreement negotiations had not been concluded and, therefore, had not been included in the sample on which time-to-grant statistics were based.

For more detailed information on time-to-grant statistics see table B7 in annex B.

## **1.9 Timeliness of experts reimbursements**

For experts, a distinction has to be made between so-called *meeting experts*, i.e. experts without appointment letter, and *experts with appointment letter*, covering evaluators, reviewers, monitoring experts, assessment experts as well as evaluation observers.

The majority of reimbursement procedures for evaluators are being dealt with by the Office for Administration and Payment of Individual Entitlements (PMO). Here, 73,4% of payments in 2009 were on-time. This represents a major improvement compared to the 42,9% of on-time payments in 2008, the second year that PMO was responsible for these payments.

For the programme parts implemented by the REA (approximately 12% of FP7) reimbursement procedures remain within the agency. Here over 90% of payments were on-time.

PMO is in charge of reimbursement procedures for meeting experts. Here, the percentage of on-time payments in 2009 was 79,9% (2008: 29,0%).

DG RTD is in charge of the reimbursement for reviewers, monitoring experts, assessment experts and evaluation observers, appointed by DG RTD. The percentage of on-time payments for these groups of experts in 2009 was 82,6% representing a further improvement compared to 2008 with 73,4% on-time payments for these groups.

## **1.10 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 2009. This year the questionnaire was dispatched to 949 FP7 National Coordinators and FP7 Coordinators for Specific Fields from the 39 EU member states and associated countries; as a result, 211 responses were received from 36 different countries (a response rate of 22,2%). The complete results of the NCP survey are presented in annex C.

The questionnaire, in addition to gathering information on the promotion of FP7 at the national level (see section 1.7.2) and opinions on the simplification of FP7 (see section 3.2), posed questions on FP7 implementation, each covering a different phase of the project cycle. Figure 26 below summarises the results of this specific part of the survey (see also table C1 in annex C for more detailed statistics).

Approximately three quarters of the respondents who gave an opinion rated the *information available on FP7 calls* as either 'good' or 'excellent', highlighting in the free-text comments a significant improvement compared to previous years.

Similar positive patterns emerged when respondents were asked to assess *ethic review procedures*, as well as *equal opportunities for women*, with the only difference being that 'no-opinion' rates were higher.

The procedures for the *evaluation of proposals* were deemed as 'good' or 'excellent' by around 55% of the respondents, with another third rating them as 'satisfactory'.

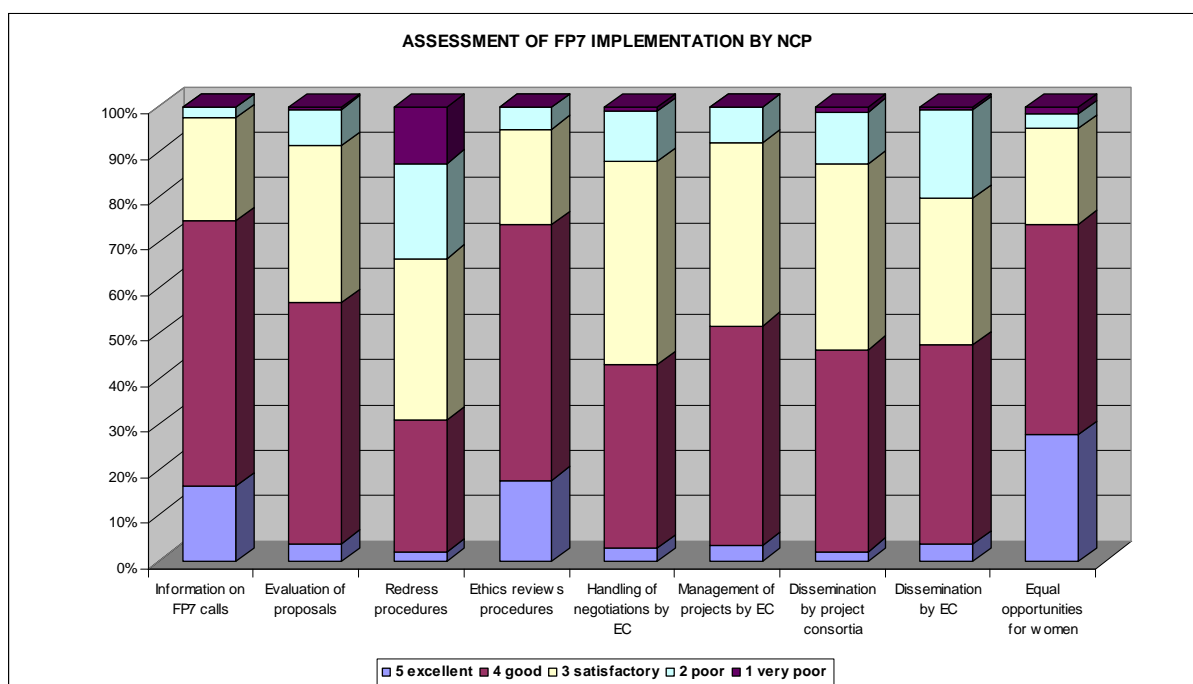
Figures are less favourable with regard to *redress procedures*, which were rated as 'good' or 'excellent' by 20,4% of the respondents and as 'poor' or 'very poor' by nearly 22% of the respondents. In the related comments, NCPs explained that researchers are dissatisfied with the redress system focusing on administrative procedures rather than the content of the evaluation of proposals. It should also be noted that a third of the respondents had no opinion at all on this particular procedure.

The *negotiation procedures* handled by Commission services were deemed as 'good' or 'very good' by nearly 40% of the respondents, the main criticism here being the length of the time to grant.

The rating of the *management of projects by the Commission* was even higher, with more than half of the respondents assessing it as 'good' or 'very good', even though dissatisfaction was expressed in the comments regarding the high turn-over of project officers within Commission services, as well as the heterogeneous interpretation of legal and financial guidelines.

As regards the *dissemination of project findings*, it was acknowledged by those who commented that participants should be more disposed to communicate to the wide public on the findings and results of projects, even after the end of the projects. Commission services were requested to update project databases more regularly. Comments also expressed the regret that contact details of participants who would agree to communicate on their projects and FP7 are hardly available to the public.

**Figure 26:** Assessment of FP7 implementation issues in 2009 by NCPs.



## 2 FP7 IMPLEMENTATION IN 2009 – SPECIAL FOCUS

The overall objective of this chapter is to take a closer look at some of the new elements and specific fields of FP7. The selection of presented topics may vary from year to year. For 2009, in addition to the topics already addressed in the 2008 Monitoring Report, sections on sustainable development and on Marie Curie Actions have been included.

### 2.1 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>11</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). This presents new and exciting opportunities for frontier research in Europe.

The ERC's architecture comprises an independent Scientific Council, composed of 22 eminent researchers, supported by a Dedicated Implementation Structure (DIS), now legally established as the European Research Council Executive Agency (ERCEA) which reached administrative autonomy on 15 July 2009. The ERCEA now implements the Ideas programme according to the strategies and methodologies defined by the independent ERC Scientific Council.

An independent "review of the ERC's structures and mechanisms", has been carried out in 2009 by designated independent experts. The agency took already in 2009 actions to implement those recommendations within the framework of its own responsibilities.

Two 'core' schemes have been designed by the Scientific Council; both operate without predefined thematic priorities; individual research investigators have the opportunity to propose bottom-up research projects including high risk, interdisciplinary projects, that are evaluated on the sole criterion of excellence.

- *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.

These schemes have been well received by the research community and already around 1.000 frontier-research projects resulting from the first four calls of the ERC Starting Grant and ERC Advanced Grant schemes have been started in prestigious research institutions in Europe.

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<sup>11</sup> Commission Decision No 134/2007/EC of 2 February 2007 establishing the European Research Council. OJ L 57, p.14.

The main priority of the ERC in 2009 was the effective and efficient implementation of the specific programme Ideas and, in parallel, the ERC Executive Agency's further organisational development. For instance, the ERCEA staff increased in 2009 through recruitment, anticipating the increase in the budget of the specific programme Ideas. By the end of 2009, 262 of the planned 270 members of staff were recruited. At the time of the writing of this report, the ERCEA has 287 staff members composed of Contract Agents, Temporary Agents and Seconded National Experts. Also the grant management has been further developed; since the last two calls, more than 50% of the grants are signed within 4 months after the end of the evaluation. However, the granting process can even be as fast as 26 days. The reasons for delays in granting are mainly related to requests for a late start date, an ethical review or a change of host institution. Around 2,2% of the executed budget of around 845 million was spent in 2009 on administration.

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

Setting up the ERC peer review system was a major priority for the Scientific Council. Panels covering all scientific domains - Social Sciences and Humanities (SH), Life Sciences (LS) and Physical and Engineering Sciences (PE) - and a broad range of topics were established to ensure that proper consideration would be given to high quality, interdisciplinary proposals. In the light of the experience of the first Starting Grants call, the number of panels was increased from 20 to 25 and the two-stage evaluation process has been replaced by a single submission of all material necessary for step-1 and step-2 review.

The ERCEA put in place redress procedures, following the model established for FP7. In 2007, approximately 3% and in 2008 approximately 8% of the total number of applications were examined by the redress committee. In 2009, the ERC redress committee considered 161 redress requests on eligibility and evaluation relating to 4,099 submitted proposals (StG, AdG and CSA). This number represents approximately 3,9% of the applications. The redress committee concluded that 17 of these cases required an evaluation (3 eligibility cases) or re-evaluation (14 evaluation cases). In one of the cases the result of the evaluation was reversed by the redress committee.

### **2.1.2 Performance of the calls**

The ERC funds all research areas and scientific disciplines. However, for operational purposes, each call budget is pre-allocated as follows:

- Physical Sciences and Engineering: 39%
- Life Sciences including Medicine: 34%
- Social Sciences and Humanities: 14%

The remaining 13% are pre-allocated to proposals that address research questions that span across more than one scientific disciplines, requiring the competence of more than one ERC evaluation panels and are consequently assessed on a cross-panel/cross-domain basis.

Four ERC calls have been published since the start of the Ideas programme in 2007; two ERC starting grant calls (2007 and 2009) and two ERC advanced grant calls (2008 and 2009). At the time of writing this report around 15.000 proposals for funding were received of which about 1.000 projects were selected for funding.

2009 is the first year with one starting grant and one advanced grant call being published under the same annual work programme. For the second call of the ERC starting grants in 2009 (ERC-2009-StG), 2.503 proposals were submitted, 1.112 in the Physical Sciences, 927 in the Life Sciences and 464 in Social Sciences and Humanities, of which 243 were retained for funding. The second ERC advanced grants call (ERC-2009-AdG) was published in

November 2008 with deadlines in spring 2009. 1.583 proposals were submitted for funding of which 244 were retained.<sup>12</sup>

The ratios of retained to submitted proposals of the second starting and advanced grant calls in 2009 were considerably higher than those of the first two calls in 2007 and 2008. The retained to submitted proposals ratios of the starting grant increased from 3,2% in 2007 to 10% in 2009 and those of the advanced grant from 13% to 15%. This was mainly due to the establishment in the Work Programmes of 2008 and 2009 of "benchmarks of excellence" for potential applicants, which helped to bring the number of applications to a lower level, more representative of the highly competitive population targeted by the ERC calls.<sup>13</sup>

The majority of the 243 retained applicants for the 2009 starting grant are located in the EU but 12% have a host institution in an associated country. For the 2009 advanced grant the share of associated countries is higher (18%).

The relocation of applicants to new host institutions induced by the ERC calls is relatively low. Around 12% of the selected starting grant applicants and only 4% of the selected advanced grant applicants applied for another host institution than their current institution. Among these were 4 advanced grant holders and 8 starting grant holders who moved from outside Europe to a host in the member states or the associated countries. The majority of the selected European nationals chose a host institution in their home country and only 29% of the starting grant holders and 23% of the advanced grant holders work outside their home country. However, these patterns differ considerably between the host countries, e.g. the share of non-national grant holders in Switzerland and in the UK is above average compared to other host countries. The gender distribution differs between the two instruments, with a higher number of women selected in the starting grant (24%), compared to the advanced grant (15%).

### **2.1.3 Observing sound ethical principles of FP research**

Of the 243 projects invited for funding under the 2009 starting grants call, 117 were screened by an external ethics panel of which 37 were subjected to a full ethical review. For the 2009 advanced grants call 83 proposals were sent to ethical screening. The screening revealed 31 proposals needing full ethical review (18 at ERCEA and 13 at DG RTD). Full ethical reviews were held during December to February 2010. In five cases, further ethical review was requested and is currently underway.

## **2.2 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. Strong reasons for setting up JTIs are the rapid pace of technological change, the rising costs of research, the increasing complexity and

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<sup>12</sup> The ERC-2009-StG call with call closure date in 2008 has not been included in the statistics for 2009 analysed in §1.2.1.2.3, but in the statistics for 2008, following the convention of reporting CORDA statistics on calls with closure date in the year of reference. The only ERC call included in the 2009 statistics reported in section 1.2 of this report is ERC-2009-AdG.

<sup>13</sup> Attention should be drawn here to the important difference between the *ratios of retained to submitted proposals* reported in this section for ERC calls and the *ratios of retained to included proposals*; throughout the annual Monitoring Reports only the latter conventionally represent the *success rates* of proposals, participants and funding requests.

interdependence of technologies, and the potential economies of scale to be gained by cooperation across Europe.

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. JTIs represent an effective means of meeting the needs of this small number of European Technology Platforms.

In practical terms, a JTI is a legally established body (a *Joint Undertaking*), 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). Strategic Research Agendas have been developed for the areas addressed by JTIs 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, the Commission will undertake midterm and final evaluations of each JTI with the assistance of independent experts.

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.

The five JTIs are:

- *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.
- *Embedded Computing Systems (ARTEMIS)* aims to help European industry consolidate and reinforce its world leadership in building computing systems into various kinds of electronic equipment or machines.
- *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.
- *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 2009, the JTIs have continued launching calls for proposals based on the principles of scientific excellence and competition. Clean Sky has also continued funding named beneficiaries through grant agreements.

The work within the Commission focused on a number of practical issues such as identification of a long-term 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). This preparatory work provided IMI, Clean Sky and ARTEMIS the operational capacity to implement their budget (this capacity is commonly referred to as 'autonomy'). ENIAC and FCH are expected to also become autonomous in 2010.

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" ([COM \(2009\) 615, 19.11.2009](#)).

While it is too early to assess the JTIs' impacts, some first lessons have been drawn by a Group of representatives of the JTIs' industrial partners (the JTI Sherpas' Group) and can be found in its report on "[Designing together the "ideal house" for public-private partnerships in European research](#)".

Beyond the technological advances which can be expected, what really matters for the success of the initiatives is the proper functioning of the partnerships, with industry playing its role to the full side by side with the Commission to achieve maximum industrial value from every euro invested. JTIs are expected to play an important role in shaping Europe's research landscape, by stimulating research investment, building critical mass by uniting fragmented efforts and accelerating the process of converting the results of Europe's research into marketable goods and services for the benefit of European citizens.

### **2.3 Initiatives under article 185 (ex-169)**

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. Article 185 Initiatives support the scientific, financial and management integration of national research and development programmes by the participation of the European Union in joint programmes undertaken by several Member States. They bring together national research and development programmes to define common objectives of wide societal relevance and they combine funding and knowledge in order to fulfil these objectives.

The first two initiatives under Article 185 in FP7 are EUROSTARS, addressing research and development performing SMEs, and the Ambient Assisted Living (AAL) Joint Programme, which aims to use intelligent products and provide remote services, to extend the time elderly people can live independently in their home environment. EUROSTARS is undertaken by 32 countries, in the context of EUREKA, with a planned overall public contribution of €400 million. AAL is implemented by 20 EU Member States and 3 Associated States. The programme's planned total budget is €700 million. Both initiatives have been successfully launched in 2008 and are progressing well since with several calls for proposals.

Two further initiatives under Article 185 were advanced in 2009: the European Metrology Joint Research Programme (EMRP), and BONUS, a Joint Research Programme on Baltic Sea research.

EMRP, for which the co-decision process successfully ended in July 2009, is an initiative undertaken by 22 countries raising €400 million of public funding. 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, under which a first joint call was made addressing a limited number of themes combining resources from 20 countries and leading to €64 million being committed to 21 collaborative projects.

The BONUS Joint Research Programme, for which the Commission proposal was adopted in October 2009 and the co-decision process is foreseen to be finalised in June 2010, involves all eight EU countries surrounding the Baltic Sea and aims at creating a cooperative, interdisciplinary, well-integrated and focused trans-national strategic research programme for the Baltic Sea region. In this case also, an ERA-NET Plus action has been used for the first joint call leading to 16 selected proposals in 2008, involving 11 different countries (including non-Baltic countries) and a budget of €22,4 million.

With regard to the EDCTP (European & Developing Countries Clinical Trials Partnership), launched in 2003, under FP6 as an Article 169 Initiative aimed at accelerating the fight against HIV/AIDS, malaria and tuberculosis in developing countries, the Commission adopted a Communication on the Progress Report in October 2008. A two year no-cost extension until 2010 has been adopted. The five year evaluation of the performance of the EDCTP has been carried out by independent experts in 2009. The Commission will reflect on the further steps required in relation to this Initiative on this basis.

## **2.4 Risk-Sharing Financial Facility**

In the 'Political guidelines for the next Commission', President Barroso mentioned the RSFF as "an excellent example to build on" in order 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 and the European Investment Bank (EIB).

The RSFF is an innovative credit risk-sharing scheme by which the Commission and the EIB jointly covers, through capital allocations and provisions, the risks that the EIB bears when lending directly or when guaranteeing loans that are made by EIB intermediaries. With the objective of substantially increasing European research, development and innovation (R&D&I), by way of increased support for loan financing, up to €1 billion may be made available from each of the European Commission and the EIB for the RSFF over the period 2007-2013.<sup>14</sup> The RSFF covers a multitude of risks associated with loans provided for investments in R&D&I. This scheme is projected to allow, through the financial leverage effect, for making available loan financing in the order of €10 billion. RSFF is managed by the EIB and monitored by the EC in terms of especially the eligibility of projects and budget allocation out of FP7.

The RSFF targets European research-intensive entities, including SMEs and research infrastructures, irrespective of size and ownership, which contribute to the objectives of FP7. The financing may be provided either to entities active in R&D&I or to individual research-related projects, often at a demonstration stage. Small companies and projects involved in R&D&I may benefit via intermediation of financial institutions with which the EIB has established risk-sharing agreements.

In terms of awareness-raising activities, between 2007 and 2009, the RSFF benefits were presented at more than 50 seminars, workshops and conferences in a large and ever-increasing number of European countries. The awareness-raising activities also targeted dedicated events

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<sup>14</sup> The final overall budget is nevertheless subject to the approval of the Budgetary Authority, pending in particular a favourable outcome of an independent expert evaluation to be finalised during 2010.

for European research infrastructures, notably ESFRI-list projects (European Strategy Forum on Research Infrastructures). In 2009, the EIB and the RSFF Designated Service have focused their awareness-raising activities on key industrial sectors in need for funding as well as those countries not yet covered by dedicated RSFF events.

Furthermore, RSFF presentations explaining the risk-sharing mechanism, the benefits and first results were made to several FP7 Programme Committees. Further RSFF presentations will be made in 2010 targeting particularly the Council and the European Parliament in the context of explaining the achievements of the RSFF and the results of a RSFF mid-term evaluation to be finalised by July 2010. Moreover, the [RSFF website](#) is regularly updated with presentations of concrete projects which have been financed by the RSFF.

In addition, the RSFF team continues to present the RSFF within DG RTD and other DGs of the Research family, either in the form of specialised presentations or within the framework of overall FP7 training sessions. The network of RSFF liaison officers is regularly updated on the RSFF's progress, thus facilitating awareness-raising for the RSFF in their thematic areas and sectors.

In operational terms, in summary, until the end of 2009, 65 RSFF projects have been approved for lending by the EIB since the launch of the RSFF with a loan volume approved of almost €6,5 billion. 45 RSFF projects have been signed with a loan volume of almost €4,5 billion. RSFF projects take place in 20 countries (member states and associated countries). The main sectors financed are: engineering/industry (40%), life sciences (23%), energy (18%), ICT (11%), research infrastructures (5%) and risk-sharing with banks (3%).

There has been strong demand for RSFF in 2009 despite, or indeed probably even more so, because of the financial crisis: in 2009, as the tables below show, the demand and the increase in loan volumes in 2009 compared to the past have been dramatic; the EIB has signed new projects in 2009, with a loan volume of approximately €3 billion, i.e. 2 times more than for the years 2007 and 2008 combined. It is also worthwhile to note that the EIB has increased its ceiling for RSFF loans, with a maximum of €300 million per RSFF operations, to respond to higher demand during the economic and financial crisis. Accelerating the RSFF implementation was mentioned in the European Economic Recovery Plan proposed by the EC in November 2008 in response to the economic and financial crisis. A budget of €70 million was therefore frontloaded from the 2010 EU budget to 2009, to respond to the very high demand. As a flexible facility, the RSFF has demonstrated its capacity to address a market gap by providing additional funding for RTDI in a context of credit crunch.

The current RSFF portfolio is notably composed of loans provided to large and midcap companies, or dedicated companies established in order to implement a particular demonstration project. The EIB has provided various types of financing under the RSFF in response to the needs of borrowers: direct senior and mezzanine loans to companies, project finance to single entities (e.g. special purpose vehicles SPVs). New product development has also been tailor-made to address the needs of SMEs, in particular through intermediaries (holding companies) or loans allocated to larger companies but also benefiting SMEs and research centres ("Open Innovation").

It is noteworthy that, following much preparatory work, the first RSFF loans for research infrastructures have been signed and should be followed by other signatures in the near future. Research infrastructures included in the ESFRI Roadmap are automatically eligible for RSFF finance and are regarded as priority projects under the RSFF.

In 2010, the mid-term evaluation of the RSFF will be conducted by an independent expert group. A favourable view of the RSFF as outcome of this independent expert evaluation to be finalised during 2010 will be an important element for the Budgetary Authority when it will

decide whether to release an earmarked, further, second tranche (€500 million) of the FP7 contribution to the RSFF. Such €500 million would permit the RSFF to finance further RTDI projects addressing major challenges.

Table 9 below provides the breakdown by year for approved loans and signed loans respectively.

**Table 9:** RSFF operations approved by the EIB since the launch of the RSFF.

RSFF OPERATIONS	2007	2008	2009	TOTAL
Number of Approved RSFF Operations	14	14	37	65
Related Approved Loan Volume (€M)	887,4	1.501,7	4.083,5	6.472,6
Number of Signed RSFF Loan Agreements	9	12	26	47
Related Loan Volume (€M)	459,0	1.024,4	2.984,2	4.467,6

## 2.5 International dimension of FP7

For FP7, a new approach towards international co-operation was developed, aiming to reinforce international research collaboration throughout the Framework Programme. Special instruments (SICAS – Specific International Coordination Actions, INCO-NETS) were established to implement these objectives allowing both geographical and thematic targeting.<sup>15</sup> 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, currently representing 6% of overall participation.

Association agreements and bilateral Science & Technology (S&T) agreements play also an increasingly important role in reinforcing international cooperation activities.

*Association Agreements:* For FP7, the number of associated Third Countries is as high as never before, with 13, mainly European countries,<sup>16</sup> 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.

In addition to the 13 countries currently associated to the Framework Programme, Moldova, Russia and Ukraine have formally requested to be associated. Furthermore, the association to the FP will be opened for European Neighbourhood Policy (ENP) Partner Countries. This process of widening the geographical scope of the ERA will significantly contribute to the EU's policy goals towards these countries, in particular building sustainable economic prosperity. *Science & Technology (S&T) Agreements* establish a legal framework to promote S&T cooperation activities between the European Union and Third Countries. Since 1998, the European Union has concluded S&T agreements with 19 countries (soon 20), including almost all the industrialised and emerging countries and a significant number of developing ones;<sup>17</sup> another 22 agreements (soon 25) exist under EURATOM. The implementation of these agreements has become considerably more concrete and substantial, largely thanks to

<sup>15</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>16</sup> Albania, Bosnia-Herzegovina, Croatia, Faroe Islands, Former Yugoslav Republic of Macedonia, Iceland, Israel, Liechtenstein, Montenegro, Norway, Serbia, Switzerland, Turkey.

<sup>17</sup> Argentina, Australia, Brazil, Canada, Chile, China, Egypt, India, Japan, Jordan, Mexico, Morocco, New Zealand, Republic of Korea, Russian Federation, South Africa, Tunisia, Ukraine, USA.

the possibility to translate common priorities and commitments, as identified by the Joint Committees, into targeted calls notably through a series of coordinated calls with Russia, China, India and Brazil.

A variety of schemes, including SICAs, but also "twinning" of projects at programme level, and "targeted opening" calls, aiming at supporting joint research activities on areas of common interest and benefit, have also been used in the Cooperation Programme to reinforce the participation of Third Countries in the various thematic areas thus increasing the international dimension of their actions.

In the Capacities Programme INCO-NETs and BILATS play a key role in establishing dialogue platforms with third countries: INCO-NETS provide support to regional platforms for S&T policy dialogue and priority setting at bi-regional level bringing together Member States and Third Countries in this process. The BILAT Activity is focused in reinforcing bilateral cooperation with every country with an S&T Agreement through the development of information and assistance facilities.

In strategic terms, the Marie Curie Actions are the most international initiatives in FP7. There is an ongoing commitment which is confirmed annually to focus not less than 25% of all funds in International Cooperation projects. The Marie Curie International Research Staff Exchange Scheme (IRSES) is a new action aiming solely at improving international cooperation with key partnership countries. It offers opportunities for a dynamic series of short term exchanges of not only scientific staff, but also staff that support research at strategic and operational levels. The IRSES Action has been successfully launched. Already in the first call in 2008, some 179 institutions from 75% of all eligible Third Countries applied. It should be noted that numerous Third Countries were among the signatory partners in the 2008 ITN (Marie Curie Initial Training Networks) and IAPP (Marie Curie Industry-Academia Partnerships and Pathways) funded projects, so in addition to the option of appointing Third Country nationals in Europe, Marie Curie is directly funding Third Country research institutes (both academic and commercial).

International Cooperation activities are 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>18</sup>. This Communication sets out a series of orientations for action to make the ERA more open to the world. These actions are to be developed through the implementation of a sustainable partnership between Member States and the EC as provided for by the conclusions of the Council of 2 December 2008<sup>19</sup>.

The Strategic Forum for International S&T Cooperation (SFIC), consisting of high-level representatives of Member States and the Commission, was established in 2009 to implement this partnership in areas where cooperation between SFIC members should produce added value.

In 2009 SFIC contributed to further opening up the ERA through the preparation of concrete activities, notably by:<sup>20</sup>

- Working towards more structured information sharing and knowledge pooling;
- Launching the "India pilot initiative" serving as an example for a common approach for

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<sup>18</sup> European Commission (2008): Communication "A strategic European Framework for International Science and Technology Cooperation". COM (2008) 588.

<sup>19</sup> Conclusions of the 2891st Competitiveness Council, 2nd December 2008.

<sup>20</sup> For more detailed information see 1<sup>st</sup> Annual Report by SFIC.

similar initiatives on a range of relevant topics, e.g., with other BRIC countries;<sup>21</sup>

- Starting to develop a thematic pilot initiative on "energy research";
- Deepening the analysis of the different initiatives/actions undertaken by the Member States and the European Union with and vis-à-vis Latin America and Africa;
- Contributing, as appropriate, to international Summits, Ministerial meetings and bi-regional policy dialogues;
- Strengthening the networking of science counsellors in major partner countries.

## **2.6 Sustainable development**

### **2.6.1 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 specific programme Cooperation where "the overarching aim is to contribute to sustainable development."<sup>22</sup> The three new priorities of smart, sustainable and inclusive growth in the Europe 2020 Strategy confirm the necessary attention to sustainability. However, sustainable development is difficult, if not impossible, to define in an operational way, unless it is translated into a precise policy track. The EU renewed sustainable development strategy (EU SDS) was adopted by the Heads of State and Governments in June 2006.<sup>23</sup> A cross-reading of these two framework documents, i.e. FP7 (especially the specific programme Cooperation) and the EU SDS, shows that FP7 is well equipped to meet R&D expectations expressed in the EU SDS, hence aligning EU-funded cooperative research with sustainability goals.

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

### **2.6.2 Web-based monitoring tool on research for sustainable development**

The online public monitoring system, which is based on a screening of the work programmes published under FP7, became operational on 21 April 2010.<sup>24</sup> Each topic is cross-referenced with the 78 operational objectives of the EU SDS.<sup>25</sup> Hence, this system allows 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>26</sup> Potential users are welcome to register [here](#).

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<sup>21</sup> Brazil, Russia, India, China.

<sup>22</sup> Annex 1 of the Specific Programme Cooperation text

<sup>23</sup> Doc 10917/06

<sup>24</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>25</sup> See full list [here](#).

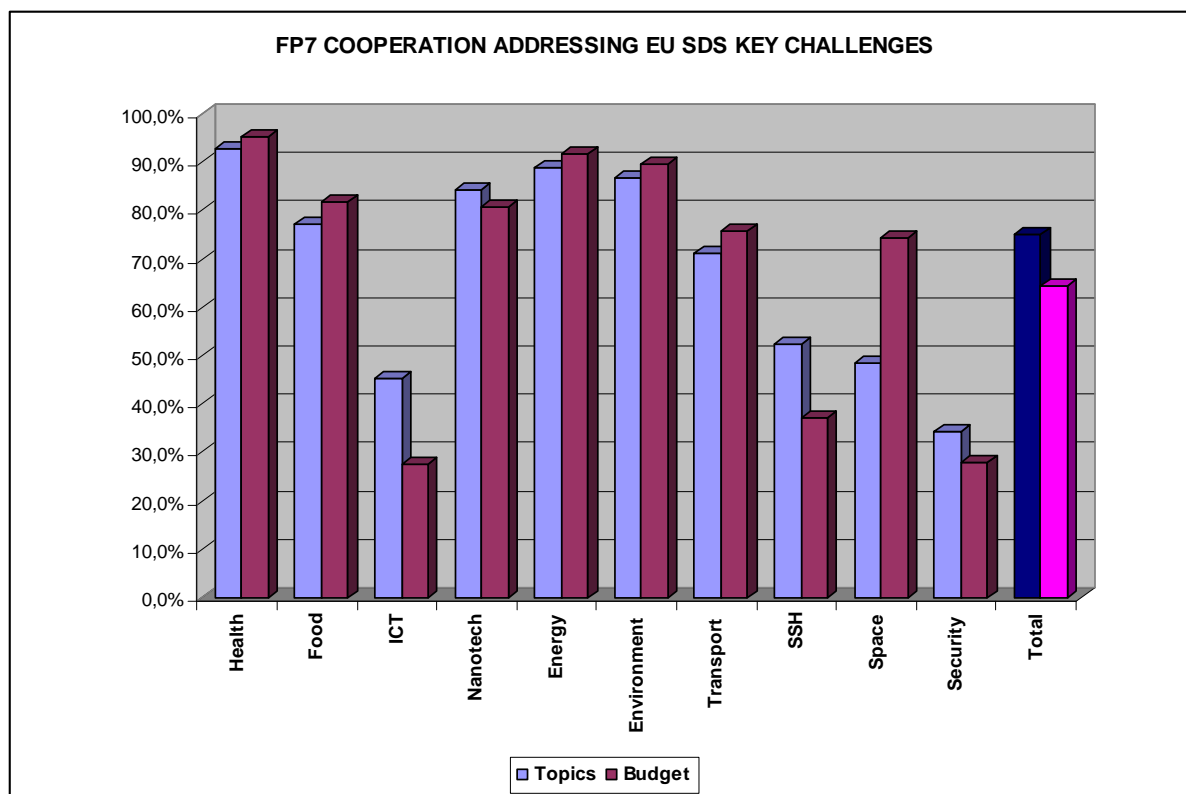
<sup>26</sup> This does not capture the contribution of the JTIs.

## 2.6.3 Achievements regarding FP7 contribution to sustainable development

### 2.6.3.1 Global overview

In the first four years of FP7 implementation (until April 2010), 75% of the topics (1.461 topics out of 1.943) in the Specific Programme Cooperation contribute positively to one or several operational objectives of the EU SDS. In budgetary terms, 65% (or €4 billion out of €6,2 billion) of Community funding in 2007 and 2008 was allocated to issues tackling the objectives of the SDS.

Figure 27: FP7 Cooperation topics (2007-2010) and budget (2007-2008) addressing EU SDS key challenges.



### 2.6.3.2 Focusing on grand challenges

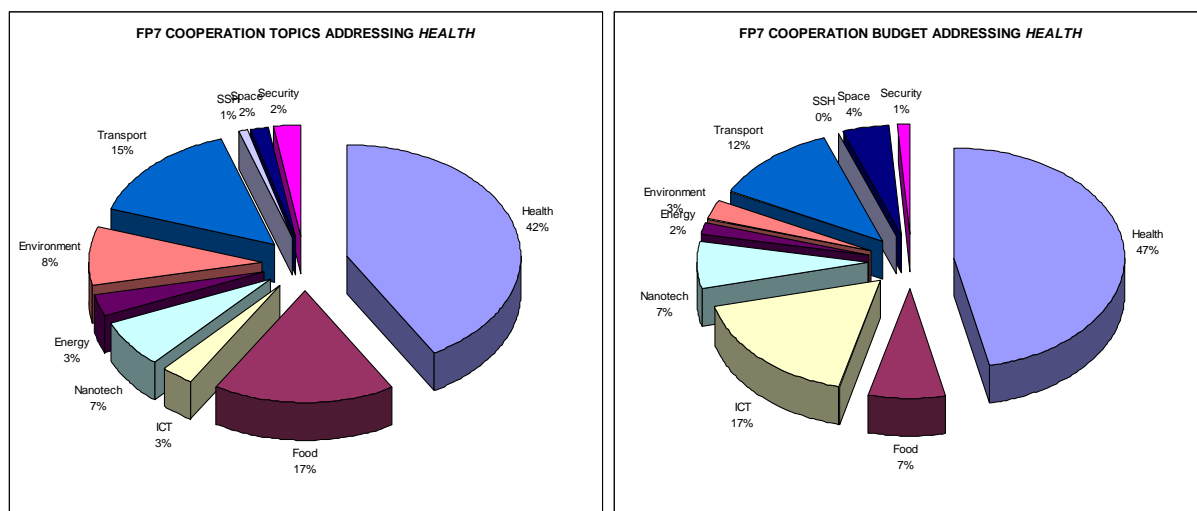
The monitoring system shows that among the grand challenges for the EU identified in the Europe 2020 strategy, the best served is health,<sup>27</sup> with a total of 684 topics<sup>28</sup> leading so far to a volume of EC contribution of €1.920 million in 2007 and 2008.<sup>29</sup> As can be seen below this effort comes mainly, but not exclusively, from the health theme.

<sup>27</sup> This does not take into account the EU contribution of €1 billion invested in the Innovative Medicine Initiative (IMI JTI).

<sup>28</sup> WP07-WP10.

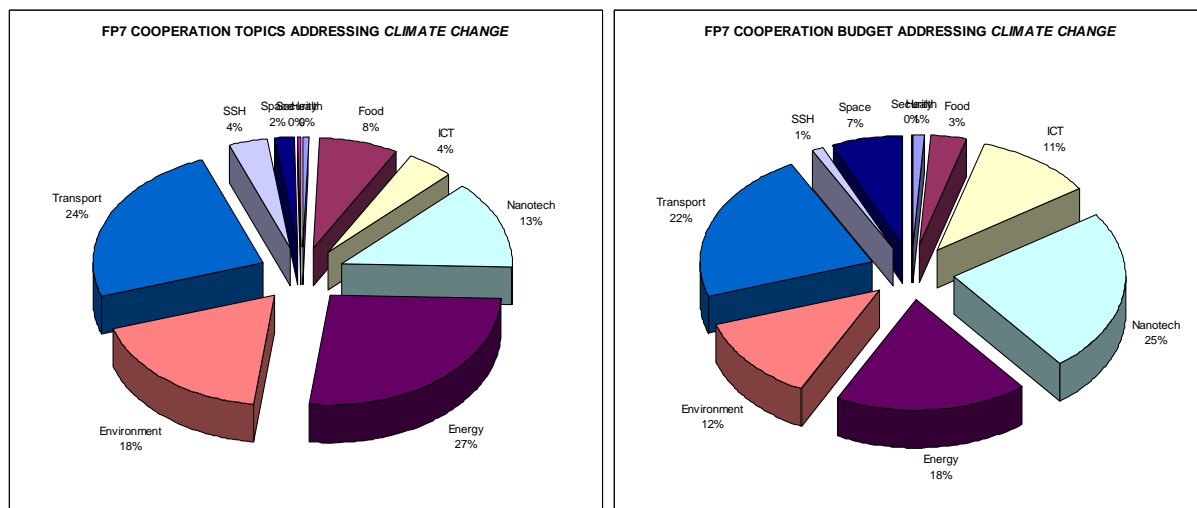
<sup>29</sup> WP07-WP08.

**Figure 28:** FP7 Cooperation topics (2007-2010) and budget (2007-2008) addressing the grand challenge *health*.



Regarding climate change, 30 34% (663) of topics (WPs 2007 to 2010) call for research conducive to a low-carbon society. In terms of budget, €1,58 billion (i.e. 25% of the total 2007-2008 Cooperation budget) were spent on projects funded under these topics (WPs 2007 and 2008). The 10 themes participate to this cross-cutting effort.

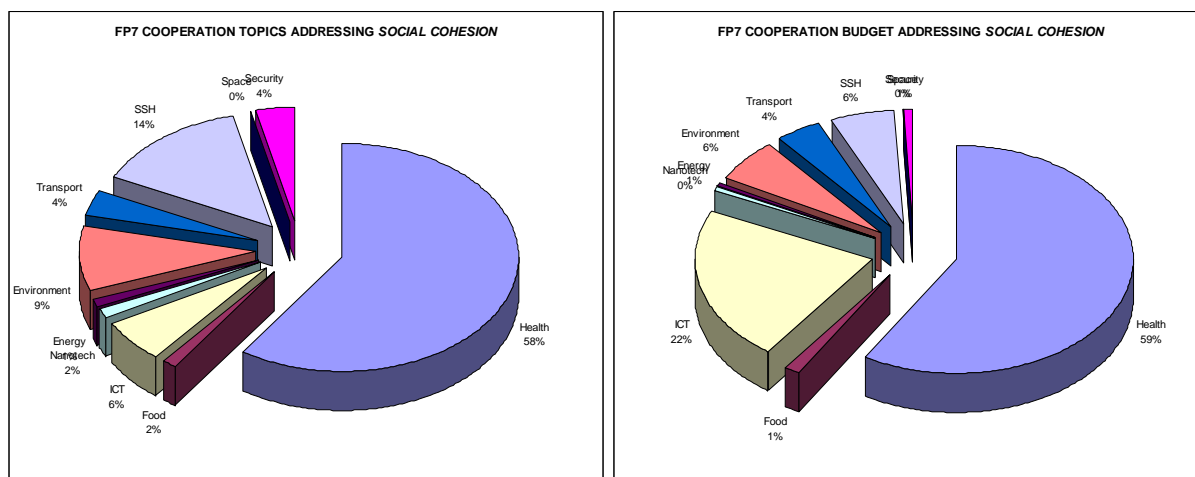
**Figure 29:** FP7 Cooperation topics (2007-2010) and budget (2007-2008) addressing the grand challenge *climate change*.



Social Cohesion is the least addressed challenge with respectively 187 topics (WP07-WP10) and €574 million (WP07-WP08), with more than half of the contribution coming from the Health Theme:

<sup>30</sup> This does not consider EU contributions of €800 million granted to the Clean Sky Joint Technology Initiative and of the €470 million granted to the Fuel Cells and Hydrogen Joint Technology Initiative.

**Figure 30:** FP7 Cooperation topics (2007-2010) and budget (2007-2008) addressing the grand challenge *social cohesion*.



## 2.7 Marie Curie Actions

The Marie Curie Actions (MCA) have been supporting researchers since FP4. At the very heart of the actions is a philosophy of making Europe more attractive to the best researchers.

Under FP7 specific programme People, the MCA offer a full range of crucial opportunities for European researchers at all levels of their career, from PhD candidates to the highly experienced principal investigators in academia or industry.

The aim of the programme is to strengthen, quantitatively and qualitatively, the human potential in research and technology in Europe and to help researchers to become tomorrow's innovators and entrepreneurs. This will be achieved by stimulating people to enter the research profession, encouraging European researchers to stay in Europe, and attracting to Europe the best researchers from the entire world.

The People programme has five main action lines:

- *Initial training of researchers*

Research training opportunities are offered by international and intersectoral consortia of public and private institutions active in research. Initial Training Networks (ITN) support researchers at the earliest stages of their career by providing research training within collaborative research training projects and with a strong emphasis on employability: ensuring that academia collaborates with industry in the knowledge triangle.

- *Life-long training and career development*

Individual, postdoctoral fellowships support researchers acquiring knowledge and new skills in another country within Europe (Intra-European Fellowships - IEF) or tempt researchers back to Europe and help reintegration (Career Integration Grants - CIG).

The COFUND action (new to FP7) encourages EU member states to internationalise their fellowship programmes via co-financing from the EU.

- *Industry dimension*

Public and private sector partnerships: Industry-Academia Partnerships and Pathways (IAPP) foster collaborations between public research organisations and private enterprises, encourage intersectoral mobility at all career stages and drive European innovation.



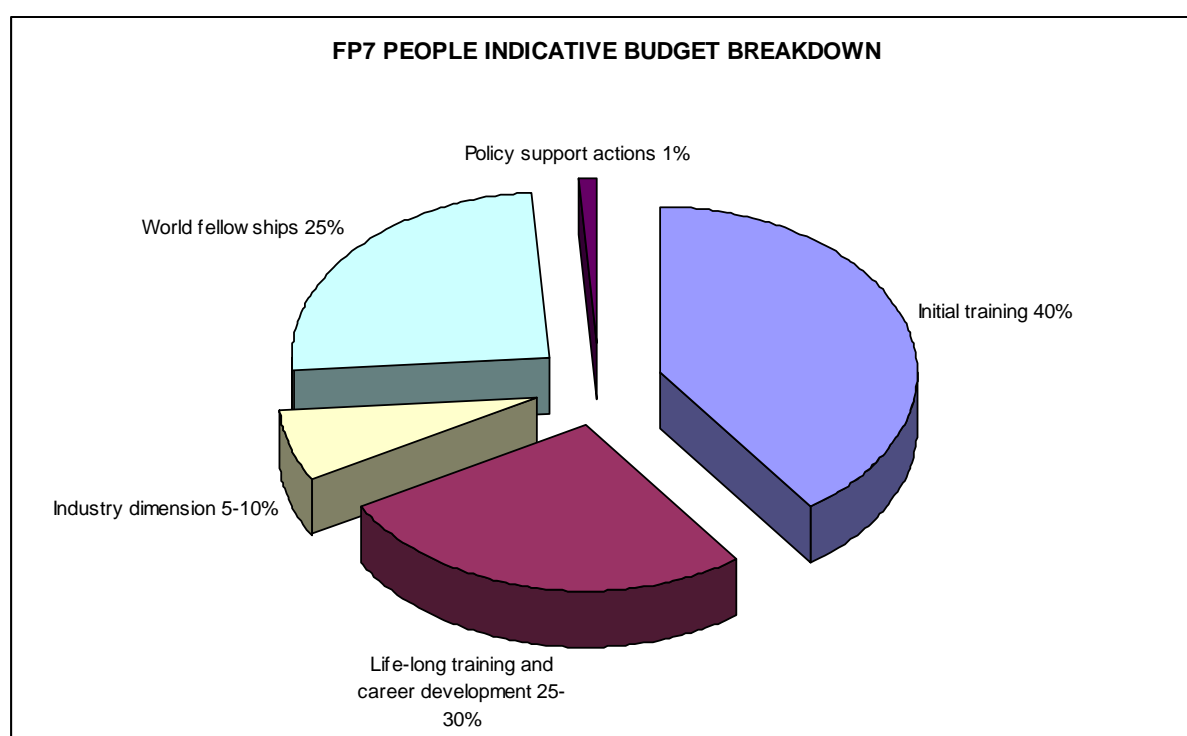
- *International dimension*

International individual fellowships help European researchers to enrich their experience in a 3<sup>rd</sup> country and to bring their expertise back to Europe (International Outgoing Fellowships - IOF). They aim also at bringing the best researchers to Europe from around the world (International Incoming Fellowships - IIF). The IRSES scheme (novelty in FP7) aims to facilitate the exchange of research staff between Europe and countries covered by the Neighbourhood policy or by an S&T Agreement.

- *Policy actions (DG RTD)*

1% of budget used to promote research, match researchers to vacancies and provide career support (EURAXESS), as well as to fund policy initiatives on the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, Researchers Visa, co-ordination of social security conditions etc.

**Figure 31:** Indicative budget breakdown of the FP7 specific programme People by action line (2007-2013).



The Marie Curie Actions are open to researchers of all ages, experience and nationality, including those returning to research after a career break. They are also open to all scientific fields, with the exception of research areas covered by the EURATOM Treaty. Taking a bottom-up approach, they do not predefine areas of research that will be supported.

Researchers funded by the Marie Curie Actions are recruited, as a rule, on employment contracts with full social security rights. They receive a competitive salary and an allowance to cover costs related to their international mobility; the funding provides 100% of the researchers' salary, including any costs to the employer. A contribution to the research expenses, overheads and contract management costs are also provided.

Mobility is a key-word for the MCA. The actions offers opportunities for excellent researchers who wish to spend some time in a country different from their own to develop research skills. By 2010, 50,000 researchers will have benefitted from international research training experience funded by the MCAs (FP7 and previous FPs).

The mobility is not only international but also intersectoral. A strong participation by enterprises, including SMEs, is considered a crucial added value for the programme. The

enhancement of industry-academia cooperation in terms of research training, career development and knowledge sharing, taking into account the protection of intellectual property rights, is encouraged throughout the MCAs.

Up to 2009, the IAPP consortia have allocated €25,4 million or 33,4% of their EU budget to SMEs. In ITNs, this share was 5% of the EU contribution, i.e. €13,2 million. Although the MCA are not SME targeted, the flexibility of the programme and the fact that the contribution of the private sector is compulsory in IAPP and ITN, facilitate the SMEs participation in the actions.

Efforts are made to increase participation by women researchers, by designing the actions to ensure that researchers can achieve an appropriate work/life balance and by facilitating resuming a research career after a break. 39% of researchers supported so far in FP7 MCAs are women.

Moreover, the specific programme People through the MCAs contribute strongly to the opening of ERA to the rest of the world. In most of the actions, there is no nationality restriction, and several actions aim exclusively at international cooperation. From the FP6 statistics, it is known that more than 16% of FP6 hired researchers came from 3<sup>rd</sup> countries. The FP7 ratio is expected to be even higher. This makes the People Programme the most international part of FP7.

### **2.7.1 Implementation of calls**

In the period 2007-2009 30 calls were launched and concluded under the specific programme People,<sup>31</sup> for which 14.147 funding requests were submitted. Of these proposals 13.249 were deemed eligible and 4.260 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 32,2%, ranging from 8% in ITN to more than 60% in IRSES and COFUND.

During that period more than 3.000 individual researchers have benefited from FP7 financial support aimed at enhancing their mobility inside and outside Europe, while near 300 ITN and IAPP networks have been selected for funding in favour of long or short duration training actions involving more than 4.500 researchers. 50 programmes co-funded by the MCA will offer another 3.400 additional fellowships for European researchers and 170 funded IRSES networks would support around 2.000 years of mobility for European research and managerial staff members.

### **2.7.2 REA and DG EAC**

Since 1<sup>st</sup> March 2010 the policy aspects related to the MCA were transferred to the Directorate-General for Education and Culture. The implementation of the People Programme is ensured by the Research Executive Agency (REA), set up by the Commission in December 2007.<sup>32</sup> REA reached its administrative autonomy on 15 June 2009. Until then, a dedicated service of the European Commission was in charge of the operational activities and management of the programme.

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<sup>31</sup> This figure does not include the call FP7-PEOPLE-2010-ITN – a large call with call closure date on 22/12/2009, which at the time of data extraction for this report (April 2010) was not yet 'concluded'.

<sup>32</sup> Commission Decision 2008/46/EC of 14 December 2007 setting up the Research Executive Agency for the management of certain areas of the specific Community programmes People, Capacities and Cooperation in the field of research in application of Council Regulation (EC) No 58/2003 (OJ L 11, p. 9-11)

By June 2010 REA was already managing 3.160 research projects. This figure represents around 40% of all projects contracted under FP7. Another 2.097 projects were about to be signed at that time, which accounts for almost two thirds of the FP7 projects under negotiation. Over the lifetime of FP7 REA will manage research projects to a value of €6,4 billion – the figure represents around 12% of the global €53 billion FP7 budget, although the agency will manage nearly half of all FP7 projects. It should be noted that the large parts of FP7 managed by REA include also projects in the fields of Space and Security research as well as SME actions. At the time of writing this report, 372 staff members were recruited by the Agency.

## 2.8 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).

### 2.8.1 Nuclear fission and radiation protection

Nuclear power is the principal carbon-free source of electricity in the EU, accounting for about one third of the electricity currently produced in Europe. It therefore plays a key role in limiting greenhouse gas emissions, and securing Europe's energy independence. Euratom research and training actions make a valuable contribution to overall European research efforts in the area of nuclear energy. The main focus of the Euratom programme is safe management of nuclear waste, safety and performance of current and future nuclear reactors, and understanding the risks from exposure to ionising radiation. As part of the general Community research policy, the programme also contributes to establishing a true European Research Area (ERA) in nuclear science and technology. Within EU energy policy, in particular the promotion of low carbon technologies through the Strategic Energy Technology Plan (SET-Plan), the Euratom programme supports research in the field of the safe management of nuclear waste produced in nuclear power plants as well as safety and performance of current and future nuclear reactors.

Following the launch in 2007 of the "Sustainable Nuclear Energy Technology Platform" ([SNE-TP](#)), 2009 saw the launch of two further major ERA initiatives: the "Implementing Geological Disposal Technology Platform" ([IGD-TP](#)), and the "Multidisciplinary European Low-Dose Initiative" ([MELODI](#)). The Strategic Research Agendas and associated Deployment Strategies within SNE-TP, IGD-TP and MELODI promote joint programming of research by committing a broad range of national and industrial actors, and Euratom projects are increasingly focused on the identified priorities.

IGD-TP was launched on 12 November 2009, piloted by a group of European radioactive waste management organisations (national implementing bodies responsible for management of radioactive waste) with the support of the European Commission. Key research institutes and Technical Safety Organisations are also members of the platform, whose vision is that by 2025 the first geological disposal facilities for nuclear waste will be operating safely in Europe. IGD-TP will facilitate pooling of critical European resources and co-ordinate future research in support of this vision, which also responds to the technology challenges laid out in the SET-Plan. As with SNE-TP, Euratom is supporting the secretariat functions of the platform via a small FP7 coordination project.

The Euratom programme was also instrumental in establishing MELODI, which is focusing on the risks from low and protracted exposure to ionising radiation and brings together the

major national funding agencies supporting radiation protection research in Europe. The growing use of radiation in medical diagnostic and therapeutic techniques is responsible for a significant rise in doses to the public, and MELODI will, in particular, ensure the necessary multidisciplinary approach across the medical sector to understanding the risks involved. Euratom is providing significant support in the crucial initial start-up period through the FP7 project DoReMi, a €21 million Network of Excellence with €13 million Euratom funding promoting sustainable integration between the key organisations involved in MELODI. As part of its activities, DoReMi will provide important funding for a range of interdisciplinary projects that bring together experts in radiation protection, radiobiology, molecular biology, genomics and epidemiologists in order to resolve key remaining issues in low-dose research.

### **2.8.2 Fusion energy**

The transition to clean and sustainable energy production is a huge challenge for Europe and the world as a whole. The challenge will grow in the coming decades as global energy demand increases. Fusion is one of the few options for realising future large-scale energy production which is safe, sustainable, carbon-free and with security of supply. Europe has an integrated fusion R&D programme which pools the resources of all Member States in this endeavour.

This European integrated programme and its flagship experiment, the Joint European Torus (JET) formed the basis for the design of the International Thermonuclear Experimental Reactor ([ITER](#)), an experimental facility to demonstrate the scientific and technical feasibility of fusion. This led to the signature in November 2006 of an international agreement for the construction of ITER in Cadarache, France. Following completion of the ITER design review in 2007, the cost estimates for the European contribution to ITER, initially estimated in 2001 based on the level of specifications of the project available at that time, have been revised and indicated that they will be much higher than initially planned. In 2009, in view of the numerous challenges faced by the project, the European Commission has defined a set of conditions that need to be met in order to ensure the success of ITER at a reasonable cost and with acceptable risks, in particular: credible cost assessments, acceptable cost and cost containment, realistic timetable for the construction, and sound management of the project at all levels. This resulted, in November 2009, in the unanimous expression of support of the EU Council for the ITER project provided that the boundary conditions elaborated by the Commission are met and with the understanding that the construction costs of ITER will be substantially higher than initially planned. In addition, the EU Council invited the Commission to immediately explore possibilities for providing the increased funding needed in the period of the current Financial Perspectives and to present possible solution(s) to the Council as soon as possible. In view of the difficulties faced by ITER and other large technological initiatives, the Commission also envisaged a reflection on the overall strategy for Community's participation to large scientific infrastructures.

On the operational side, in 2009, numerous actions were undertaken by the Commission to fulfil these conditions. On the issue of schedule, the proposal made by the ITER Organization, aiming at first plasma by 2018, and submitted for endorsement by the ITER Council in November 2009, was rejected by Euratom. Euratom considered that this schedule was not realistically achievable and would entail extraordinary measures to accelerate activities which would unnecessarily increase risk and associated costs for Europe and hence the overall project. Since November 2009, the ITER Organization and the Domestic Agencies of the Parties have been working on a new, more realistic schedule, which better mitigates risks, seeking where possible to accelerate the schedule in order to play a leading role in achieving a convergence with our international partners. On the cost estimates for the European contribution to ITER, an update was provided in 2009 confirming a very substantial cost increase. In parallel to the discussion on project costs and schedule, independent assessments

took place in 2009 of the management of the ITER Organization and of the European Domestic Agency (the Joint Undertaking "Fusion for Energy", F4E), which both concluded that the organisations concerned required major changes in the management and day-to-day operations. These recommendations have been considered and are being implemented.

Despite the uncertainties related to the project baseline, in 2009 Europe was able to deliver on a number of key technology milestones for ITER through F4E: the platform for the machine was fully levelled and other ground work completed, significant progress was made on the design specification for key ITER components, such as magnets, vacuum vessel and fuelling systems and on the overall strategy for contract bidding of the ITER buildings (the site will harbour 39 different buildings over an area of about 50 hectares). F4E has to date concluded 10 procurement arrangements with the ITER Organization, representing a total value of about 40% of the expected EU in-kind contribution to ITER construction. This has translated in 2009 into a number of major supply contracts with industry.

In relation to the Broader Approach Agreement between Euratom and Japan, during 2009 the technical specifications for procurement arrangements for the construction of major components for Broader Approach projects to be carried out in Europe were completed. The construction of the facilities in Japan for IFMIF/EVEDA and IFCRC projects was also started. However, a delay of more than one year on the procurement of a major critical path component to be supplied by Europe developed for the JT-60 project.

The European Fusion Development Agreement (EFDA) provides a framework for the coordination throughout Europe of research activities and the development and exploitation of common facilities. The largest and most important collective activity is the scientific exploitation of the JET (Joint European Torus) tokamak, which is the world's largest and highest performance fusion device, and the only one able to operate with the fusion fuel tritium, which will be used in ITER. A major enhancement of the facility began in late 2009 and involves the replacement of the lining of the vacuum vessel. It will provide key results for design choices and reliability of ITER operation. The operation of JET already supports other ITER issues. For example, a key project in FP7 has been a prototype ITER-like plasma heating antenna. Euratom fusion laboratories from five Member States, collaborating with ITER, designed and commissioned an antenna for JET of the type needed for ITER, using state of the art methods to meet a demanding specification. Successful operation in 2009 demonstrated this major plasma heating scheme for ITER, reducing risk and increasing confidence in its use on ITER.

The largest construction project in the European fusion programme is the W7-X stellarator being built at Greifswald in Germany within the Association Euratom - Max-Planck-Institut für Plasmaphysik. The project has passed a major milestone, the completion of all the superconducting magnetic coils in 2009, and should be ready for first plasma experiments in 2014. Its exploitation will complement the results from ITER and contribute to the optimisation of the design of future fusion reactors.

On the basis of the recommendations of the review of fusion facilities carried out in 2008, the Commission held in 2009 a dialogue with all the fusion laboratories to determine how their work will be reoriented to the changed environment of fusion research, now that ITER is being built in Europe. These changes will begin to take effect in 2010. However, the scale of the changes required to contribute to ITER and prepare its future are not compatible with the scarce resources presently available in FP7 as a result of the substantial cost increases of ITER construction. This has led already in 2009 to serious difficulties in the implementation of the necessary adaptations to the programme, as well as to difficult discussions with the Member States about future Euratom funding priorities.

## **3 SIMPLIFICATION**

### **3.1 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 have been achieved in previous years, the launch of FP7 offered the unique opportunity to simplify procedures in a far more fundamental way.

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

#### **3.1.1 Certification of costs – fewer audit certificates**

The introduction of the guarantee fund has allowed the European Commission to reduce the number of several ex-ante controls. In FP7 the European Commission requests much fewer certificates on the financial statements (FP6: audit certificates). Probably four out of five participants will never have to provide such a certificate. Overall, the number of required certificates will decrease by a factor of 10 compared to FP6 (average number of certificates by project in FP6 in the order of 20, in FP7 in the order of 2).

#### **3.1.2 Fewer ex-ante financial capacity checks and protective measures - Introduction of the Participants Guarantee Fund**

The introduction of the guarantee fund in FP7 allowed the abolition of ex-ante financial viability checks for the majority of participants. These checks are now only necessary for coordinators and participants requesting a Community contribution of more than €500.000. In FP6 only 11% of the participations received a Community contribution of more than € 500.000. With a similar distribution of funding in FP7 nine out of ten participants would be exempt from any ex-ante financial capacity check. In addition, bank guarantees, blocked accounts, reduced pre-financing or other measures of financial protection are no longer requested by the Commission. Both the increase of the threshold and the abandonment of some protective measures simplify participation in particular for SMEs and start-ups.

#### **3.1.3 Unique registration of participating legal entities**

Repeated requests for the same documents on the existence and legal status of participants were a major cause of complaints in previous Framework Programmes. Since the start of FP7, the principle of unique registration has been introduced. A central validation team has been in operation since mid-2007. Legal documents have to be provided only once, and validation by the central team holds for all future participations in FP7. The Unique Registration Facility (URF), a web-based system where the participants themselves can access and change their legal data online, is in full operation since May 2008. At the time of writing nearly 22.000 entities are already registered and validated. The unique identifier (Participant Identification Code - PIC) given to each legal entity is now used in all systems for FP7 proposal and grant management. It has already had positive effects on FP7 grant and programme management:

- It provides easy traceability of participations through the complete project lifetime and in all IT systems. It improves thus the quality and coherence of statistics and reporting.
- It allows an easy propagation of changes to the legal entity data to all systems and parties concerned in all grants in which an organisation participates.
- It provides for a more coherent implementation and extrapolation of audit results.
- It gives each organisation the possibility of easy monitoring of their participations in FP7 (via the Legal Entity Appointed Representative - LEAR, who has online access to the list of participation of his/her organisation).

### **3.1.4 Grant agreement negotiation**

A new web-based electronic system for negotiation, used by all research DGs, was introduced by the end of 2007. The system allows online interaction between participants and Commission Project Officers. Since May 2008 it is linked to the unique registration facility, providing for seamless data exchange on legal entities.

In accordance with the Rules for Participation, all research DGs within the Commission have adopted harmonised and transparent rules to ensure consistent ex-ante verification of the existence and legal status of participants, as well as their operational and financial capacities.

To the same end, a financial viability check tool has been provided to participants, allowing them to self-assess their financial capacity. This check tool will soon be integrated in the Unique Registration Facility.

### **3.1.5 Project reporting**

Several elements of simplification are being introduced in the processes and rules for intermediate and final reporting in FP7 projects:

- The reporting guidelines and the structure of reports were considerably streamlined.
- Striving for an extension of average reporting and payment periods from 12 months (in FP6) to 18 months. This could reduce the overall number of reports and payment transactions by 17% (estimation based of simulations on the FP6 portfolio), thus reducing the workload both for the participants and the Commission Services. It should be noted that 24 months reporting periods have already been introduced for Marie Curie grants.
- The amount of data collected in reports is considerably reduced. Detailed questionnaires on wider societal implications will no longer be required with each intermediate report but only once (in the final report).
- A web-based electronic system for the submission of financial statements (Forms C) is in operation since December 2008. It provides for automatic checking and online support to beneficiaries to reduce the errors in the forms and helps thus rationalising the payment processes.
- Since the beginning of 2009 the Commission also has an online system for the submission of financial statements and project reporting. All these systems are interlinked and connected to the back office systems, presenting the user at each process step with Web forms pre-filled with all the existing data, avoiding thus repeated requests for the same information. It simplifies interactions between participants and the Commission and provides better possibilities for the dissemination of project results.

### **3.1.6 Amendments**

Amendments to ongoing contracts/grant agreements represent a considerable administrative workload both for participants and the Commission. The FP7 amendment guidelines were therefore prepared with the aim of identifying all possibilities for simplifying rules and procedures. The main result is that in FP7 the coordinator can not only request amendments on behalf of the other beneficiaries (as in FP6) but can also accept them on behalf of them. Also, some changes (such as changes in the address or legal name of the beneficiary) in ongoing grants do not require a formal amendment in each of the grant agreements where the beneficiary participates but just the sending of one information letter to the legal entity. Important simplifications in the amendment processes have been enabled by the Unique Registration Facility. Changes to the status of a legal entity are now automatically propagated to all grants concerned (in all research DGs) and to the respective participant, coordinators and project officers.

### **3.1.7 Streamlining and harmonisation of documentation**

Documentation and guidance notes on the various aspects of FP7 implementation are clearer and simpler and adapted jointly by the research DGs. This has been preceded by consultation with external stakeholders e.g. via comments received directly from beneficiaries in the inquiry service (helpdesk) or via the network of legal and financial national contact points.

### **3.1.8 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. It will become over time the gateway and single entry point to interact with the Research programmes of the European Commission. The Research Participant Portal is aimed at hosting a full range of web applications which will facilitate the management of proposals and projects throughout their lifecycle.

Since January 2009, the Participant Portal has been operational and accessible by the external world. In 2009, several applications have been integrated within the Participant Portal such as the Unique Registration Facility, the FP7 document service, the IT systems for grant negotiation, handling of amendments, scientific-technical reporting and in early 2010 for financial reporting.

## **3.2 Perception of simplification in FP7 by National Contact Points**

In the NCP survey conducted in the context of the 2009 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*) and on the aspects of FP7 procedures that are negatively affecting the quality of research and inhibiting the implementation of FP7.

### **3.2.1 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, a majority of the respondents (55,9%) answered that application procedures are easier than in FP6 (see table 10). More than half of the respondents who gave an opinion rated FP7 more



user-friendly than FP6 as regards finding information on Framework Programme and open calls, and IT tools. Only a quarter of the respondents rated the communication with Commission services easier than in FP6; however, this rating is improved compared to the survey conducted in the context of the last monitoring exercise. Figures with respect to grant negotiations and project management in general show little improvement from FP6 to FP7. Ratings are even less favourable when looking at the financial aspects and requirements and project reporting, which respectively 23,2% and 19,4% of the respondents assessed more difficult than in FP6.

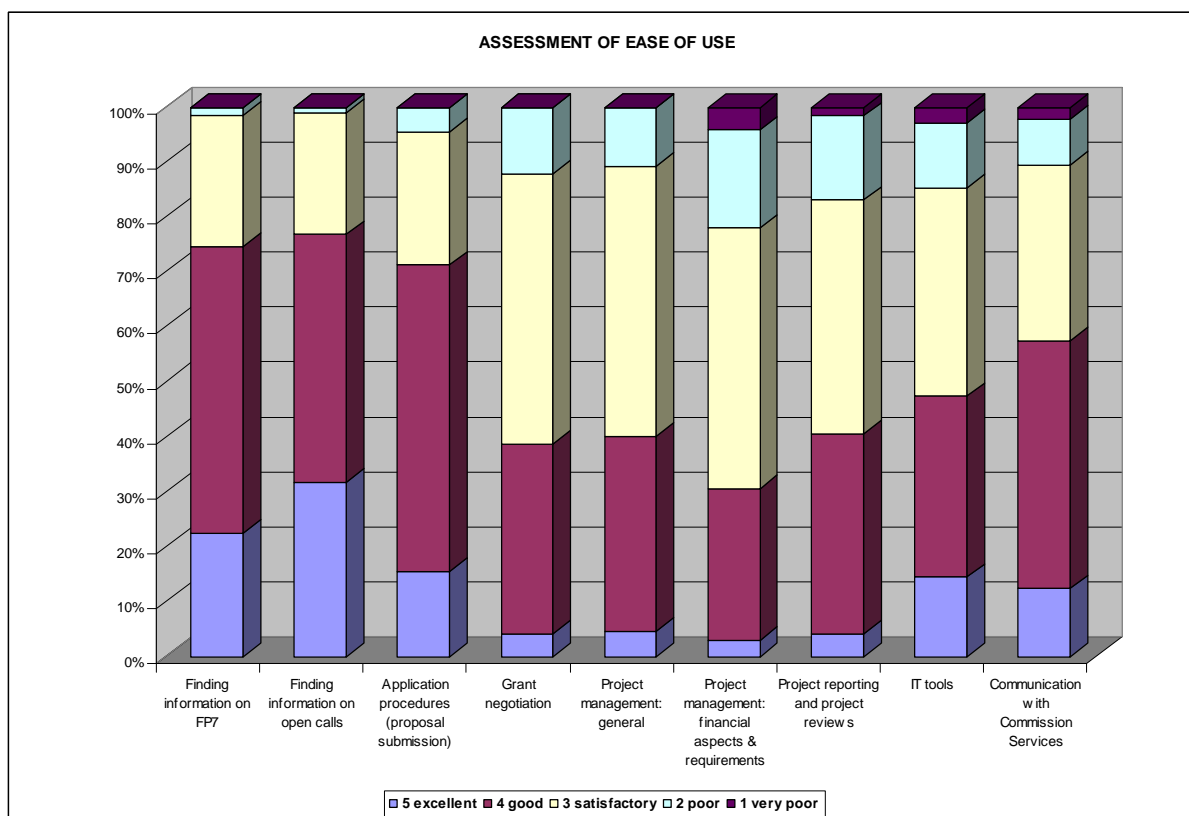
**Table 10:** Assessment by NCPs of the ease of use of FP7 compared to FP6.\*

EASE OF USE OF FP7 COMPARED TO FP6	RATINGS (%)		
	Easier than FP6	Same as FP6	More difficult than FP6
Finding information on Framework Programme	49,8	35,1	1,9
Finding information on open calls	53,1	32,2	1,9
Application procedures (proposal submission)	55,9	25,6	5,7
Grant negotiations	25,6	35,5	12,3
Project management (in general)	24,2	42,2	14,2
Project management - financial aspects and requirements	29,9	29,4	23,2
Project reporting and project reviews	33,2	26,5	19,4
IT tools	44,1	14,7	16,6
Communication with Commission Services	26,1	45,0	9,0

\* Replies received under "No opinion" and "Not applicable" are not included in the table.

When respondents were asked to rate in absolute terms the ease of use of FP7 for the same range of administrative and financial procedures/aspects, a similar pattern emerges (see figure 32 and table C3 in annex C). Issues relating to information on FP7, information on calls and the application procedures themselves are rated very highly, with more than 70% of respondents rating these aspects as 'good' or 'excellent'. The figures also confirm a higher level of dissatisfaction with respect to financial aspects and requirements of project management, and project reporting.

**Figure 32:** Assessment by NCPs of the ease of use of FP7 in absolute terms.



A general improvement is evident from the comparison with the previous NCP survey, although ratings are less positive than in 2008 with regard to project management and reporting.

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 72,5%.

34,1% of respondents agreed (or strongly agreed) that overall FP7 is getting simpler to use in terms of its financial and administrative procedures in comparison to previous Framework Programmes (see table 11). However, about 24,6% believe FP7 to be more difficult.

**Table 11:** Assessment by NCPs of the ease of use of FP7 compared to previous Frameworks Programmes.\*

EASE OF USE OF FP7 COMPARED TO PREVIOUS FPs	RATINGS (%)				
	5 strongly agree	4 agree	3 average	2 disagree	1 strongly disagree
<b>FP7 is getting simpler to use in terms of administrative and financial procedures, compared to previous FPs</b>	5,7	28,4	<b>35,5</b>	19,9	4,7

\* Replies received under "No opinion" and "Not applicable" are not included in the table.

The free-text comments given by the respondents reveal that the simplification is perceived as heterogeneous: some respondents regret that if there have been improvements of the ease of use in some areas, they have been balanced by complications in other fields. Numerous free text comments clarify and illustrate the ratings of IT tools: even though they are seen as having a great potential to simplify procedures, they are also accused of creating confusion for users at this stage, because of the proliferation of new and various IT tools and the

remaining teething problems experienced with them. As last year, there is still a degree of consensus within the respondents that the introduction of new approaches/initiatives (such as JTIs) and 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. Even though there is mostly satisfaction with the available information and the access to it, some respondents commented that more information on calls would be appreciated before their official publication, and others called for more consistency in the information provided by (projects) officers working for different services.

NCPs were finally invited to list (in free text) up to three aspects of FP7 procedures they believed are negatively affecting the quality of research and the implementation of FP7, by looking at FP7 in general from its start. It is not possible to list every issue here, but a number of themes emerged.

The most frequently recurring concern is the perception that legal and financial rules are different from one FP7 activity to another, or lead to different interpretations, especially with respect to project management. The next most common theme is time to grant and the uncertainty about the project start date. The elements here that received most comment are the length of the negotiation phase and the delays in payments. The last recurrent criticism made by NCPs aims at the procedures related to project management. The respondents here pointed out the complexity and the frequency of reporting, and the high level of detail in audits. Some of them added that more focus should be given to the quality and the exploitation of the research results instead of cost monitoring.

Other issues mentioned (consistent with the comments above) included:

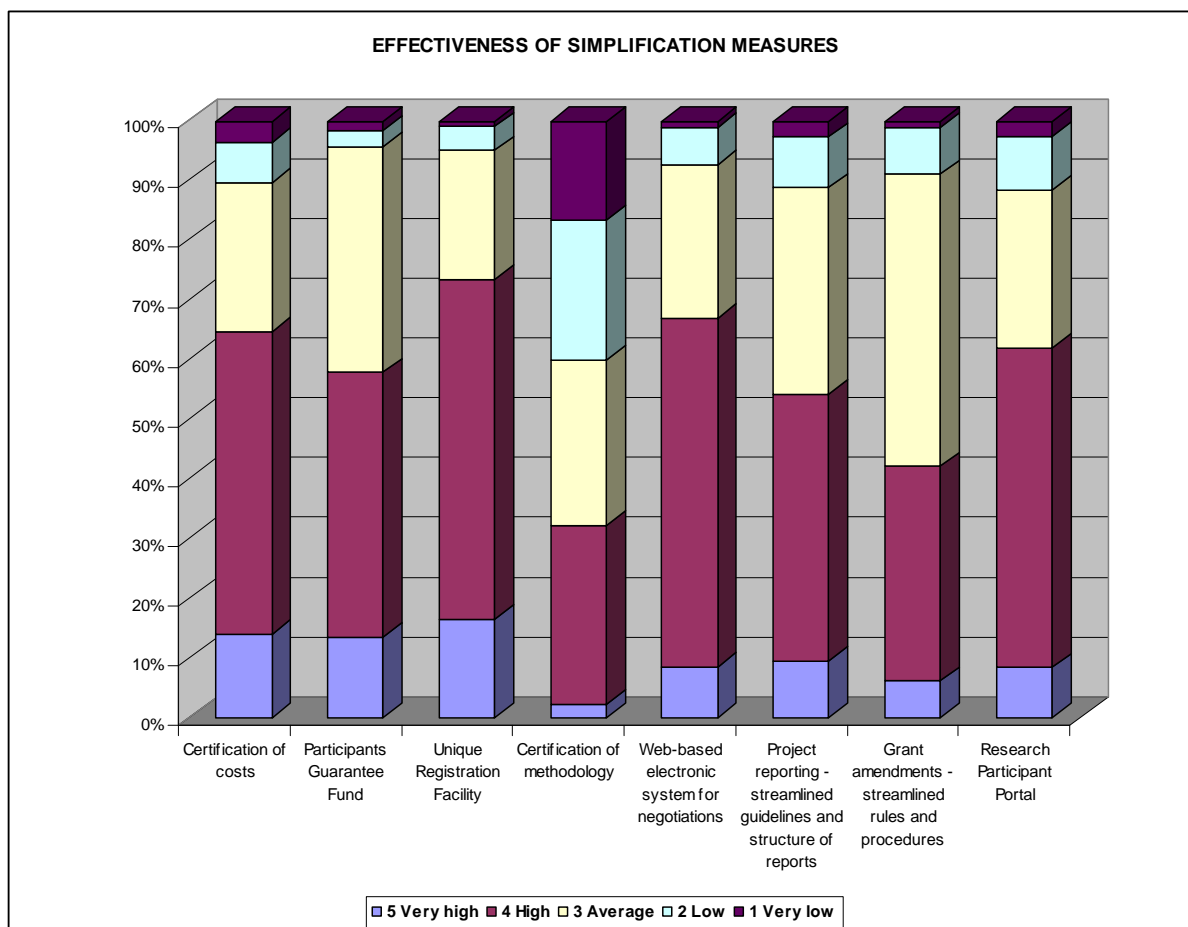
- difficult to obtain certificates (of methodology for instance)
- lack of trust
- extrapolation in audit
- projects are too large (too many participants) and difficult to manage
- lack of information prior to the official publication of calls
- intellectual property management, maintenance and applications are too unwieldy and costly
- difficult procedures for contract amendments
- the lack of coordination between the Commission and the dedicated agencies set up to implement elements of the FP.
- the variation in approach and terminology across themes and programmes.
- the rotation of project officers.

### **3.2.2 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. As far as the Unique Registration Facility (URF), the certification of costs, and the web-based electronic system for negotiations are concerned, effectiveness is perceived as high or very high by a clear majority of respondents (figure 33 and table C2 in annex C). Around half of respondents rated the measures related to the Participants Guarantee Fund and project reporting as high or very high. The trend is slightly less favourable with respect to the measures aiming at simplifying grant amendments procedures. The certification of methodology seems to convince the user community less, as shown by the low ratings given by one third of respondents. In the free-text comments, respondents added that certificates are rather complicated to obtain when compared to the advantages they offer. It should also be noted that a quarter of respondents could not give an

opinion on the Research Participant Portal, which has been recently introduced. However, high expectations from this measure were expressed in the free-text comments.

**Figure 33:** Effectiveness of FP7 simplification measures.



Around 44% of respondents agree (or strongly agree) that the services in charge of FP7 within the European Commission have an adequate understanding of simplification (see table 12), which is consistent with the rather positive assessment of simplification measures.

**Table 12:** Assessment by NCPs of the understanding of simplification.\*

THERE IS AN ADEQUATE UNDERSTANDING OF SIMPLIFICATION BY:	RATINGS (%)				
	5 strongly agree	4 agree	3 average	2 disagree	1 strongly disagree
<b>European Commission services in charge of FP7</b>	4,3	<b>39,8</b>	31,8	13,3	3,3
<b>Universities and research organisations</b>	2,4	30,3	<b>42,7</b>	18,0	0,5
<b>Industry participants, in particular SMEs</b>	1,9	18,5	<b>41,7</b>	21,8	2,4

\* Replies received under "No opinion" and "Not applicable" are not included in the table.

## 4 ACHIEVEMENTS

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.

Based on the FP7 revised project reporting systems, the information provided in the future should 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 will be extractable from the IT systems. This new FP7 reporting system started operating in November 2009. This means that in 2009, although grant agreements have already been signed for several thousands of FP7 projects, only a very limited number of reports have been submitted electronically via the IT reporting tool, and it is thus too early for an in-depth analysis. So far 379 project coordinators used this IT tool for submitting 431 reports (364 periodic and mid-term reports, 67 final reports); 7 review reports have been created. With these reports, it has been identified that 9 patents and 18 exploitable foregrounds have been provided, and 528 peer reviewed publications have been reported in 2009 (329 within CP, 4 within CP-CSA, 60 within CSA and 135 within Marie Curie Actions). More systematic results are expected to be available for the 2010 Monitoring Report.

Although the outcomes and achievements identified until today don't allow to determining a genuine impact of FP7, already the effective deployment of the available funds as such is having an impact on the European science system. Successive rounds of competitive peer-review have resulted in the selection of more than 6,500 high-quality proposals, releasing approximately 12 billion euro in additional funding for transnational research cooperation and mobility. These extra resources support the work of several thousands of researchers across Europe and beyond, as well as significantly expanding the scientific labour force by enabling the recruitment of thousands of contract researchers and postdoctoral students. It provides much-needed funding for critical scientific infrastructure and equipment. As well as these additional inputs, the Framework Programme has a crucial impact on the scope, scale and ambition of European research, as demonstrated by many independent studies.<sup>33</sup> The additional research activity thus stimulated has had as yet an intangible impact on the wider social and economic realm, but the full fruit of such an investment will only become apparent over time.

The ex-post evaluation of FP6 which was carried out by a high-level independent expert group in 2008 ([Report of the Expert Group](#)) found evidence of substantial positive effects as a result of Framework Programme funding. The report concluded that "FP6's large investment in RTD produced high-quality research and results of scientific, industrial, social and policy interest". With respect to research quality, the panel noted that "the available evidence suggests FP assessment procedures, the high level of competition for FP awards, and the widespread use of FP participation as a 'seal of quality' at national level has combined to attract the participation of some of the best researchers in Europe, contributing in turn to ensuring that the work performed will be of high quality". It went on to say that "it is clear that FP6 had a positive influence on both industrial competitiveness and competitiveness, namely the ability of companies to compete".

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<sup>33</sup> See [Evaluation Studies and Reports](#)

While one needs to be careful in using past performance as an indicator of future achievements, the early indications are that FP7 is in a good position to sustain and build upon the positive track record of previous Framework Programmes, while significantly expanding their breadth and scale and improving on their delivery.

The interim evaluation of FP7 started in early 2010. A group of 10 external experts has been asked to provide a comprehensive assessment of the rationale, implementation and impact of FP7 on the basis of the evidence available after three years. The final report of the expert group is expected for autumn 2010. In this context a number of analytical reports and studies have been undertaken or are still under way, covering a wide range of topics and approaches.

## 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>34</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>35</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>36</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 Annual Management Plan (AMP) and Annual Evaluation Review (AER).

The annual Monitoring exercise has already provided input for the Progress Report on FP7 implementation,<sup>37</sup> and will also contribute part of the evidence base for the FP7 Interim Evaluation in 2010.

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<sup>34</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>35</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>36</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>37</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)

## 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 at 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 gathering 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 comprised of 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
Promotion of FP7	1.1 Number of information days	Annual NCP Survey	Section 1.7
	1.2 Number of attendees at information days	Annual NCP Survey	Section 1.7
	1.3 Commission organised meetings of NCPs	DG RTD	Section 1.7
Performance of the calls	2.1 Success rate (overall) by priority area and funding scheme	CORDA	Section 1.2
	2.2 Success rate for different types of organisation by priority area and funding scheme	CORDA	Section 1.2
	2.3 Success rate for different types of organisation by priority area and funding scheme & success rates per country	CORDA	Section 1.2
Performance of the proposal evaluation and redress procedure	3.1 Overall quality assessment of the proposal evaluators on the FP proposal evaluation process (evaluators survey)	Annual Evaluators' Survey	Section 1.4
	3.2 Assessment of quality by the evaluators between the FP evaluation process and other equivalent systems (evaluators survey)	Annual Evaluators' Survey	Section 1.4
	3.3 Time to grant	CORDA	Section 1.8
	3.4 Percentage of experts reimbursed within the specified 45 days	DG RTD/PMO	Section 1.9
	3.5 Redress cases upheld (i.e. leading to a re-evaluation) – numbers and percentages	DG RTD	Section 1.5
Quality of on-going research projects	4.1 Average results of independent project review process by priority area	Data from new reporting system	see info Section 4



	4.2	Percentage of projects by priority area covered by reviews	Data from new reporting system	see info Section 4
Project performance by outputs	5.1	Average number of project publications per project by priority area and funding scheme	Data from new reporting system	see info Section 4
	5.2	Average number of other forms of dissemination activities per project by priority area and funding scheme	Data from new reporting system	see info Section 4
	5.3	Average number of different types of intellectual property protection per project by priority area and funding scheme	Data from new reporting system	see info Section 4
FP activity	6.1	Total number of active projects by priority area	CORDA	Section 1.2
	6.2	Average financial size of projects by priority area and funding scheme	CORDA	Section 1.2
	6.3	Participation by types of organisation by priority area funding scheme	CORDA	Section 1.2
	6.4	Participation totals per country	CORDA	Section 1.2
Achieving gender equality	7.1	Number of male and female coordinators in proposals	CORDA	Section 1.3
	7.2	Number of male and female coordinators in projects	CORDA	Section 1.3
	7.3	Gender breakdown (by seniority) of project participants	CORDA	Section 1.3
	7.4	Percentage of male and female members in Advisory Groups and Programme Committees	DG RTD	Section 1.3
Observing sound ethical principles in FP research	8.1	Number of projects going through the review process/ % by area/ programme	DG RTD	Section 1.6
	8.2	Number of ethics reviews where the result showed insufficient attention had been given in proposal	DG RTD	Section 1.6
	8.3	Number of projects stopped as a results of the ethics review	DG RTD	Section 1.6
	8.4	Number of ethics screenings	DG RTD	Section 1.6
Performance of international cooperation activities	9.1	Total numbers of participations of Third Countries by priority area and funding scheme	CORDA	Section 1.2
	9.2	Success of Third Countries in calls by priority area and funding scheme	CORDA	Section 1.2
	9.3	EC contribution to Third Countries	CORDA	Section 1.2
	9.4	Number of international outgoing/incoming fellowships	DG RTD	
Simplification	10.1	Do stakeholders perceive that the FP is getting simpler to use in terms of financial and administrative procedures?	Annual NCP Survey	Section 3.2
	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 3.2
	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 3.2

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>38</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 2009. It should be kept in mind that at the time of writing the report information on grant agreements resulting from 2009 calls can only be limited, considering that negotiations related to some of these 2009 calls are still ongoing. One consequence of the limitations in data availability is that it is not possible to be both informative and consistent in the definition of '2009' throughout the report. Where reference is made to 2009 calls, calls with a 2009 call closure date are included. Where little or no information is available for 2009, the report refers to the latest available data.

<sup>38</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:** Calls and submitted proposals under FP7 in 2007, 2008 and 2009.

CALL STAGES	2007		2008		2009		2007-2009	
	Calls	Proposals	Calls	Proposals	Calls	Proposals	Calls	Proposals
Single Stage	52	13.949	45	14.124	47	12.800	144	40.873
Two Stage	7	11.543	12	2.109	7	854	26	14.506
Total	59	25.492	57	16.233	54	13.654	170	55.379

**Table B2:** Included and retained proposals, applicants, budgets of projects (in million euro) and corresponding success rates for FP7 calls concluded in 2007, 2008 and 2009.

PROPOSALS										
SPECIFIC PROGRAMME	Included			Retained			Success rates			
	2007	2008	2009	2007	2008	2009	2007	2008	2009	2007-2009
COOPERATION	8.886	3.728	4.432	1.465	691	831	16,5%	18,5%	18,8%	17,5%
IDEAS	547	4.442	1.526	201	484	230	36,7%	10,9%	15,1%	14,0%
PEOPLE	3.404	4.563	5.282	1.102	1.269	1.889	32,4%	27,8%	35,8%	32,2%
CAPACITIES	1.643	1.575	1.589	332	256	316	20,2%	16,3%	19,9%	18,8%
EURATOM	63	38	29	18	18	19	28,6%	47,4%	65,5%	42,3%
TOTAL	14.543	14.346	12.858	3.118	2.718	3.285	21,4%	18,9%	25,5%	21,8%
APPLICANTS										
SPECIFIC PROGRAMME	Included			Retained			Success rates			
	2007	2008	2009	2007	2008	2009	2007	2008	2009	2007-2009
COOPERATION	84.108	37.561	40.680	16.103	8.145	8.389	19,1%	21,7%	20,6%	20,1%
IDEAS	604	5.570	1.947	214	578	253	35,4%	10,4%	13,0%	12,9%
PEOPLE	6.063	12.884	8.340	2.075	2.708	3.458	34,2%	21,0%	41,5%	30,2%
CAPACITIES	12.590	10.951	11.286	3.334	2.397	2.952	26,5%	21,9%	26,2%	24,9%
EURATOM	661	462	316	270	282	239	40,8%	61,0%	75,6%	55,0%
TOTAL	104.026	67.428	62.569	21.996	14.110	15.291	21,1%	20,9%	24,4%	22,0%
PROJECT COST										
SPECIFIC PROGRAMME	Included			Retained			Success rates			
	2007	2008	2009	2007	2008	2009	2007	2008	2009	2007-2009
COOPERATION	40.440,8	19.167,8	19.639,3	7.765,1	3.949,2	4.098,3	19,2%	20,6%	20,9%	20,0%
IDEAS	789,7	7.572,3	3.374,5	287,3	938,2	539,8	36,4%	12,4%	16,0%	15,0%
CAPACITIES	2.728,0	3.567,1	3.058,1	835,2	1.092,1	706,8	30,6%	30,6%	23,1%	28,2%
EURATOM	309,4	163,4	104,0	130,0	125,1	86,5	42,0%	76,6%	83,2%	59,2%
TOTAL	44.279,4	30.479,0	26.191,0	9.024,6	6.109,3	5.439,4	20,4%	20,0%	20,8%	20,4%
EC CONTRIBUTION										
SPECIFIC PROGRAMME	Included			Retained			Success rates			
	2007	2008	2009	2007	2008	2009	2007	2008	2009	2007-2009
COOPERATION	28.459,0	12.952,1	14.163,7	5.487,9	2.737,8	2.899,9	19,3%	21,1%	20,5%	20,0%
IDEAS	770,9	7.349,8	3.255,9	279,1	927,0	532,1	36,2%	12,6%	16,3%	15,3%
CAPACITIES	2.088,6	2.770,9	2.457,8	636,0	712,0	528,7	30,5%	25,7%	21,5%	25,6%
EURATOM	202,3	78,1	62,8	78,9	52,1	51,1	39,0%	66,7%	81,4%	53,1%
TOTAL	31.530,2	23.157,0	19.951,7	6.487,7	4.431,9	4.017,5	20,6%	19,1%	20,1%	20,0%

**Table B3:** Numbers of EU27 applicants and requested Community financial contribution in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 by country.

	COUNTRY	APPLICANTS						EC CONTRIBUTION						EC CONTRIBUTION PER APPLICANT (€K)		
		No.			Success rate			€M			Success rate			2007	2008	2009
		2007	2008	2009	2007	2008	2009	2007	2008	2009	2007	2008	2009	2007	2008	2009
EU MEMBER STATES	AT - Austria	577	324	373	20,6%	19,3%	22,9%	177,1	105,2	105,5	20,4%	17,9%	20,1%	307,0	324,6	282,9
	BE - Belgium	974	573	629	27,2%	24,2%	30,0%	305,8	172,3	163,5	26,7%	21,7%	24,0%	314,0	300,7	260,0
	BG - Bulgaria	161	94	80	15,0%	15,6%	17,7%	18,7	11,8	14,0	11,6%	10,3%	11,9%	116,4	125,5	174,6
	CY - Cyprus	74	49	61	15,4%	16,6%	17,4%	8,9	7,9	11,3	8,6%	11,3%	14,7%	120,2	160,2	186,0
	CZ - Czech Republic	281	159	147	21,0%	17,6%	22,6%	51,7	24,7	23,1	18,6%	11,5%	17,0%	184,0	155,5	157,4
	DE - Germany	3.037	1.761	1.879	23,5%	21,8%	25,3%	1.157,2	692,9	700,0	24,2%	22,7%	23,7%	381,0	393,5	372,6
	DK - Denmark	446	285	292	24,5%	22,9%	28,8%	144,0	110,3	98,3	22,8%	22,6%	26,9%	322,9	387,0	336,8
	EE - Estonia	108	68	65	22,5%	23,6%	25,6%	19,5	10,5	10,8	20,3%	19,1%	18,4%	180,8	154,7	166,7
	EL - Greece	685	383	485	15,6%	14,5%	17,9%	178,9	92,1	132,8	14,3%	10,6%	14,2%	261,2	240,3	273,9
	ES - Spain	1.439	992	1.253	18,9%	19,4%	22,1%	382,2	256,1	293,7	17,9%	15,8%	18,1%	265,6	258,1	234,4
	FI - Finland	505	281	312	23,1%	22,7%	24,9%	181,6	132,9	86,6	23,2%	24,3%	19,5%	359,7	473,1	277,7
	FR - France	2.194	1.379	1.310	25,7%	24,3%	27,6%	766,4	512,5	410,2	26,7%	24,0%	24,9%	349,3	371,6	313,1
	HU - Hungary	307	191	172	17,6%	20,4%	22,1%	46,6	30,9	25,7	12,2%	14,0%	14,3%	151,8	161,7	149,2
	IE - Ireland	269	162	266	22,7%	21,0%	27,0%	68,3	31,5	68,5	19,1%	12,9%	21,6%	253,9	194,2	257,5
	IT - Italy	1.950	1.218	1.353	17,2%	16,6%	21,0%	587,2	384,3	341,1	16,4%	14,2%	16,6%	301,1	315,5	252,1
	LT - Lithuania	70	61	49	15,6%	24,0%	23,9%	9,0	9,2	8,0	11,5%	23,3%	20,6%	128,5	151,1	163,1
	LU - Luxembourg	31	17	21	18,1%	16,7%	19,1%	7,9	1,6	2,5	15,7%	5,4%	8,6%	253,2	95,5	120,4
	LV - Latvia	58	35	34	21,3%	20,3%	22,4%	7,8	3,1	2,7	15,1%	10,6%	9,7%	135,1	88,6	80,1
	MT - Malta	49	19	14	23,6%	14,1%	11,7%	4,0	1,9	2,4	11,8%	7,6%	14,4%	82,3	102,5	173,5
	NL - Netherlands	1.231	817	753	26,4%	24,4%	27,7%	413,2	311,3	248,1	24,5%	22,9%	24,2%	335,6	381,0	329,4
	PL - Poland	423	246	256	17,6%	15,8%	21,0%	80,2	40,9	45,1	15,3%	9,8%	15,7%	189,6	166,4	176,3
PT - Portugal	329	242	282	18,0%	18,4%	23,5%	67,1	47,3	48,7	14,8%	13,8%	16,9%	204,0	195,4	172,8	
RO - Romania	234	132	110	13,4%	15,3%	15,3%	30,3	18,0	14,4	9,1%	8,7%	8,0%	129,5	136,2	131,1	
SE - Sweden	824	476	448	24,6%	22,8%	26,2%	276,7	163,7	140,4	22,4%	20,0%	21,1%	335,8	343,8	313,4	
SI - Slovenia	179	95	104	15,6%	15,5%	16,0%	33,5	11,8	15,0	14,6%	8,3%	9,5%	187,1	124,5	144,5	
SK - Slovakia	105	61	60	17,6%	19,1%	25,8%	14,9	7,1	7,3	12,2%	10,5%	16,0%	141,8	116,9	121,9	
UK - United Kingdom	2.637	1.829	1.923	23,2%	23,3%	27,3%	835,2	723,1	527,1	21,3%	23,9%	21,0%	316,7	395,4	274,1	
<b>Total</b>	<b>19.177</b>	<b>11.949</b>	<b>12.731</b>	<b>21,4%</b>	<b>20,7%</b>	<b>24,2%</b>	<b>5.874,0</b>	<b>3.914,9</b>	<b>3.547,2</b>	<b>20,9%</b>	<b>19,4%</b>	<b>20,4%</b>	<b>306,3</b>	<b>327,6</b>	<b>278,6</b>	
CANDIDATE & ASSOCIATED COUNTRIES	AL - Albania	7	6	7	8,2%	16,2%	22,6%	0,4	0,2	0,5	5,2%	7,2%	11,3%	58,7	33,0	69,5
	BA - Bosnia - Herzegovina	7	5	6	6,8%	15,2%	15,0%	0,6	0,2	0,3	6,5%	7,7%	3,1%	84,2	33,9	49,4
	CH - Switzerland	695	523	517	23,5%	27,1%	28,6%	247,5	232,9	208,5	23,6%	29,6%	27,2%	356,1	445,3	403,2
	HR - Croatia	68	39	34	17,4%	14,1%	12,1%	9,1	8,3	6,8	14,5%	12,7%	6,4%	134,0	214,0	201,4
	IL - Israel	279	217	232	18,5%	19,9%	24,6%	87,6	91,9	69,1	16,7%	14,6%	16,3%	314,0	423,4	297,8
	IS - Iceland	38	29	23	21,7%	26,4%	19,5%	8,8	6,8	2,5	18,7%	18,8%	8,8%	230,6	235,8	108,9
	LI - Liechtenstein	1	2	1	5,3%	25,0%	14,3%	0,4	0,4	0,5	8,7%	24,9%	27,8%	375,6	198,1	530,5
	ME - Montenegro	8	10	3	15,7%	33,3%	10,7%	0,4	0,5	1,3	9,1%	12,1%	17,6%	49,9	48,9	428,1
	MK - FYROM	20	17	9	15,5%	20,2%	12,3%	2,4	3,4	1,1	14,1%	18,1%	3,9%	119,0	201,5	123,9
	NO - Norway	333	241	243	22,2%	23,3%	24,4%	97,4	77,8	75,1	19,2%	18,8%	19,3%	292,4	322,8	309,1
	RS - Serbia	50	31	35	12,6%	12,6%	12,9%	11,3	4,4	10,2	13,1%	6,9%	9,2%	225,1	141,7	292,4
	TR - Turkey	141	118	156	12,6%	12,3%	20,3%	25,2	15,9	19,9	8,8%	3,3%	8,3%	178,4	135,0	127,6
<b>Total</b>	<b>1.647</b>	<b>1.238</b>	<b>1.266</b>	<b>19,5%</b>	<b>21,2%</b>	<b>23,6%</b>	<b>490,9</b>	<b>442,7</b>	<b>395,9</b>	<b>18,8%</b>	<b>17,6%</b>	<b>18,7%</b>	<b>298,1</b>	<b>357,6</b>	<b>312,7</b>	
THIRD COUNTRIES WITH S&T AGREEMENTS	AR - Argentina	33	26	32	19,8%	27,7%	34,0%	3,34	2,77	0,83	15,3%	26,2%	12,7%	101,2	106,4	25,9
	AU - Australia	45	44	62	29,4%	44,0%	37,3%	1,15	1,32	1,33	24,2%	22,2%	32,9%	25,6	30,1	21,5
	BR - Brazil	32	55	84	10,5%	27,8%	30,2%	3,99	5,83	5,21	8,1%	22,5%	16,5%	124,7	106,0	62,0
	CA - Canada	49	33	49	25,3%	26,6%	36,6%	1,76	1,20	1,00	18,6%	20,5%	22,6%	36,0	36,2	20,4
	CL - Chile	14	13	24	13,7%	22,4%	38,1%	1,47	0,58	0,73	11,4%	7,5%	11,5%	104,7	44,7	30,5
	CN - China	77	54	118	14,9%	22,3%	29,0%	10,37	4,43	5,60	15,6%	17,1%	12,7%	134,6	82,1	47,4
	EG - Egypt	11	22	29	6,9%	21,6%	17,3%	0,66	0,52	2,55	2,9%	4,1%	10,0%	60,2	23,8	87,9
	IN - India	90	46	54	22,1%	24,5%	20,1%	11,37	5,45	3,98	18,7%	24,5%	13,5%	126,3	118,5	73,6
	JO - Jordan	7	3	13	13,2%	12,5%	26,0%	0,32	0,10	1,22	4,7%	2,6%	19,2%	46,4	32,9	94,2

JP - Japan	19	10	28	24,7%	24,4%	34,1%	1,36	0,38	1,13	21,5%	41,0%	26,4%	71,4	38,0	40,2
KR - Republic of Korea	11	10	12	32,4%	35,7%	26,1%	0,73	0,89	0,24	32,4%	47,7%	12,4%	66,4	88,9	20,4
MA - Morocco	22	21	29	15,4%	30,0%	22,0%	2,43	0,54	2,65	14,0%	9,0%	17,0%	110,4	25,6	91,4
MX - Mexico	17	14	55	16,5%	15,7%	32,2%	1,55	1,02	1,47	12,7%	7,6%	10,3%	90,9	72,7	26,8
NZ - New Zealand	11	21	22	34,4%	50,0%	40,0%	1,08	0,15	0,58	30,5%	9,5%	24,2%	98,1	7,1	26,2
RU - Russia	119	128	69	19,0%	22,1%	19,0%	18,97	10,16	9,43	17,0%	13,7%	18,2%	159,4	79,4	136,6
TN - Tunisia	13	15	20	11,2%	28,8%	15,3%	1,76	0,25	2,88	11,0%	6,0%	18,8%	135,3	16,6	144,0
UA - Ukraine	38	41	32	15,5%	22,3%	25,4%	4,12	2,58	1,26	12,9%	14,6%	11,8%	108,5	62,8	39,3
US - United States	196	167	250	29,2%	26,3%	33,1%	8,87	7,15	6,42	25,3%	17,2%	19,5%	45,2	42,8	25,7
ZA - South Africa	52	33	53	26,1%	23,9%	34,6%	7,05	4,03	3,93	19,0%	16,9%	20,4%	135,6	122,0	74,2
<b>Total</b>	<b>856</b>	<b>756</b>	<b>1.035</b>	<b>19,9%</b>	<b>25,3%</b>	<b>28,4%</b>	<b>82,3</b>	<b>49,3</b>	<b>52,4</b>	<b>15,6%</b>	<b>16,1%</b>	<b>16,1%</b>	<b>96,2</b>	<b>65,3</b>	<b>50,7</b>
<b>OTHER THIRD COUNTRIES</b>	<b>316</b>	<b>167</b>	<b>259</b>	<b>19,7%</b>	<b>20,6%</b>	<b>24,7%</b>	<b>40,3</b>	<b>24,9</b>	<b>22,1</b>	<b>18,0%</b>	<b>22,3%</b>	<b>18,8%</b>	<b>127,7</b>	<b>149,3</b>	<b>85,2</b>
<b>FP7 TOTAL</b>	<b>21.996</b>	<b>14.110</b>	<b>15.291</b>	<b>21,1%</b>	<b>20,9%</b>	<b>24,4%</b>	<b>6.487,7</b>	<b>4.431,9</b>	<b>4.017,5</b>	<b>20,6%</b>	<b>19,1%</b>	<b>20,1%</b>	<b>294,9</b>	<b>314,1</b>	<b>262,7</b>

**Table B4:** Numbers of FP7 signed grant agreements, participants and amounts of budgets in million euro for FP7 calls concluded in 2007, 2008 and 2009 by specific programme.

SPECIFIC PROGRAMME	GRANT AGREEMENTS		PARTICIPANTS		PROJECT COST		EC CONTRIBUTION	
	no.	%	no.	%	€M	%	€M	%
COOPERATION	2.366	36,5%	26.056	67,3%	11.821,5	73,6%	8.231,8	69,4%
IDEAS	832	12,8%	903	2,3%	1.238,9	7,7%	1.237,6	10,4%
PEOPLE	2.593	40,0%	4.974	12,9%	1.059,7	6,6%	1.072,3	9,0%
CAPACITIES	655	10,1%	6.191	16,0%	1.727,1	10,8%	1.224,6	10,3%
EURATOM	37	0,6%	567	1,5%	215,8	1,3%	100,7	0,8%
<b>Total</b>	<b>6.483</b>	<b>100,0%</b>	<b>38.691</b>	<b>100,0%</b>	<b>16.063,0</b>	<b>100,0%</b>	<b>11.867,0</b>	<b>100,0%</b>

**Table B5:** Shares of SMEs in numbers of participants, project costs and Community financial contribution in signed grant agreements for FP7 calls concluded in 2007, 2008 and 2009 by specific programme (as % of total number of SMEs and % of all types of participants).

SPECIFIC PROGRAMME	PARTICIPANTS				PROJECT COST				EC CONTRIBUTION			
	ALL	SME	% Total	% ALL	ALL	SME	% Total	% ALL	ALL	SME	% Total	% ALL
COOPERATION	26.056	3.558	63,6%	13,7%	11.821,5	1.290,7	72,9%	10,9%	8.231,8	962,5	71,9%	11,7%
IDEAS	903	3	0,1%	0,3%	1.238,9	3,1	0,2%	0,2%	1.237,6	3,1	0,2%	0,2%
PEOPLE	4.974	298	5,3%	6,0%	1.050,3	66,1	3,7%	6,3%	1.072,3	66,8	5,0%	6,2%
CAPACITIES	6.191	1.698	30,3%	27,4%	1.727,1	402,5	22,7%	23,3%	1.224,6	301,4	22,5%	24,6%
EURATOM	567	38	0,7%	6,7%	215,8	8,2	0,5%	3,8%	100,7	5,5	0,4%	5,4%
<b>Total</b>	<b>38.691</b>	<b>5.595</b>	<b>100,0%</b>	<b>14,5%</b>	<b>16.053,6</b>	<b>1.770,6</b>	<b>100,0%</b>	<b>11,0%</b>	<b>11.867,0</b>	<b>1.339,2</b>	<b>100,0%</b>	<b>11,3%</b>

**Table B6:** Gender of individual participants in FP7 funded projects in signed grant agreements for FP7 calls concluded in 2007, 2008 and 2009 by individual role and role of participant organisation in the project.

ROLE	COORDINATOR			PARTICIPANT			ALL		
	TOTAL	F	%	TOTAL	F	%	TOTAL	F	%
Contact Person	5.667	2.292	40,4%	24.904	8.387	33,7%	30.571	10.679	34,9%
Contact Person for Scientific Aspects	4.607	898	19,5%	23.754	4.905	20,6%	28.361	5.803	20,5%
Principal Investigator	-	-	-	-	-	-	831	161	19,4%
Fellow	-	-	-	-	-	-	1.884	681	36,1%
Contact Person for Legal Aspects	2.753	1.245	45,2%	10.117	3.954	39,1%	12.870	5.199	40,4%
First Administrative Officer	5.634	1.062	18,8%	24.750	3.478	14,1%	30.384	4.540	14,9%
Secondary Administrative Officer	3.404	938	27,6%	13.824	3.164	22,9%	17.228	4.102	23,8%
<b>Total</b>	<b>24.780</b>	<b>7.277</b>	<b>29,4%</b>	<b>97.349</b>	<b>23.888</b>	<b>24,5%</b>	<b>122.129</b>	<b>31.165</b>	<b>25,5%</b>

**Table B7:** Minimum, median, average and maximum time to grant (in days) for FP7 grant agreements signed in 2007, 2008 and 2009 by thematic area (up to May 2010).

SPECIFIC PROGRAMME	THEMATIC AREA	GRANTS	MINIMUM	MEDIAN	MEAN	MAXIMUM	STD
COOPERATION	Health	379	96	417	439	804	126
	Food, Agriculture and Fisheries, and Biotechnology	144	282	450	448	650	85
	Information and Communication Technologies	820	178	248	252	466	41
	Nanosciences, Nanotechnologies, Materials and new Production Technologies	244	190	401	394	609	77
	Energy	149	63	338	337	544	103
	Environment (including Climate Change)	181	47	530	493	651	105
	Transport (including Aeronautics)	261	223	541	525	926	104
	Socio-economic sciences and Humanities	110	223	429	432	782	115
	Space	25	94	533	478	724	150
	Security	60	228	556	530	929	194
	General Activities	19	112	374	324	493	138
IDEAS	ERC	835	160	318	314	602	69
PEOPLE	Marie-Curie Actions	2.634	122	322	324	650	96
CAPACITIES	Research Infrastructures	150	127	365	372	641	119
	Research for the benefit of SMEs	248	177	443	456	749	101
	Regions of Knowledge	42	234	306	333	589	97
	Research Potential	102	239	358	353	469	53
	Science in Society	79	56	386	370	573	124
	Support for the coherent development of research policies	12	53	225	256	538	128
	Activities of International Cooperation	44	227	310	324	717	100
EURATOM	Fusion Energy	3	409	409	414	422	7
	Nuclear Fission and Radiation Protection	37	133	394	379	605	145
Total		6.578	47	335	350	929	118

## ANNEX C: STATISTICAL RESULTS OF NCP SURVEY ON FP7 PROMOTION AND IMPLEMENTATION IN 2009

**Table C1:** Assessment of FP7 implementation issues by NCPs in 2009.\*

FP7 IMPLEMENTATION ISSUES	RATINGS				
	5 Excellent	4 Good	3 Satisfactory	3 Poor	1 Very poor
Information available on FP7 calls	16,6%	<b>58,3%</b>	22,7%	2,4%	0,0%
Procedures for the evaluation of proposals	3,8%	<b>50,7%</b>	33,2%	7,6%	0,5%
Procedures for redress	1,4%	19,0%	<b>23,2%</b>	13,7%	8,1%
Procedures for ethics reviews and screenings	10,4%	<b>32,7%</b>	12,3%	2,8%	0,0%
Handling of FP7 grant negotiations by Commission Services	2,8%	37,0%	<b>41,2%</b>	10,0%	0,9%
Management of FP7 projects by Commission Services	3,3%	<b>46,4%</b>	38,4%	7,6%	0,0%
Communication and dissemination of FP7 project findings by the project consortia	1,9%	<b>37,0%</b>	34,1%	9,5%	0,9%
Communication and dissemination of FP7 project findings by the Commission	3,3%	<b>38,4%</b>	28,0%	17,1%	0,5%
Equal opportunities for the participation of women	24,6%	<b>40,8%</b>	18,5%	2,8%	1,4%

\* Replies received under "No opinion" and "Not applicable" are not included in the table.

**Table C2:** Assessment of the effectiveness of FP7 simplification measures by NCPs in 2009.\*

FP7 SIMPLIFICATION MEASURES	RATINGS				
	5 Very high	4 High	3 Average	2 Low	1 Very low
Certification of costs (fewer audit certificates)	12,8%	<b>46,4%</b>	22,7%	6,2%	3,3%
Participants Guarantee Fund (fewer ex-ante financial checks)	11,8%	<b>38,4%</b>	32,7%	2,4%	1,4%
Unique Registration Facility (URF)	15,6%	<b>54,0%</b>	20,4%	3,8%	0,9%
Certification of methodology	1,9%	<b>24,2%</b>	22,3%	19,0%	13,3%
Web-based electronic system for negotiations	7,1%	<b>48,3%</b>	21,3%	5,2%	0,9%
Project reporting - streamlined guidelines and structure of reports	8,5%	<b>39,8%</b>	30,8%	7,6%	2,4%
Grant amendments - streamlined rules and procedures	5,2%	30,3%	<b>41,2%</b>	6,6%	0,9%
Research Participant Portal	6,2%	<b>39,3%</b>	19,4%	6,6%	1,9%

\* Replies received under "No opinion" and "Not applicable" are not included in the table.

**Table C3:** Assessment by NCPs of the ease of use of FP7 in absolute terms.\*

EASE OF USE OF FP7 IN ABSOLUTE TERMS	RATINGS				
	5	4	3	2	1
	Excellent	Good	Satisfactory	Poor	Very poor
Finding information on FP7	22,3%	<b>51,7%</b>	23,7%	1,4%	0%
Finding information on open calls	31,3%	<b>44,5%</b>	21,8%	0,9%	0%
Application procedures (proposal submission)	15,2%	<b>54,5%</b>	23,7%	4,3%	0%
Grant negotiation	3,8%	31,3%	<b>44,5%</b>	10,9%	0%
Project management: general	4,3%	33,2%	<b>46,0%</b>	10,0%	0%
Project management: financial aspects & requirements	2,8%	25,6%	<b>44,1%</b>	16,6%	3,8%
Project reporting and project reviews	3,8%	32,7%	<b>38,4%</b>	13,7%	1,4%
IT tools	12,3%	28,0%	<b>32,2%</b>	10,0%	2,4%
Communication with Commission Services	11,4%	<b>41,2%</b>	29,4%	7,6%	1,9%

\* Replies received under "No opinion" and "Not applicable" are not included in the table.

**Table C4:** Response statistics of the NCP survey for the FP7 2009 Monitoring Report and the FP7 Interim Evaluation.

Date open: 2010-03-19		
End date: 2010-04-19		
There are 211 responses matching the search criteria of a total of 211 records in the current set of data.		
A. INFORMATION ON RESPONDING NCP		
A.3 Please, indicate the country of your NCP.		
	Number of requested records	% of total number records
Albania	0	0%
Austria	8	(3.8%)
Belgium	5	(2.4%)
Bosnia and Herzegovina	4	(1.9%)
Bulgaria	9	(4.3%)
Croatia	3	(1.4%)
Cyprus	4	(1.9%)
Czech Republic	12	(5.7%)
Denmark	7	(3.3%)
Estonia	4	(1.9%)
Finland	2	(0.9%)
France	17	(8.1%)
FYR of Macedonia	5	(2.4%)
Germany	16	(7.6%)
Greece	10	(4.7%)
Hungary	6	(2.8%)
Iceland	3	(1.4%)
Ireland	8	(3.8%)
Israel	7	(3.3%)
Italy	8	(3.8%)
Latvia	3	(1.4%)
Liechtenstein	0	0%
Lithuania	3	(1.4%)
Luxembourg	0	0%
Malta	3	(1.4%)
Montenegro	4	(1.9%)
Norway	7	(3.3%)
Poland	4	(1.9%)
Portugal	2	(0.9%)
Romania	3	(1.4%)
Serbia	1	(0.5%)
Slovakia	4	(1.9%)
Slovenia	4	(1.9%)
Spain	10	(4.7%)
Sweden	2	(0.9%)



Switzerland	8	(3.8%)
The Netherlands	6	(2.8%)
Turkey	2	(0.9%)
United Kingdom	7	(3.3%)
<b>B. INFORMATION AND VIEWS IN THE CONTEXT OF THE 2009 MONITORING EXERCISE OF FP7</b>		
<b>B.1.1 Promotion of FP7 - information days 2009: Please, indicate the total number of FP7 information days organised by your NCP in 2009.</b>		
	Number of requested records	% of total number records
0	12	(5.7%)
1 - 3	69	(32.7%)
4 - 7	41	(19.4%)
> 7	85	(40.3%)
Don't know	1	(0.5%)
Not applicable	3	(1.4%)
<b>B.1.2 Promotion of FP7 - attendees at 2009 information days: Please, indicate an estimate of the total number of attendees at these 2009 information days.</b>		
	Number of requested records	% of total number records
< 10	8	(3.8%)
11 - 50	29	(13.7%)
51 - 100	35	(16.6%)
> 100	127	(60.2%)
Don't know	0	0%
Not applicable	12	(5.7%)
<b>B.2.1 FP7 Implementation 2009 - available information: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2009, the information available on FP7 calls?</b>		
	Number of requested records	% of total number records
5 (= excellent)	35	(16.6%)
4 (= good)	123	(58.3%)
3 (= satisfactory)	48	(22.7%)
2 (= poor)	5	(2.4%)
1 (= very poor)	0	0%
No opinion	0	0%
<b>B.2.2 FP7 Implementation 2009 - proposal evaluation procedures: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2009, the procedures for the evaluation of proposals submitted under FP7?</b>		
	Number of requested records	% of total number records
5 (= excellent)	8	(3.8%)
4 (= good)	107	(50.7%)
3 (= satisfactory)	70	(33.2%)
2 (= poor)	16	(7.6%)
1 (= very poor)	1	(0.5%)
No opinion	8	(3.8%)
Not applicable	1	(0.5%)
<b>B.2.3 FP7 Implementation 2009 - redress procedures: Based on your own observation and the feedback received from researchers and stakeholders in your country, how would you rate, for 2009, the procedures for redress?</b>		
	Number of requested records	% of total number records
5 (= excellent)	3	(1.4%)
4 (= good)	40	(19%)
3 (= satisfactory)	49	(23.2%)
2 (= poor)	29	(13.7%)
1 (= very poor)	17	(8.1%)
No opinion	60	(28.4%)
Not applicable	13	(6.2%)
<b>B.2.4 FP7 Implementation 2009 - 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 2009, the procedures for ethics reviews and screenings in FP7?</b>		
	Number of requested records	% of total number records
5 (= excellent)	22	(10.4%)
4 (= good)	69	(32.7%)
3 (= satisfactory)	26	(12.3%)
2 (= poor)	6	(2.8%)
1 (= very poor)	0	0%
No opinion	71	(33.6%)
Not applicable	17	(8.1%)

<b>B.2.5 FP7 Implementation 2009 - grant negotiations: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2009, the handling of FP7 grant negotiations by Commission Services?</b>		
	Number of requested records	% of total number records
5 (= excellent)	6	(2.8%)
4 (= good)	78	(37%)
3 (= satisfactory)	87	(41.2%)
2 (= poor)	21	(10%)
1 (= very poor)	2	(0.9%)
No opinion	13	(6.2%)
Not applicable	4	(1.9%)
<b>B.2.6 FP7 Implementation 2009 - project management: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2009, the management of FP7 projects by Commission Services?</b>		
	Number of requested records	% of total number records
5 (= excellent)	7	(3.3%)
4 (= good)	98	(46.4%)
3 (= satisfactory)	81	(38.4%)
2 (= poor)	16	(7.6%)
1 (= very poor)	0	0%
No opinion	8	(3.8%)
Not applicable	1	(0.5%)
<b>B.2.7 FP7 Implementation 2009 - simplification (1): Based on your own observations and the feedback received from researchers and stakeholders in your country, please rate, for 2009, the ease of the use of FP7 for the following administrative and financial aspects or procedures, compared to FP6:</b>		
<b>a. Finding information on Framework Programme:</b>		
	Number of requested records	% of total number records
Easier than in FP6	105	(49.8%)
Same as in FP6	74	(35.1%)
More difficult than in FP6	4	(1.9%)
No opinion	17	(8.1%)
Not applicable	11	(5.2%)
<b>b. Finding information on open calls:</b>		
	Number of requested records	% of total number records
Easier than in FP6	112	(53.1%)
Same as in FP6	68	(32.2%)
More difficult than in FP6	4	(1.9%)
No opinion	16	(7.6%)
Not applicable	11	(5.2%)
<b>c. FP7 application procedures (proposal submission):</b>		
	Number of requested records	% of total number records
Easier than in FP6	118	(55.9%)
Same as in FP6	54	(25.6%)
More difficult than in FP6	12	(5.7%)
No opinion	18	(8.5%)
Not applicable	9	(4.3%)
<b>d. FP7 grant negotiations:</b>		
	Number of requested records	% of total number records
Easier than in FP6	54	(25.6%)
Same as in FP6	75	(35.5%)
More difficult than in FP6	26	(12.3%)
No opinion	45	(21.3%)
Not applicable	11	(5.2%)
<b>e. FP7 project management (in general):</b>		
	Number of requested records	% of total number records
Easier than in FP6	51	(24.2%)
Same as in FP6	89	(42.2%)
More difficult than in FP6	30	(14.2%)
No opinion	31	(14.7%)
Not applicable	10	(4.7%)
<b>f. FP7 project management - financial aspects and requirements:</b>		
	Number of requested records	% of total number records
Easier than in FP6	63	(29.9%)
Same as in FP6	62	(29.4%)
More difficult than in FP6	49	(23.2%)
No opinion	28	(13.3%)
Not applicable	9	(4.3%)

<b>g. FP7 project reporting and project reviews:</b>		
	Number of requested records	% of total number records
Easier than in FP6	70	(33.2%)
Same as in FP6	56	(26.5%)
More difficult than in FP6	41	(19.4%)
No opinion	32	(15.2%)
Not applicable	12	(5.7%)
<b>h. FP7 IT tools (e.g. NEF):</b>		
	Number of requested records	% of total number records
Easier than in FP6	93	(44.1%)
Same as in FP6	31	(14.7%)
More difficult than in FP6	35	(16.6%)
No opinion	38	(18%)
Not applicable	14	(6.6%)
<b>i. Communication with Commission Services (e.g. Project Officer, Financial Officer) in FP7:</b>		
	Number of requested records	% of total number records
Easier than in FP6	55	(26.1%)
Same as in FP6	95	(45%)
More difficult than in FP6	19	(9%)
No opinion	30	(14.2%)
Not applicable	12	(5.7%)
<b>B.2.8 FP7 Implementation 2009 - simplification (2): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2009, the ease of the use of FP7 for the following administrative and financial aspects or procedures in absolute terms?</b>		
<b>a. Finding information on FP7:</b>		
	Number of requested records	% of total number records
5 (= excellent)	47	(22.3%)
4 (= good)	109	(51.7%)
3 (= satisfactory)	50	(23.7%)
2 (= poor)	3	(1.4%)
1 (= very poor)	0	0%
No opinion	2	(0.9%)
Not applicable	0	0%
<b>b. Finding information on FP7 open calls:</b>		
	Number of requested records	% of total number records
5 (= excellent)	66	(31.3%)
4 (= good)	94	(44.5%)
3 (= satisfactory)	46	(21.8%)
2 (= poor)	2	(0.9%)
1 (= very poor)	0	0%
No opinion	2	(0.9%)
Not applicable	1	(0.5%)
<b>c. FP7 application procedures (proposal submission):</b>		
	Number of requested records	% of total number records
5 (= excellent)	32	(15.2%)
4 (= good)	115	(54.5%)
3 (= satisfactory)	50	(23.7%)
2 (= poor)	9	(4.3%)
1 (= very poor)	0	0%
No opinion	5	(2.4%)
Not applicable	0	0%
<b>d. FP7 grant negotiations:</b>		
	Number of requested records	% of total number records
5 (= excellent)	8	(3.8%)
4 (= good)	66	(31.3%)
3 (= satisfactory)	94	(44.5%)
2 (= poor)	23	(10.9%)
1 (= very poor)	0	0%
No opinion	20	(9.5%)
Not applicable	0	0%

<b>e. FP7 project management (in general):</b>		
	Number of requested records	% of total number records
5 (= excellent)	9	(4.3%)
4 (= good)	70	(33.2%)
3 (= satisfactory)	97	(46%)
2 (= poor)	21	(10%)
1 (= very poor)	0	0%
No opinion	14	(6.6%)
Not applicable	0	0%
<b>f. FP7 project management - financial aspects and requirements:</b>		
	Number of requested records	% of total number records
5 (= excellent)	6	(2.8%)
4 (= good)	54	(25.6%)
3 (= satisfactory)	93	(44.1%)
2 (= poor)	35	(16.6%)
1 (= very poor)	8	(3.8%)
No opinion	15	(7.1%)
Not applicable	0	0%
<b>g. FP7 project reporting and project reviews:</b>		
	Number of requested records	% of total number records
5 (= excellent)	8	(3.8%)
4 (= good)	69	(32.7%)
3 (= satisfactory)	81	(38.4%)
2 (= poor)	29	(13.7%)
1 (= very poor)	3	(1.4%)
No opinion	21	(10%)
Not applicable	0	0%
<b>h. FP7 IT tools (e.g. NEF):</b>		
	Number of requested records	% of total number records
5 (= excellent)	26	(12.3%)
4 (= good)	59	(28%)
3 (= satisfactory)	68	(32.2%)
2 (= poor)	21	(10%)
1 (= very poor)	5	(2.4%)
No opinion	30	(14.2%)
Not applicable	2	(0.9%)
<b>i. Communication with Commission Services (e.g. Project Officer, Financial Officer):</b>		
	Number of requested records	% of total number records
5 (= excellent)	24	(11.4%)
4 (= good)	87	(41.2%)
3 (= satisfactory)	62	(29.4%)
2 (= poor)	16	(7.6%)
1 (= very poor)	4	(1.9%)
No opinion	18	(8.5%)
Not applicable	0	0%
<b>B.2.9 FP7 Implementation 2009 - dissemination of project findings (1): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2009, the communication and dissemination of FP7 project findings by the project consortia?</b>		
	Number of requested records	% of total number records
5 (=excellent)	4	(1.9%)
4 (= good)	78	(37%)
3 (= satisfactory)	72	(34.1%)
2 (= poor)	20	(9.5%)
1 (= very poor)	2	(0.9%)
No opinion	28	(13.3%)
Not applicable	7	(3.3%)
<b>B.2.10 FP7 Implementation 2009 - dissemination of project findings (2): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2009, the communication and dissemination of FP7 project findings by the Commission?</b>		
	Number of requested records	% of total number records
5 (= excellent)	7	(3.3%)
4 (= good)	81	(38.4%)
3 (= satisfactory)	59	(28%)
2 (= poor)	36	(17.1%)
1 (= very poor)	1	(0.5%)
No opinion	22	(10.4%)
Not applicable	5	(2.4%)

<b>B.3 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>		
	Number of requested records	% of total number records
5 (= strongly agree)	52	(24.6%)
4 (= agree)	86	(40.8%)
3 (= average)	39	(18.5%)
2 (= disagree)	6	(2.8%)
1 (= strongly disagree)	3	(1.4%)
No opinion	24	(11.4%)
Not applicable	1	(0.5%)
<b>B.4 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 2009, compared with similar international research actions or large national schemes?</b>		
	Number of requested records	% of total number records
5 (= FP7 much less complex than other schemes)	10	(4.7%)
4 (= less complex)	25	(11.8%)
3 (= about the same)	46	(21.8%)
2 (= more complex)	95	(45%)
1 (= much more complex)	19	(9%)
No opinion	15	(7.1%)
Not applicable	1	(0.5%)
<b>C. VIEWS IN THE CONTEXT OF THE INTERIM EVALUATION OF FP7</b>		
<b>C.1.1 Impact of FP7 on shaping the European Research Area - ERA (1): Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that the current level of FP7 funding is sufficient in order to achieve its objectives towards ERA?</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	3	(1.4%)
4 (= agree)	58	(27.5%)
3 (= average)	80	(37.9%)
2 (= disagree)	49	(23.2%)
1 (= strongly disagree)	7	(3.3%)
No opinion	14	(6.6%)
<b>C.1.2 Impact of FP7 on shaping ERA (2): Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that the distribution of funding of FP7 is appropriate in order to achieve its objectives towards ERA?</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	3	(1.4%)
4 (= agree)	58	(27.5%)
3 (= average)	95	(45%)
2 (= disagree)	30	(14.2%)
1 (= strongly disagree)	8	(3.8%)
No opinion	17	(8.1%)
<b>C.1.3 Impact of FP7 on shaping ERA (3): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate the effectiveness of FP7:</b>		
<b>a. In engaging with and influencing public and private research programmes and activities of Member States?</b>		
	Number of requested records	% of total number records
5 (= very high)	9	(4.3%)
4 (= high)	81	(38.4%)
3 (= average)	76	(36%)
2 (= low)	34	(16.1%)
1 (= very low)	2	(0.9%)
No opinion	9	(4.3%)
<b>b. In terms of visibility of FP7 activities and results to the public?</b>		
	Number of requested records	% of total number records
5 (= very high)	4	(1.9%)
4 (= high)	44	(20.9%)
3 (= average)	104	(49.3%)
2 (= low)	42	(19.9%)
1 (= very low)	12	(5.7%)
No opinion	5	(2.4%)
<b>c. In supporting the development of world-class Research Infrastructures in Europe?</b>		
	Number of requested records	% of total number records
5 (= very high)	15	(7.1%)
4 (= high)	93	(44.1%)
3 (= average)	65	(30.8%)
2 (= low)	22	(10.4%)
1 (= very low)	1	(0.5%)
No opinion	15	(7.1%)

<b>C.2.1 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 attracts the best researchers and research organisations from all geographical areas of the EU?</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	20	(9.5%)
4 (= agree)	93	(44.1%)
3 (= average)	78	(37%)
2 (= disagree)	13	(6.2%)
1 (= strongly disagree)	2	(0.9%)
No opinion	5	(2.4%)
<b>C.2.2 Role of FP7 in global context (2): Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that the success rates in FP7 calls are satisfactory to safeguard a sustained participation from excellent researchers?</b>		
	Number of requested records	% of total number records
5 (= satisfactory for almost all areas of FP7)	10	(4.7%)
4 (= satisfactory for most areas)	49	(23.2%)
3 (= satisfactory for some areas)	103	(48.8%)
2 (= satisfactory for relatively few areas)	35	(16.6%)
1 (= satisfactory for almost no areas)	6	(2.8%)
No opinion	8	(3.8%)
<b>C.2.3 Role of FP7 in global context (3): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate the importance of the following factors in encouraging excellent researchers to participate in FP7?</b>		
<b>a. High quality of research</b>		
	Number of requested records	% of total number records
5 (= very high)	78	(37%)
4 (= high)	109	(51.7%)
3 (= average)	23	(10.9%)
2 (= low)	1	(0.5%)
1 (= very low)	0	0%
No opinion	0	0%
<b>b. Additional funding</b>		
	Number of requested records	% of total number records
5 (= very high)	77	(36.5%)
4 (= high)	98	(46.4%)
3 (= average)	29	(13.7%)
2 (= low)	2	(0.9%)
1 (= very low)	3	(1.4%)
No opinion	2	(0.9%)
<b>c. Formation of new collaborations &amp; long-term scientific networking</b>		
	Number of requested records	% of total number records
5 (= very high)	81	(38.4%)
4 (= high)	99	(46.9%)
3 (= average)	25	(11.8%)
2 (= low)	4	(1.9%)
1 (= very low)	1	(0.5%)
No opinion	1	(0.5%)
<b>d. Good research conditions (e.g. availability of state-of-the-art equipment)</b>		
	Number of requested records	% of total number records
5 (= very high)	48	(22.7%)
4 (= high)	111	(52.6%)
3 (= average)	48	(22.7%)
2 (= low)	4	(1.9%)
1 (= very low)	0	0%
No opinion	0	0%
<b>e. Enhancing knowledge</b>		
	Number of requested records	% of total number records
5 (= very high)	42	(19.9%)
4 (= high)	128	(60.7%)
3 (= average)	37	(17.5%)
2 (= low)	4	(1.9%)
1 (= very low)	0	0%
No opinion	0	0%

<b>f. Research results leading to patents, licenses, etc.</b>		
	Number of requested records	% of total number records
5 (= very high)	29	(13.7%)
4 (= high)	63	(29.9%)
3 (= average)	80	(37.9%)
2 (= low)	22	(10.4%)
1 (= very low)	7	(3.3%)
No opinion	10	(4.7%)
<b>g. Low administrative burden (easy procedures)</b>		
	Number of requested records	% of total number records
5 (= very high)	67	(31.8%)
4 (= high)	45	(21.3%)
3 (= average)	38	(18%)
2 (= low)	30	(14.2%)
1 (= very low)	27	(12.8%)
No opinion	4	(1.9%)
<b>h. Enhanced career prospects &amp; reputation</b>		
	Number of requested records	% of total number records
5 (= very high)	53	(25.1%)
4 (= high)	105	(49.8%)
3 (= average)	39	(18.5%)
2 (= low)	11	(5.2%)
1 (= very low)	2	(0.9%)
No opinion	1	(0.5%)
<b>C.2.4 Role of FP7 in global context (4): Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that FP7 ...</b>		
<b>a. ... comprises an effective balance between academic, industrial (including SMEs), and research organisation sectors?</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	11	(5.2%)
4 (= agree)	71	(33.6%)
3 (= average)	74	(35.1%)
2 (= disagree)	43	(20.4%)
1 (= strongly disagree)	5	(2.4%)
No opinion	7	(3.3%)
<b>b. ... adequately stimulates the participation of industry?</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	9	(4.3%)
4 (= agree)	53	(25.1%)
3 (= average)	84	(39.8%)
2 (= disagree)	54	(25.6%)
1 (= strongly disagree)	6	(2.8%)
No opinion	5	(2.4%)
<b>c. ... adequately stimulates the participation of women?</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	20	(9.5%)
4 (= agree)	82	(38.9%)
3 (= average)	64	(30.3%)
2 (= disagree)	24	(11.4%)
1 (= strongly disagree)	2	(0.9%)
No opinion	19	-9%
<b>d. ... adequately stimulates the participation of young researchers?</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	15	(7.1%)
4 (= agree)	84	(39.8%)
3 (= average)	75	(35.5%)
2 (= disagree)	21	(10%)
1 (= strongly disagree)	5	(2.4%)
No opinion	11	(5.2%)

<b>C.2.5 Role of FP7 in global context (5): Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that FP7 is perceived as a flagship of research excellence by "Third Countries"?</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	19	(9%)
4 (= agree)	100	(47.4%)
3 (= average)	45	(21.3%)
2 (= disagree)	15	(7.1%)
1 (= strongly disagree)	0	0%
No opinion	32	(15.2%)
<b>C.3.1 FP7 Novel measures (1): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate the design of the following FP7 novel measures?</b>		
<b>a. European Research Council (ERC)</b>		
	Number of requested records	% of total number records
Very well designed	46	(21.8%)
Generally well designed	98	(46.4%)
Acceptable	16	(7.6%)
Poorly done	7	(3.3%)
No opinion	44	(20.9%)
<b>b. Joint Technology Initiatives (JTI)</b>		
	Number of requested records	% of total number records
Very well designed	8	(3.8%)
Generally well designed	50	(23.7%)
Acceptable	55	(26.1%)
Poorly done	42	(19.9%)
No opinion	56	(26.5%)
<b>c. Article 169 Initiatives</b>		
	Number of requested records	% of total number records
Very well designed	3	(1.4%)
Generally well designed	47	(22.3%)
Acceptable	64	(30.3%)
Poorly done	27	(12.8%)
No opinion	70	(33.2%)
<b>d. Risk Sharing Finance Facility (RSFF)</b>		
	Number of requested records	% of total number records
Very well designed	10	(4.7%)
Generally well designed	41	(19.4%)
Acceptable	66	(31.3%)
Poorly done	13	(6.2%)
No opinion	81	(38.4%)
<b>e. ERA-Net plus</b>		
	Number of requested records	% of total number records
Very well designed	11	(5.2%)
Generally well designed	68	(32.2%)
Acceptable	65	(30.8%)
Poorly done	14	(6.6%)
No opinion	53	(25.1%)
<b>C.3.2 FP7 Novel measures (2): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate the implementation of the following FP7 novel measures?</b>		
<b>a. European Research Council (ERC)</b>		
	Number of requested records	% of total number records
Very well implemented	34	(16.1%)
Generally well implemented	96	(45.5%)
Acceptable	31	(14.7%)
Poorly implemented	6	(2.8%)
No opinion	44	(20.9%)
<b>b. Joint Technology Initiatives (JTIs)</b>		
	Number of requested records	% of total number records
Very well implemented	7	(3.3%)
Generally well implemented	43	(20.4%)
Acceptable	58	(27.5%)
Poorly implemented	45	(21.3%)
No opinion	58	(27.5%)



<b>c. Article 169 Initiatives</b>		
	Number of requested records	% of total number records
Very well implemented	4	(1.9%)
Generally well implemented	37	(17.5%)
Acceptable	59	-28%
Poorly implemented	33	(15.6%)
No opinion	78	(37%)
<b>d. Risk Sharing Finance Facility (RSFF)</b>		
	Number of requested records	% of total number records
Very well implemented	8	(3.8%)
Generally well implemented	34	(16.1%)
Acceptable	65	(30.8%)
Poorly implemented	15	(7.1%)
No opinion	89	(42.2%)
<b>e. ERA-Net plus</b>		
	Number of requested records	% of total number records
Very well implemented	6	(2.8%)
Generally well implemented	66	(31.3%)
Acceptable	62	(29.4%)
Poorly implemented	13	(6.2%)
No opinion	64	(30.3%)
<b>C.4.1 FP7 and "grand challenges" (1): Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that FP7 is sufficiently adaptable to changing research needs and policy priorities?</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	8	(3.8%)
4 (= agree)	85	(40.3%)
3 (= average)	93	(44.1%)
2 (= disagree)	18	(8.5%)
1 (= strongly disagree)	0	0%
No opinion	7	(3.3%)
<b>C.4.2 FP7 and "grand challenges" (2): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate the effectiveness of FP7 in:</b>		
<b>a. Supporting truly cross-disciplinary research</b>		
	Number of requested records	% of total number records
5 (= very high)	22	(10.4%)
4 (= high)	106	(50.2%)
3 (= average)	60	(28.4%)
2 (= low)	15	(7.1%)
1 (= very low)	2	(0.9%)
No opinion	6	(2.8%)
<b>b. Ensuring that research outcomes support policy initiatives regarding "grand challenges"</b>		
	Number of requested records	% of total number records
5 (= very high)	8	(3.8%)
4 (= high)	76	(36%)
3 (= average)	86	(40.8%)
2 (= low)	21	(10%)
1 (= very low)	4	(1.9%)
No opinion	16	(7.6%)
<b>C.4.3 FP7 and "grand challenges" (3): Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that stakeholders from science, industry and policy are sufficiently involved in the following areas:</b>		
<b>a. Identifying needs</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	3	(1.4%)
4 (= agree)	73	(34.6%)
3 (= average)	85	(40.3%)
2 (= disagree)	39	(18.5%)
1 (= strongly disagree)	3	(1.4%)
No opinion	8	(3.8%)
<b>b. Shaping priorities</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	6	(2.8%)
4 (= agree)	60	(28.4%)
3 (= average)	84	(39.8%)
2 (= disagree)	46	(21.8%)
1 (= strongly disagree)	6	(2.8%)
No opinion	9	(4.3%)

<b>c. Interactions between researchers and stakeholders within projects</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	9	(4.3%)
4 (= agree)	66	(31.3%)
3 (= average)	98	(46.4%)
2 (= disagree)	22	(10.4%)
1 (= strongly disagree)	2	(0.9%)
No opinion	14	(6.6%)
<b>d. Knowledge dissemination (communication of research results to stakeholders)</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	7	(3.3%)
4 (= agree)	55	(26.1%)
3 (= average)	108	(51.2%)
2 (= disagree)	28	(13.3%)
1 (= strongly disagree)	2	(0.9%)
No opinion	11	(5.2%)
<b>C.5.1 FP7 Simplification (1): Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that FP7 - in general - is getting simpler to use in terms of administrative and financial procedures, compared to previous Framework Programmes?</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	12	(5.7%)
4 (= agree)	60	(28.4%)
3 (= average)	75	(35.5%)
2 (= disagree)	42	(19.9%)
1 (= strongly disagree)	10	(4.7%)
No opinion	12	(5.7%)
<b>C.5.2 FP7 Simplification (2): Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that there is an adequate understanding of simplification by the following actors:</b>		
<b>a. European Commission (Services in charge of FP7)</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	9	(4.3%)
4 (= agree)	84	(39.8%)
3 (= average)	67	(31.8%)
2 (= disagree)	28	(13.3%)
1 (= strongly disagree)	7	(3.3%)
No opinion	16	(7.6%)
<b>b. Universities and Research Organisations</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	5	(2.4%)
4 (= agree)	64	(30.3%)
3 (= average)	90	(42.7%)
2 (= disagree)	38	(18%)
1 (= strongly disagree)	1	(0.5%)
No opinion	13	(6.2%)
<b>c. Industry Participants, in particular SMEs (Small and Medium Enterprises)</b>		
	Number of requested records	% of total number records
5 (= strongly agree)	4	(1.9%)
4 (= agree)	39	(18.5%)
3 (= average)	88	(41.7%)
2 (= disagree)	46	(21.8%)
1 (= strongly disagree)	5	(2.4%)
No opinion	29	(13.7%)
<b>C.5.3 FP7 Simplification (3): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate the effectiveness of the following FP7 simplification measures?</b>		
<b>a. Certification of costs (fewer audit certificates)</b>		
	Number of requested records	% of total number records
5 (= very high)	27	(12.8%)
4 (= high)	98	(46.4%)
3 (= average)	48	(22.7%)
2 (= low)	13	(6.2%)
1 (= very low)	7	(3.3%)
No opinion	18	(8.5%)

<b>b. Participants Guarantee Fund (fewer ex-ante financial checks)</b>		
	Number of requested records	% of total number records
5 (= very high)	25	(11.8%)
4 (= high)	81	(38.4%)
3 (= average)	69	(32.7%)
2 (= low)	5	(2.4%)
1 (= very low)	3	(1.4%)
No opinion	28	(13.3%)
<b>c. Unique Registration Facility (URF)</b>		
	Number of requested records	% of total number records
5 (= very high)	33	(15.6%)
4 (= high)	114	(54%)
3 (= average)	43	(20.4%)
2 (= low)	8	(3.8%)
1 (= very low)	2	(0.9%)
No opinion	11	(5.2%)
<b>d. Certification of methodology</b>		
	Number of requested records	% of total number records
5 (= very high)	4	(1.9%)
4 (= high)	51	(24.2%)
3 (= average)	47	(22.3%)
2 (= low)	40	(19%)
1 (= very low)	28	(13.3%)
No opinion	41	(19.4%)
<b>e. Web-based electronic system for negotiations</b>		
	Number of requested records	% of total number records
5 (= very high)	15	(7.1%)
4 (= high)	102	(48.3%)
3 (= average)	45	(21.3%)
2 (= low)	11	(5.2%)
1 (= very low)	2	(0.9%)
No opinion	36	(17.1%)
<b>f. Project reporting - streamlined guidelines and structure of reports</b>		
	Number of requested records	% of total number records
5 (= very high)	18	(8.5%)
4 (= high)	84	(39.8%)
3 (= average)	65	(30.8%)
2 (= low)	16	(7.6%)
1 (= very low)	5	(2.4%)
No opinion	23	(10.9%)
<b>g. Grant amendments - streamlined rules and procedures</b>		
	Number of requested records	% of total number records
5 (= very high)	11	(5.2%)
4 (= high)	64	(30.3%)
3 (= average)	87	(41.2%)
2 (= low)	14	(6.6%)
1 (= very low)	2	(0.9%)
No opinion	33	(15.6%)
<b>h. Research Participant Portal</b>		
	Number of requested records	% of total number records
5 (= very high)	13	(6.2%)
4 (= high)	83	(39.3%)
3 (= average)	41	(19.4%)
2 (= low)	14	(6.6%)
1 (= very low)	4	(1.9%)
No opinion	56	(26.5%)

## ANNEX D: GLOSSARY

AAL	– Ambient Assisted Living Joint Programme
ARTEMIS	– Embedded Computing Systems Joint Technology Initiative
BRIC	– Brazil, Russia, India, China
BSG	– Research for the Benefit of Specific Groups
CIG	– Career Integration Grants
Clean Sky	– Aeronautics and Air Transport Joint Technology Initiative
CORDA	– Common Research Data Warehouse
CP/CP-CSA	– Combination of Collaborative Project & Coordination and Support Action
CSA	– Coordination and Support Action
DIS	– Dedicated Implementation Structure
EC	– European Commission
EDCTP	– European & Developing Countries Clinical Trials Partnership
EFDA	– European Fusion Development Agreement
EG	– Expert Group
EIB	– European Investment Bank
EMRP	– European Metrology Joint Research Programme
ENP	– European Neighbourhood Policy
ENIAC	– Nanoelectronics Technologies 2020 Joint Technology Initiative
ERA	– European Research Area
ERAB	– European Research Area Board
ERC	– European Research Council
ERCEA	– European Research Council Executive Agency
ESFRI	– European Strategy Forum on Research Infrastructures
EURAB	– European Advisory Board
EU SDS	– EU renewed Sustainable Development Strategy
FCH	– Fuel Cells and Hydrogen Joint Technology Initiative
FP	– Framework Programme for Research and Technological Development
F4E	– Fusion for Energy European Joint Undertaking
GIF	– Generation IV International Forum
HES	– Higher or Secondary Education Organisation
IAPP	– Marie Curie Industry-Academia Pathways and Partnerships
ICT	– Information and Communication Technologies
IEF	– Intra-European Fellowships
IGD-TP	– Implementing Geological Disposal Technology Platform
IIF	– International Incoming Fellowships
IMI	– Innovative Medicines Initiative
IOF	– International Outgoing Fellowships
IRSES	– Marie Curie International Research Staff Exchange Scheme
ITER	– International Thermonuclear Experimental Reactor
ITN	– Marie Curie Initial Training Networks
JAC	– Joint-Assessment Committee
JET	– Joint European Torus
JRC	– Joint Research Centre

JTI	– Joint Technology Initiative
JU	– Joint Undertaking
LEAR	– Legal Entity Appointed Representative
MCA	– Marie Curie Actions
MELODI	– Multidisciplinary European Low-Dose Initiative
NCP	– National Contact Point
NoE	– Network of Excellence
PIC	– Participant Identification Code
PMO	– Office for Administration and Payment of Individual Entitlements
PRC	– Private for Profit
PUB	– Public Body
REA	– Research Executive Agency
RTDI	– Research, Technological Development and Innovation
REC	– Research Organisation
RO	– Redress Office
ROs	– Research Organisations
RSFF	– Risk Sharing Financial Facilities
ScC	– Independent Scientific Council
SET-Plan	– Strategic Energy Technology Plan
SFIC	– Strategic Forum for International Cooperation
SICAS	– Specific International Coordination Actions
SiS	– Science in Society
SLA	– Service Level Agreement
SNE-TP	– Sustainable Nuclear Energy Technology Platform
SRA	– Strategic Research Agenda
SSH	– Socio-economic Sciences and Humanities
S&T	– Science and Technology
URF	– Unique Registration Facility

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