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Sixth FP7 Monitoring Report

MONITORING REPORT 2012

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Research and
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0 EXECUTIVE SUMMARY

The Sixth FP7 Monitoring Report focuses on the Framework Programme implementation in 2012, provides an integrated view on the different strands of FP7 activities and also presents a comparative analysis of FP7 implementation during 2007-2012.

Although the document structure is similar to the one used in the previous reports, there are a number of novelties added in this version. In section 2 this document provides a detailed analysis of FP7 participation patterns in 2012, and for the overall period from 2007 to 2012. FP7 implementation management and quality issues are the focus of section 3 and include the current situation with regard to the simplification process and also the results of an annual National Contact Points (NCPs) survey on FP7 implementation and simplification. Section 4 presents some of the elements of the Framework Programme which deserve special focus. Section 5 looks at the achievements of the Framework Programme.

The main new feature in this report is the presentation of the first results from the new SESAM Research Performance and Impact Reporting tool (RESPIR). This application provides, for the first time in the history of the Framework Programme's implementation, a solid quantitative and some qualitative basis for assessing the outputs of Framework Programme projects. More specifically, the tool presents statistical data on bibliometrics, intellectual property rights, workforce statistics, gender and ethical issues based on FP7 project final reports. For the time being, RESPIR reports on data derived from projects administered by DG RTD and the Research Executive Agency (REA).

Section 2 provides information on FP7 participation patterns in 2007-2012. The following selected facts and figures highlight some of the main features of this chapter:

- The *magnitude of FP7* is illustrated by the impressive participation figures: during six years of FP7, 379 concluded calls received more than 113.000 proposals, out of which more than 103.000 – involving more than 485.000 applicant organisations and individuals – were included in the evaluation procedure, and more than 20.000 – involving more than 105.000 participants – were finally retained for negotiations, with a corresponding requested EU funding of € 32,8 billion. Proposals and applicants had an average success rate of 19% and 22% respectively.
- More than half of all recorded calls in 2012 were launched under the Specific Programme Cooperation. Higher and secondary education institutes (HES) remain in 2012 the main beneficiaries of FP7, both in terms of numbers of applicants and requested EU funding, with respectively 39% and 29% of the total in retained proposals.
- On the *participation of Small and Medium Enterprises (SMEs)*, it is estimated that during the first six years of FP7 implementation, 17% of all participants in signed grant agreements were SMEs.
- As a novelty, maps present a visual distribution of FP7 participation counts, as well as the EU financial contribution at NUTS3 level.
- The significant international dimension of FP7 is illustrated by the fact that over a period of five years it funds projects with participant organisations from as many as 170 countries. Outside the group of EU and Associated Countries the biggest participants are the USA, Russia, China, Brazil and India.
- On the *gender dimension of FP7 participation*, it is estimated that 21,1% of contact persons for scientific aspects in FP7 funded projects are female. A more detailed analysis in chapter 2.5 shows significant variations among the different thematic areas of FP7 as well as among the EU Member States.

Section 3 focuses on FP7 implementation management and quality issues.

- On the redress and ethical review procedures, out of the 3.160 requests for redress received, only 72 led to a re-evaluation, whereas 1.766 ethical reviews were organised so far with no project having been stopped.
- The average Time-to-grant for the whole of FP7 is 320 days representing an improvement compared to previous years.

Section 5 provides information on achievements of the Framework Programme.

- By mid-May 2013, over 16.000 publications were reported by the 3.220 projects for which the final reports have been processed. Almost half of these reported publications were publications in High Impact Peer Reviewed Journals.
- Similarly, these projects reported 505 patent applications.

Annex B provides more detailed statistical information on various aspects of FP7 implementation.

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

Please send your comments to:

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1 INTRODUCTION

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

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

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

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

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

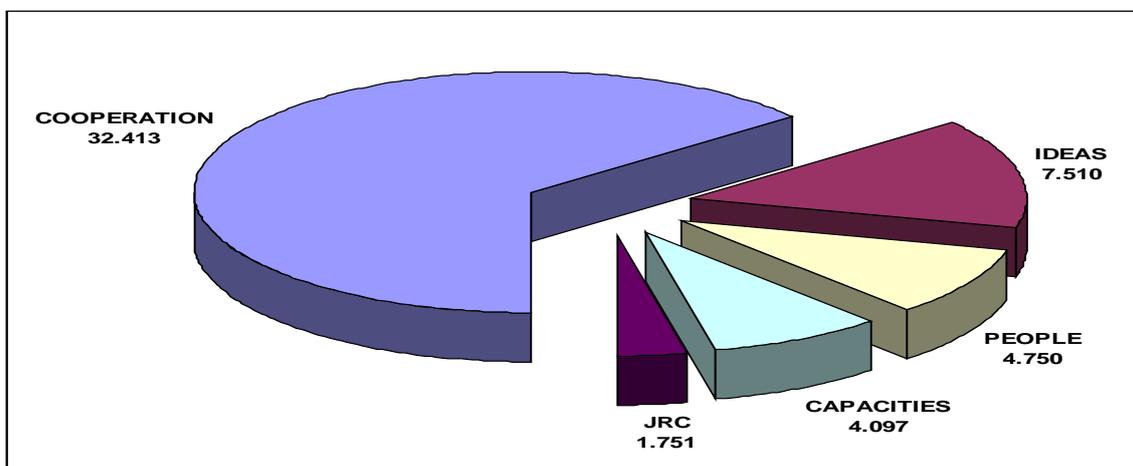
FP7 builds on the achievements and good practice of earlier Framework Programmes with a good deal of continuity both at an operational level and in terms of strategic objectives. There are however, a number of novelties which represent a significant change compared to previous Framework Programmes. These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

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

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

| Specific Programmes | Thematic Areas | Abbreviation used in graphs |
|----------------------|---|--|
| COOPERATION | Health | Health |
| | Food, Agriculture, and Biotechnology | KBBE |
| | Information and Communication Technologies | ICT |
| | Nanosciences, Nanotechnologies, Materials and new Production Technologies | NMP |
| | Energy | Energy |
| | Environment (including Climate Change) | ENV |
| | Transport (including Aeronautics) | Transport |
| | Socio-economic Sciences and Humanities | SSH |
| | Space | Space |
| | Security | Security |
| | General Activities | General |
| IDEAS | Starting Independent Researcher Grants | ERC |
| | Advanced Investigator Grants | ERC |
| PEOPLE | Initial Training of Researchers | MarieCurie |
| | Lifelong Training and Career Development | MarieCurie |
| | Industry - Academia Partnerships and Pathways | MarieCurie |
| | The International Dimension | MarieCurie |
| | Specific Actions | SA |
| | Research Infrastructures | INFRA |
| CAPACITIES | 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 |
| | | Nuclear Fission and Radiation Protection |
| 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 (FP7 EURATOM budget of € 2,7 billion over 5 years not included).



2 FP7 PARTICIPATION PATTERNS IN 2012

2.1 Overall participation

This section aims to provide a comprehensive statistical overview of FP7 implementation in 2012 as well as a comparative overview of the period 2007-2012. The data used in this section are exclusively drawn from the Common Research Data (CORDA) warehouse.

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

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

This report is based on statistical data on calls for proposals with closure dates in 2007 - 2012, which have been concluded by February 2013. The reported numbers of concluded calls are not final, especially for 2012, 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 2010 and 2011, which have been updated according to the latest available information. It is, therefore, important to keep in mind the preliminary nature of the 2012 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 updated accordingly. Due to the constantly changing picture of grant agreement statistics, the time lag of this procedure, and the consequent limited availability of data on grant agreements signed during the most recent year at the moment of data extraction, the Monitoring Reports follow the convention of only presenting cumulative statistics on grant agreements instead of statistics on a year by year basis.

Box 1: Data issues and methodology

The Monitoring Report 2012 is based on data from the E-CORDA. Data extraction was carried out on 26 February 2013. The presented tables and data analysis are based on 379 calls.

It should be noted that the proposals figures for 2012 are based on the calls concluded in 2012, while signed grant agreement figures are based on the grants signed in 2012.

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

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

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

'Unique Registration Facility' (URF) for participants.

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

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

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

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

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

2.1.1 Calls, proposals, applicants and corresponding success rates

The 53 calls for proposals with call closures dates in 2012 recorded in CORDA by February 2013 attracted a total of 17.646 applications for funding. The majority of submitted proposals (98% or 17.374) was 'included' (as defined above), and less than a fifth of those (3.089) were retained for funding negotiations with an overall success rate of 18% – comparable to the average success rate of the 2007-2012 period (19%).

In February 2013, included and retained proposals involved a total of 70.955 and 14.821 applicants respectively with an overall success rate of 21%. The recorded numbers of applicants in retained proposals so far are higher than in 2011 (12.821), but still much lower than those recorded in 2009 (19.471). The success rate in 2012 is slightly lower than the average for the six years (22%).

The aggregate figures for the period 2007-2012 show that for a total of 379 concluded calls, 113.508 proposals were submitted, out of which 103.894 – involving 485.150 applicants – were included, and 20.190 – involving 105.909 applicants – were retained for negotiations. The average success rate for the five-year period was 19% in terms of proposals and 22% in terms of applicants. For more detailed statistics see Table B2 in Annex B.

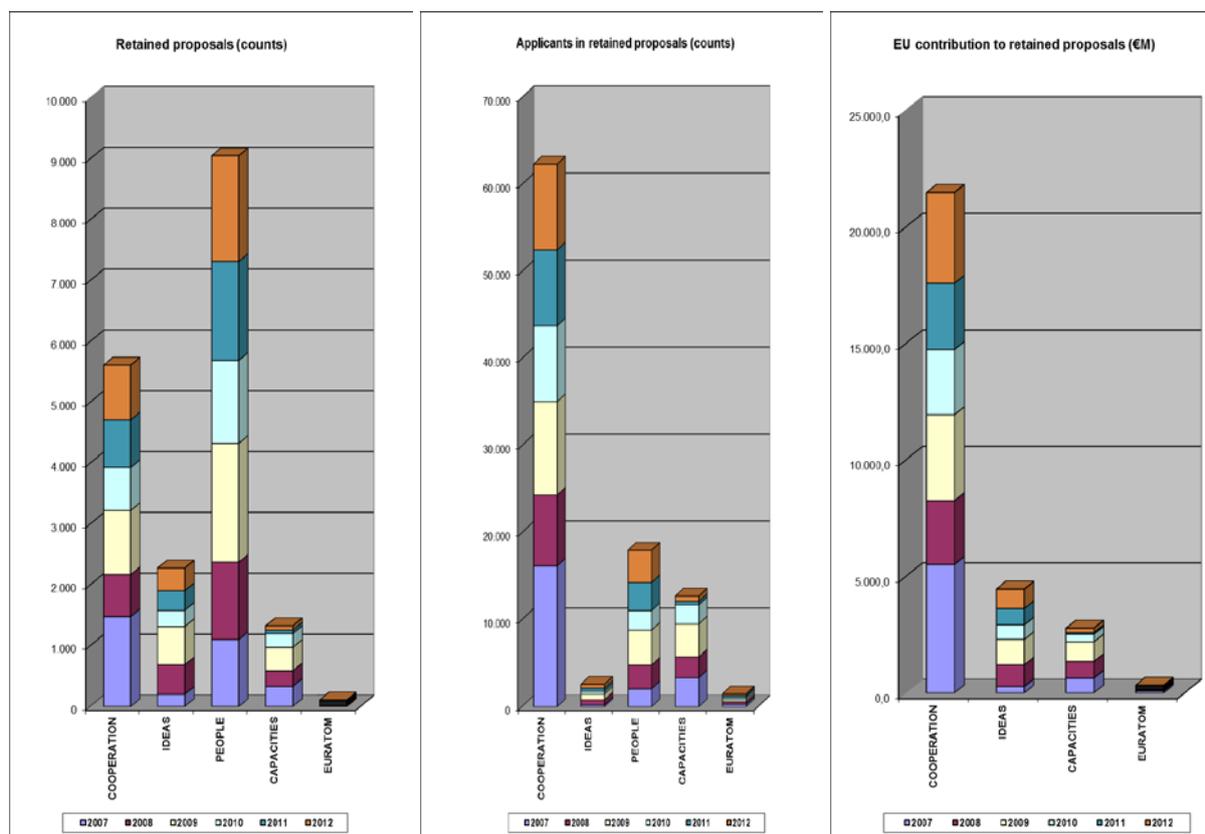
2.1.2 Project costs, requested EU contribution and corresponding success rates

The included proposals, which correspond to the 53 recorded calls in 2012, involved a total project cost of € 37,1 billion with a requested EU contribution of € 30,7 billion. After the evaluation and selection stage the requested EU contribution is € 4,9 billion, corresponding to a success rate of 16%, lower than the average for the six years (19%).

The aggregate project cost of the retained proposals for the period 2007-2012 is € 41,4 billion and the corresponding EU financial contribution is € 32,8 billion with a corresponding average success rate of 19%.

For more detailed statistics on the numbers of included and retained proposals, applicants, budgets and the corresponding success rates see also Figure 2 below, as well as Tables B8-B11 in Annex B².

Figure 2: Numbers of proposals, applicants and amounts of requested EU financial contribution (in €million) in retained proposals for FP7 calls concluded in 2007 - 2012 by specific programme.



Specific Programme COOPERATION

More than half (31) of all recorded calls in 2012 was launched under the Specific Programme *Cooperation*. Under *Cooperation*, a quarter of all included (4.402) and retained (898) proposals were received, involving more than 60% of all applicants (43.251 and 9.863 respectively).

The aggregate figures for FP7 subscription and participation under *Cooperation* in 2012 in terms of numbers of proposals, applicants and amounts of budgets as recorded in CORDA at the time of data extraction (February 2013) are higher than in 2011 and 2010, but lower than in 2009, both in terms of included and retained proposals, while success rates are generally lower than those in past years (see Table B2 in Annex B).

More than one third of all retained proposals under *Cooperation* in 2012 come from the thematic area of *Information and Communication Technologies* followed by *Health* (17,6% of proposals) and *Nanosciences, Nanotechnologies, Materials and new Production Technologies* (12%). The highest success rates in one stage calls were recorded in *Transport*, the lowest in *Socio-economic Science and Humanities*.

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

Specific Programme IDEAS (European Research Council)

As recorded in the CORDA database by February 2013, 6 calls with closure dates in 2012, which were launched by the European Research Council (ERC) attracted 3.177 proposals, 3.104 of which were included in the selection but only 373 of those were retained for negotiations – representing slightly more than a tenth of the total number of retained proposals in 2012 – with a corresponding success rate of 12%.

The requested EU contribution amounts to an estimated € 836 million or € 1,87 million per applicant with a success rate of 8%.

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

11 concluded calls (10 calls managed by the Research Executive Agency (REA) and 1 by DG RTD) with closure dates in 2012 were launched under the Specific Programme People. The calls received more than half of all included and retained proposals (9.360 and 1.736 respectively) with 27% and 25% of all applicants respectively.

The recorded average success rates at the level of proposals and at the level of applicants³ were 19%. This is lower than the average success rates for the six-year period – 24% and 23% respectively.

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

Specific Programme CAPACITIES

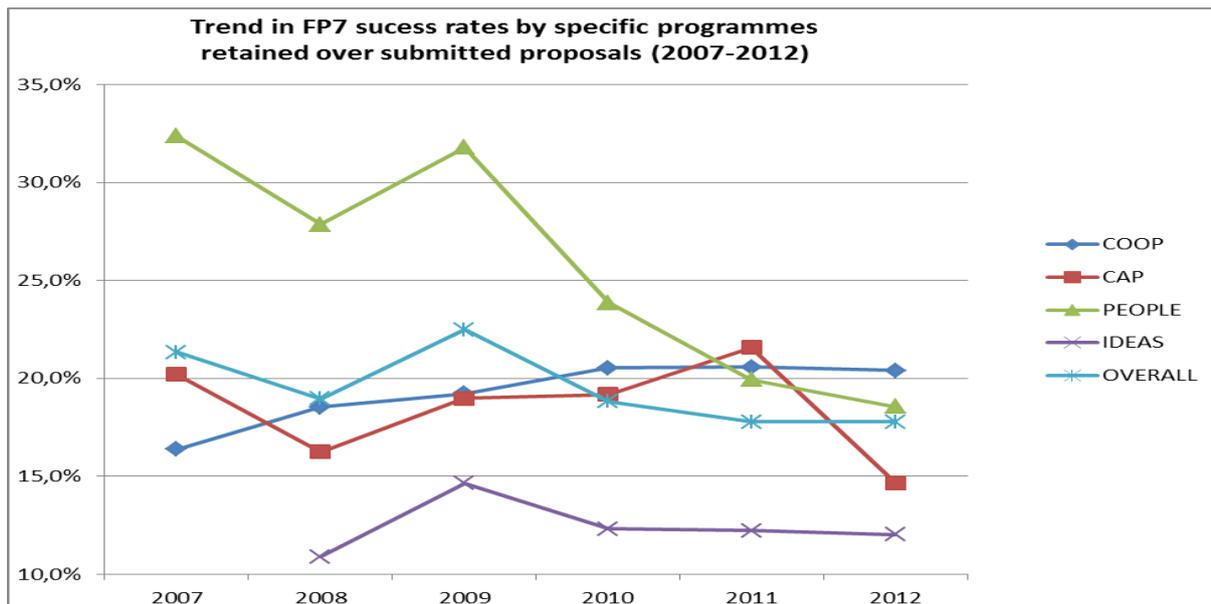
The 4 calls with call closure dates in 2012, which were launched under the Specific Programme *Capacities*, attracted around 3% of all included and retained proposals. In 2012, the numbers of applicants and amounts of requested EU contributions were slightly higher than in 2011, but considerably lower than those of previous years. The thematic area under Capacities with by far the largest share of included proposals was *Research Potential* (60% of proposals), while the highest number of retained proposals was recorded in *Science in Society* (58% of proposals).

FP7 Success rates

Overall, the FP7 success rate (proposals) is moving around 20% over the years of FP7 implementation, but is varying across different programmes. Success rates in the Cooperation programme is continuously improving, while the specific programme People is getting more competitive over time. Very competitive calls were recorded under the Capacities programme in 2012. The Ideas programme remains the most competitive programme: despite its growth the success rate still remains under 15%.

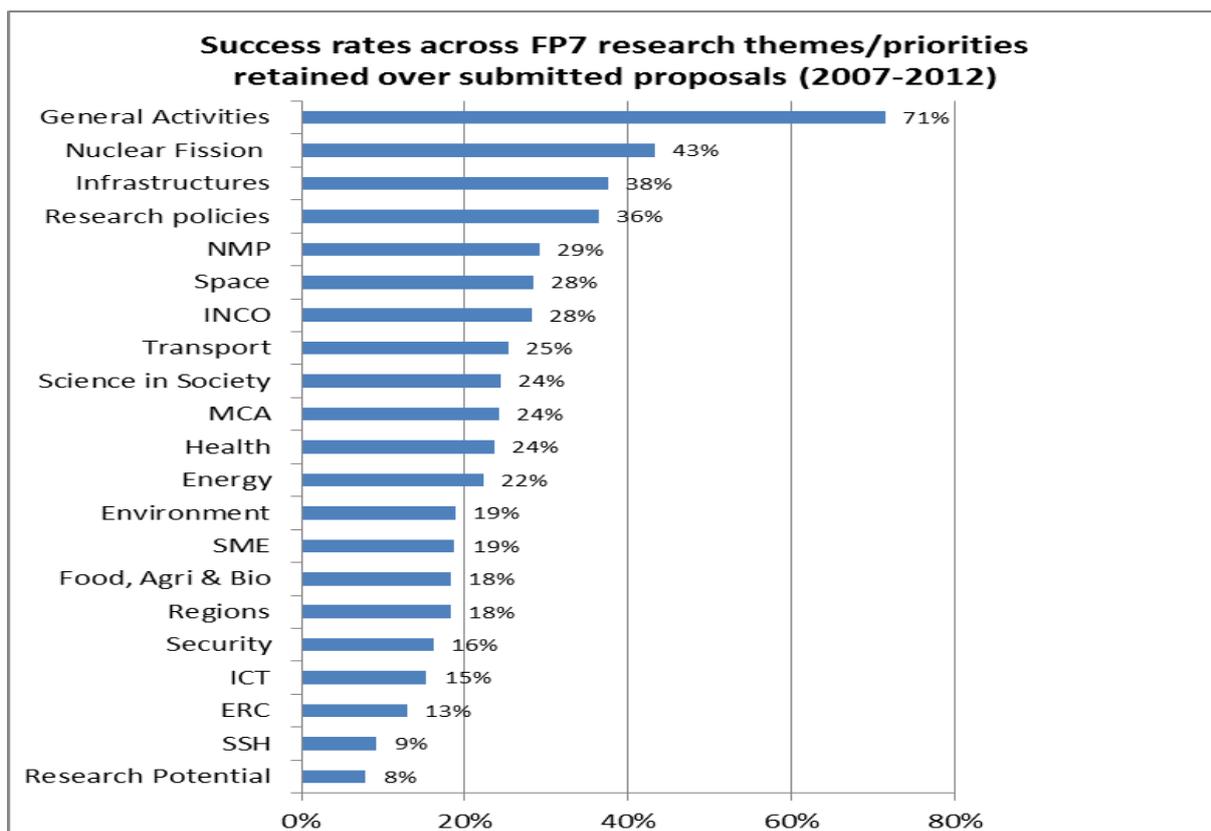
³ It should be noted that 70% of the Marie Curie Actions budget is allocated for actions with much lower success rate: 9% for ITN and 17% in Individual Fellowships.

Figure 3: Trend in the FP7 success rates in retained over submitted proposals by specific programme 2007-2012.



Success rates across FP7 research themes vary significantly from the overall global FP7 success rate (19%). In some cases, this is a result of different types of call procedures. In two-stage calls (mostly in *Health, Environment, Nanosciences, Nanotechnologies, Materials and new Production Technologies*), 1st stage proposals are excluded from calculations; these thematic priorities therefore generally record higher success rates.

Figure 4: Success rates across FP7 research themes /priorities 2007-2012 (Euratom Fusion and Fission are not included due to data incompleteness)



2.1.3 Signed grant agreements, participants and EU contribution

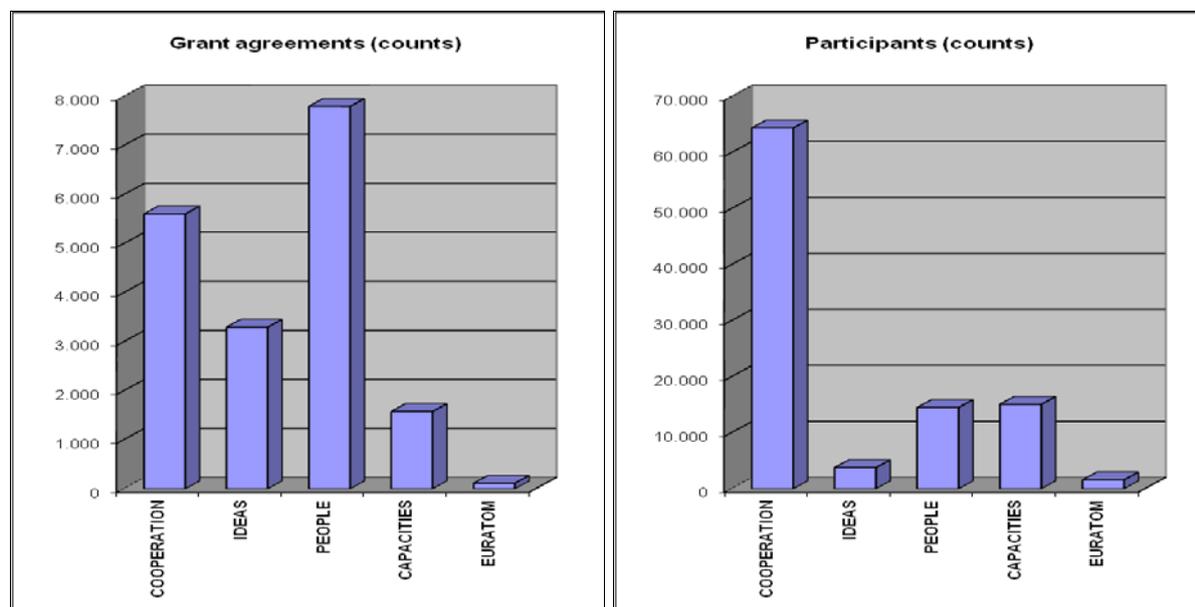
As explained in the introductory paragraph of this section, recently signed grant agreements are continuously added in the CORDA database. Given the constantly changing picture of the statistics on grant agreements, due to the continuous update of the database, it is deemed more informative to examine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

For the concluded calls with closure dates in 2007-2012 as of February 2013, 18.394 grant agreements have been signed, which involve 99.346 participants and will be funded by the EU with an amount of € 32,5 billion.

Table 2: Numbers of FP7 signed grant agreements, participants and EU contribution (in € million) for concluded FP7 calls with closure dates in the period 2007-2012 by specific programme.

| SPECIFIC PROGRAMME | GRANTS | GRANT HOLDERS | EU CONTRIBUTION (€ Million) | AVERAGE EU CONTRIBUTION PER GRANT (€ Million) |
|--------------------|---------------|---------------|-----------------------------|---|
| COOPERATION | 5.606 | 64.410 | 20.567 | 3,67 |
| IDEAS | 3.297 | 3.776 | 5.289 | 1,60 |
| PEOPLE | 7.801 | 14.500 | 3.371 | 0,43 |
| CAPACITIES | 1.577 | 15.071 | 3.002 | 1,9 |
| EURATOM | 113 | 1.589 | 293 | 2,6 |
| TOTAL | 18.394 | 99.346 | 32.523 | 1,77 |

Figure 5: Numbers of signed grant agreements and participants for FP7 calls concluded during the period 2007-2012 (as of February 2013)



2.2 Participation by funding scheme

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

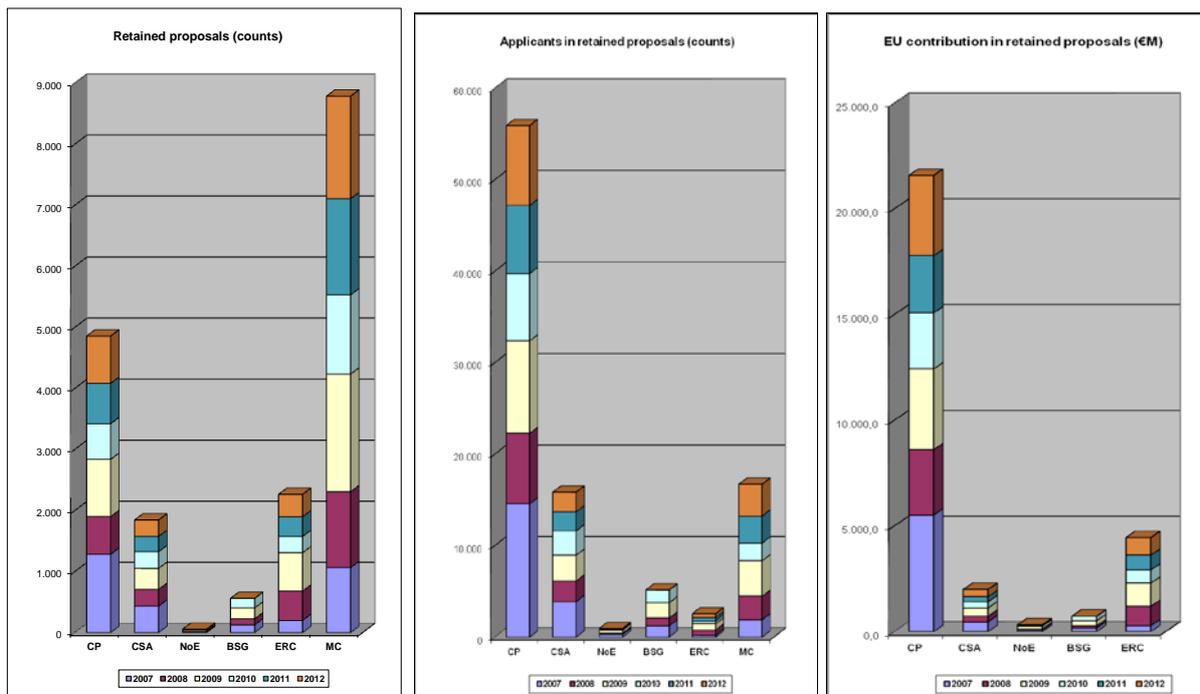
- Collaborative Projects, including combinations of Collaborative Projects and Coordination and Support Actions (CP)
- Coordination and Support Actions (CSA)
- Networks of Excellence (NoE)
- Research for the Benefit of Specific Groups (BSG)
- European Research Council (ERC)
- Marie Curie Actions (MCA)

Similarly to previous years, in 2012 *Marie Curie Actions* attracted by far the largest number of included and retained proposals (more than half of the total) followed by *Collaborative Projects* with a quarter of the total. However, Collaborative Projects made up more than half of the total number of applicants and more than two thirds of the total requested EU contribution in retained proposals.

Only 2 retained proposals were recorded under the *Networks of Excellence* funding scheme involving a mere 22 applicants, slightly less than in 2011 (3 and 57 respectively).

367 retained proposals involving 435 applicants were recorded for the ERC, slightly more than in 2011 (323 and 363 respectively), but still less than in 2009 (629 and 680).

Figure 6: Numbers of retained proposals, numbers of applicants and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007 - 2012 by funding scheme



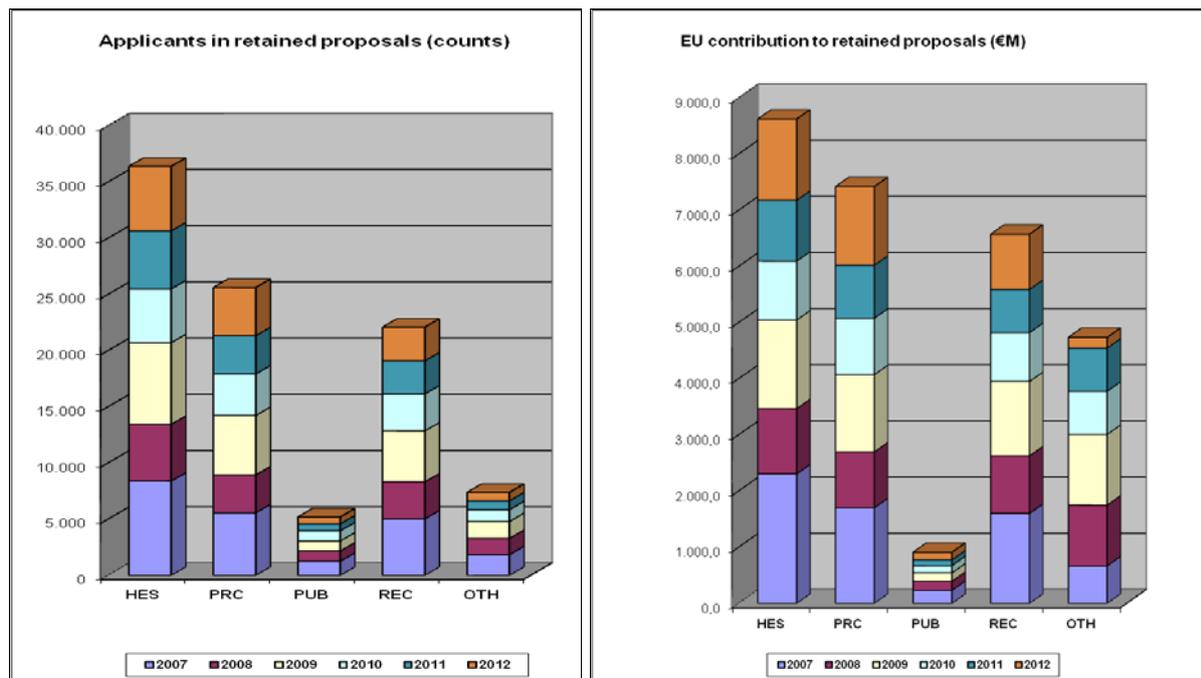
2.3 Participation by type of organisation

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

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

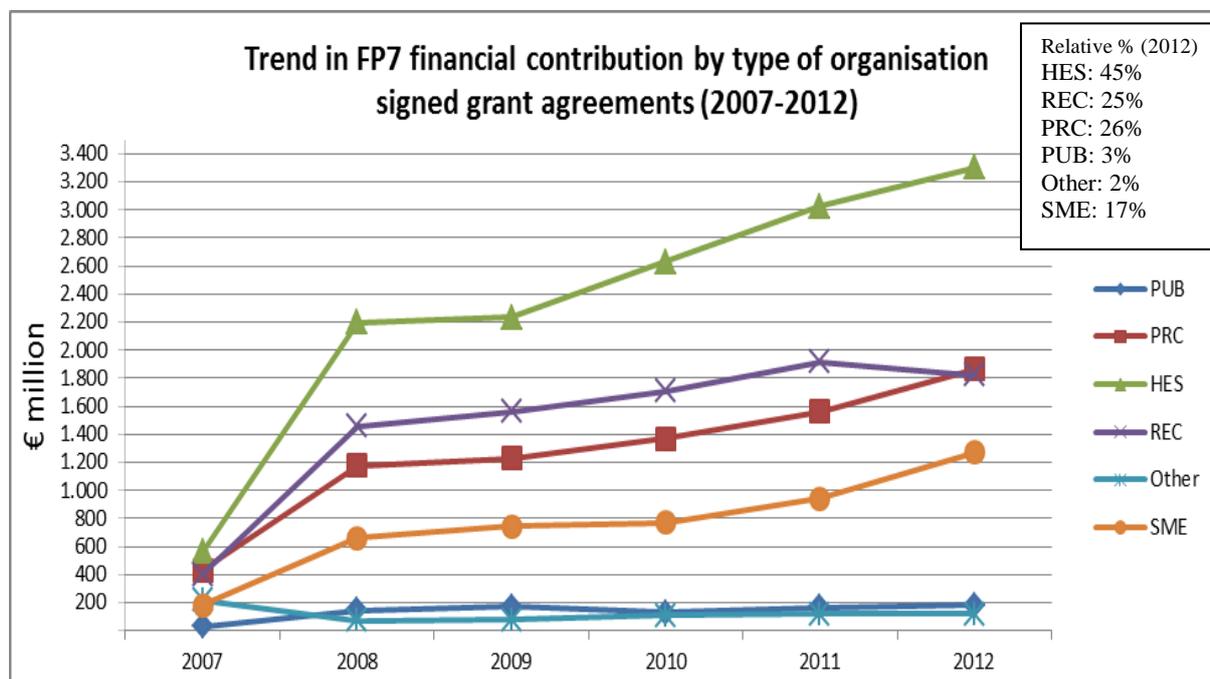
Figure 7 below presents a breakdown of the numbers of applicants and amounts of requested EU contribution (in € million) in retained proposals during the period 2007-2012 by type of organisation.

Figure 7: Numbers of applicants and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007 - 2012 by type of organisation



The amount of FP7 financial contribution is steadily growing over the years of FP7 implementation. With the exception of public bodies excluding education (PUB) with relatively marginal and stable growth trend and Research organisation (REC) in 2012, all other organisation types are recording a stable growth in FP7 financial contribution over the years of FP7 implementation. Higher and secondary education organisations (HES) - also the biggest shareholder of FP7 funds - record higher growth than other types of organisations, which all show a similar trend of more than € 100 million increase in FP7 financial contribution per year.

Figure 8: EU financial contribution (in € million) in the signed grant agreements for FP7 calls concluded in 2007 -2012 by type of organisation.



2.3.1 Academia participation

Higher and secondary education institutes (HES) remain in 2012 the main beneficiaries of FP7, in terms of both numbers of applicants and requested EU funding, with 39% and 29% respectively of the total in retained proposals. This is a slight decrease compared to the previous year (40% and 30% respectively).

Top academic participants

Table 3 below presents the general and within-group rankings of the 10 higher or secondary education institutions with the highest numbers of FP7 participations in signed grant agreements during the period 2007-2012. There are no changes in the top 10 HES list compared to the top 10 list in 2011.

Table 3: Ranking of top 10 HES organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2012.

| HES rank | Overall rank | Organisation | Participations | Country |
|----------|--------------|--|----------------|---------|
| 1 | 3 | THE UNIVERSITY OF CAMBRIDGE | 570 | UK |
| 2 | 8 | THE UNIVERSITY OF OXFORD | 504 | UK |
| 3 | 9 | IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND MEDICINE | 490 | UK |
| 4 | 10 | EIDGENOESSISCHE TECHNISCHE HOCHSCHULE ZURICH | 442 | CH |
| 5 | 11 | KATHOLIEKE UNIVERSITEIT LEUVEN | 433 | BE |
| 6 | 12 | UNIVERSITY COLLEGE LONDON | 428 | UK |
| 7 | 13 | ECOLE POLYTECHNIQUE FEDERALE DE LAUSANNE | 413 | CH |
| 8 | 18 | DANMARKS TEKNISKE UNIVERSITET | 300 | DK |
| 9 | 19 | KOBENHAVNS UNIVERSITET | 297 | DK |
| 10 | 20 | THE UNIVERSITY OF EDINBURGH | 296 | UK |

Table B4 in Annex B provides a list of the 50 higher or secondary education institutions with the highest numbers of FP7 participations in signed grant agreements during the period 2007-2012. The top 50 HES organisations represent 12 countries (10 Member States and 2 Associated Countries). The highest number comes from the United Kingdom (14), Germany (6) and the Netherlands (6) followed by Sweden (5). There is just one change in the top 50 list compared to the previous year – Ludwig-Maximilians-Universität München (DE) instead of Technische Universität Berlin (DE), which was in 55th place in 2012. The biggest jump was demonstrated by the University of Birmingham (UK) - from 37th position in 2011 to 26th position in 2012. The other institutions remained approximately in the same positions.

2.3.2 Participation of research organisations

Top research organisation participants

Table 4 below presents the general and within-group rankings of the top 10 research organisations with the highest numbers of participations in FP7 signed grant agreements during the period 2007-2012. There are no changes in the top 10 research organisations list compared to the top 10 list in 2011. It is worth noting that these organisations also occupy the highest positions in the overall ranking of participations in FP7.

Table 4 Ranking of top 10 REC organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2012

| REC Rank | Overall rank | Organisation | Participations | Country |
|----------|--------------|---|----------------|---------|
| 1 | 1 | CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE | 1189 | FR |
| 2 | 2 | FRAUNHOFER-GESELLSCHAFT | 889 | DE |
| 3 | 4 | CONSIGLIO NAZIONALE DELLE RICERCHE | 556 | IT |
| 4 | 5 | COMMISSARIAT A L'ENERGIE ATOMIQUE ET AUX ENERGIES ALTERNATIVES | 550 | FR |
| 5 | 6 | MAX PLANCK GESELLSCHAFT ZUR FOERDERUNG DER WISSENSCHAFTEN E.V. | 540 | DE |
| 6 | 7 | AGENCIA ESTATAL CONSEJO SUPERIOR DE INVESTIGACIONES CIENTIFICAS | 528 | ES |
| 7 | 14 | TEKNOLOGIAN TUTKIMUSKESKUS VTT | 347 | FI |
| 8 | 15 | INSTITUT NATIONAL DE LA SANTE ET DE LA RECHERCHE MEDICALE (INSERM) | 332 | FR |
| 9 | 16 | DEUTSCHES ZENTRUM FUER LUFT - UND RAUMFAHRT EV | 327 | DE |
| 10 | 17 | NEDERLANDSE ORGANISATIE VOOR TOEGEPAST NATUURWETENSCHAPPELIJK ONDERZOEK - TNO | 303 | NL |

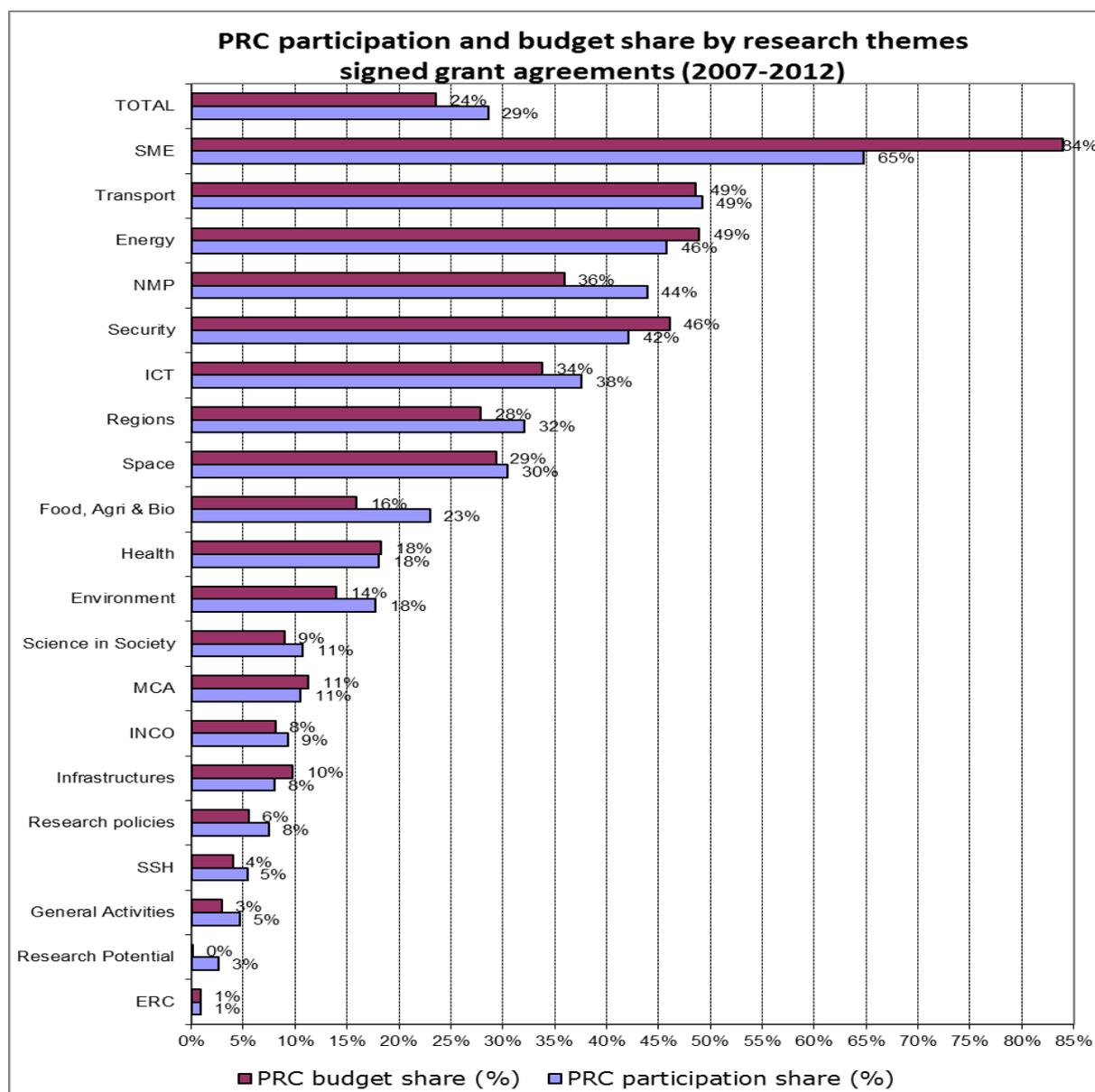
Table B5 in Annex B provides a list of the top 50 research organisations. The top 50 research organisations represent 16 countries (12 Member States, the JRC of the European Commission and 3 Associated Countries). The highest number comes from France (9), Italy (7) followed by Germany (6) and Greece (5). There is no significant change compared to the top list of the previous year.

2.3.3 Industry participation

Industry participation in the context of this report means the participation of private-for-profit organisations (PRC), with SMEs being a sub-group. Similarly to previous years, in 2012 private-for-profit organisations (PRC) account for nearly a third of the total number of applicants and the total amount of requested EU contribution in retained proposals.

Figure 9 shows PRC sector participation shares over different FP7 thematic areas. The business sector dominates in the *Research for the benefit of SMEs*, the thematic area that was originally set-up to boost business sector participation in FP7. However, this sector is also strongly present in its traditional strongholds, such as Transport, Energy and Security thematic areas where it takes about half of all participations and the budget. High participation but with a somewhat lower budget share for the business enterprise sector is recorded in NMP/Industrial Technologies. The highest business sector participation in absolute numbers is recorded in the ICT thematic area, where the business enterprise sector takes just over one-third of participations and budget of FP7.

Figure 9: PRC participation and budget share by research themes in signed agreements 2007 -2012



Top industry participants

Table 5 below presents the general and within-group rankings of the top 10 private-for-profit organisations with the highest numbers of FP7 participations in signed grant agreements during the period 2007-2012. The top 10 list consists of the same companies as in the previous years (2011 and 2010).

Table 5 Ranking of top 10 PRC organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2012

| PRC RANK | OVERALL RANK | COMPANY NAME | PARTICIPATIONS | COUNTRY | SME STATUS |
|----------|--------------|--|----------------|---------|------------|
| 1 | 121 | SIEMENS AG | 105 | DE | N |
| 2 | 129 | ATOS SPAIN SA | 98 | ES | N |
| 3 | 142 | TELEFONICA INVESTIGACION Y DESARROLLO SA | 92 | ES | N |
| 4 | 145 | THALES COMMUNICATIONS & SECURITY SAS | 90 | FR | N |
| 5 | 149 | D'APPOLONIA SPA | 89 | IT | N |
| 6 | 155 | EADS DEUTSCHLAND GMBH | 87 | DE | N |
| 7 | 158 | SAP AG | 86 | DE | N |
| 8 | 177 | PHILIPS ELECTRONICS NEDERLAND B.V. | 78 | NL | N |
| 9 | 191 | ACCIONA INFRAESTRUCTURAS S.A. | 74 | ES | N |
| 10 | 201 | STMICROELECTRONICS SRL | 70 | IT | N |

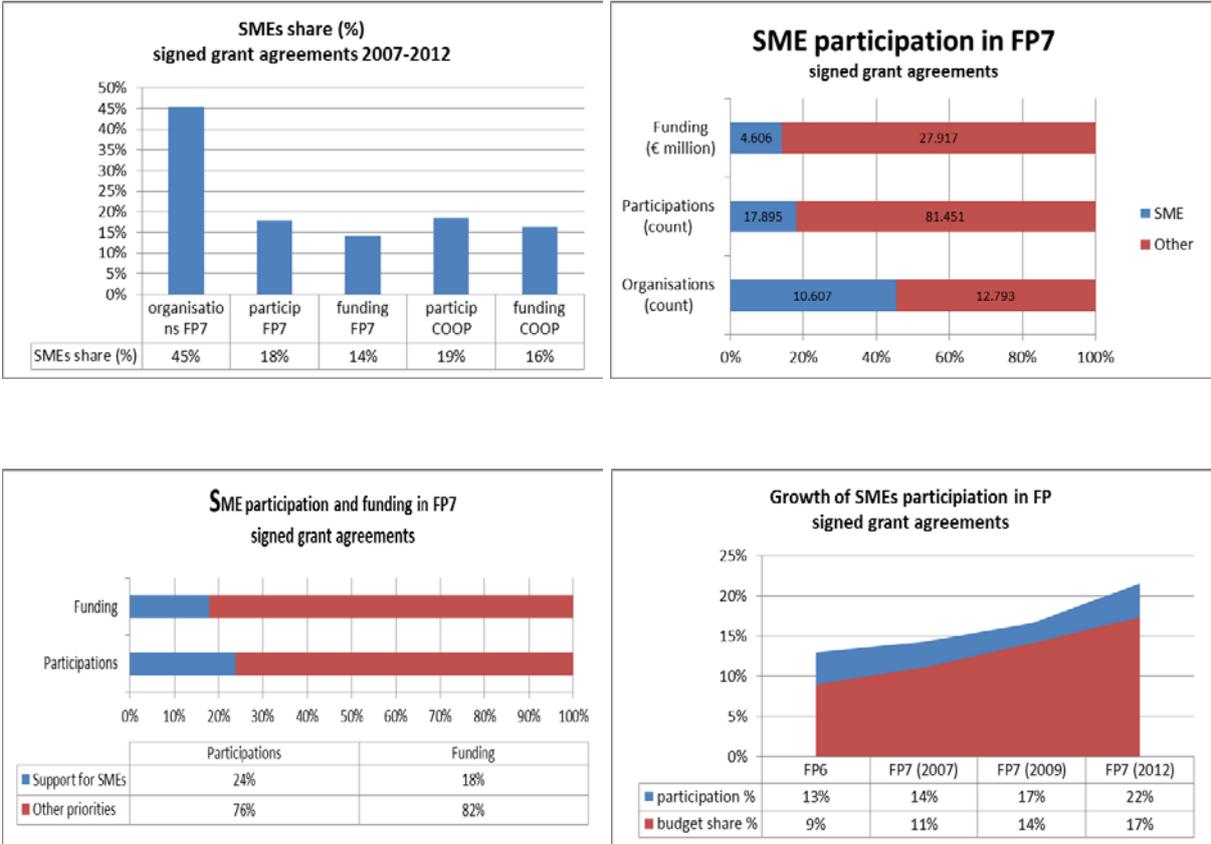
Table B6 in Annex B provides a list of the top 50 private-for-profit organisations with the highest numbers of FP7 participations in signed grant agreements during the period 2007-2012. It is interesting to note that none of the companies figure among the top 100 participants in the overall ranking and only 9 among the top 200. The same situation was recorded in 2011. Overall, there are just 6 new companies in the top 50 list compared to the previous year.

The top 50 private-for-profit organisations represent 13 countries (11 Member States and 2 Associated Countries). The highest number comes from France (13) and Germany (11) followed by Italy (7) and Spain (5). There is no substantial change compared to the top list of the previous year; there are just 4 new companies in the top 50 list compared to the previous year (2011).

SME participation

Figure 10 reflects SME participation patterns in FP7. With the continuous improvement of SME participation rates from FP6 onwards, SMEs now account for 18% of all FP7 participations (17% in 2011) and 14% of FP7 budget (19% and 16% respectively in the Cooperation programme). At the same time they represent over 45% of all FP7 participating organisations (43% in 2011). These figures indicate SMEs have highly fragmented FP7 participation patterns. While around 20% of all participations and funding comes from the FP7 SMEs specific programme, the vast majority originates from the other FP7 priorities.

Figure 10: Share of SMEs in terms of signed grant agreements corresponding to FP7 calls concluded in 2007-2012.



Top SME participants

For the period 2007-2012, 63% of distinct organisations participating in FP7 signed grant agreements have participated only once, while 94% of the organisations have participated less than 10 times.

SMEs account for 45% of all organisations participating in grant agreements for the period 2007-2012. 72% of distinct SME organisations participating in FP7 signed grant agreements have participated only once while 98.9% of the organisations have participated less than 10 times, with only 120 SMEs (1,1%) participating 10 or more times.

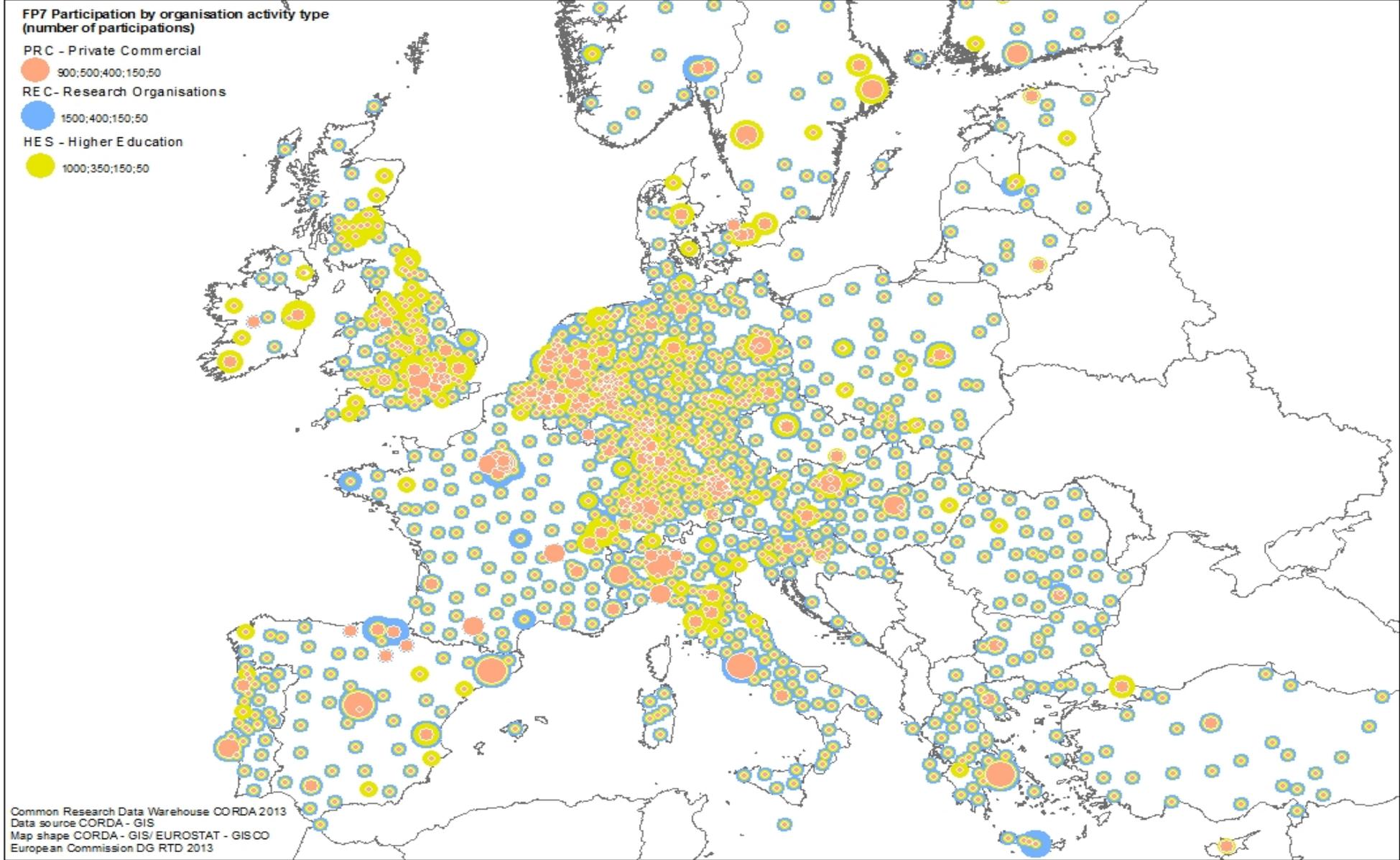
The average EU contribution to SMEs participating in FP7 for the period of 2007-2012 is € 257.240. This is about three-quarters of the average EU contribution to non-SME participants (€ 380.858).

Table 6 below presents the general and the within-group rankings of the 25 private-for-profit SMEs with the highest numbers of participations in FP7 signed grant agreements during the period 2007-2012. The top 25 private-for-profit SMEs represent 13 Member States. The highest number comes from France (6) and Italy (5) followed by Spain (4). There is some change compared to the top list of the previous year, with 6 new companies in the top 50 list compared to the previous year (2011).

Table 6: Ranking of top 25 SME (PRC) participant organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2012.

| SME RANK | OVERALL RANK | COMPANY NAME | PARTICIPATIONS | COUNTRY |
|----------|--------------|--|----------------|---------|
| 1 | 289 | CENTRE DE RECERCA I INNOVACIO DE CATALUNYA S.A. | 50 | ES |
| 2 | 311 | ARTTIC | 45 | FR |
| 3 | 491 | EUROPEAN ROAD TRANSPORT TELEMATICS IMPLEMENTATION COORDINATION ORGANISATION S.C.R.L. | 30 | BE |
| 4 | 498 | GABO:MI GESELLSCHAFT FUR ABLAUFORGANISATION: MILLIARIUM MBH & CO KG GAB O | 30 | DE |
| 5 | 533 | INNOVACIO I RECERCA INDUSTRIAL I SOSTENIBLE SL | 28 | ES |
| 6 | 557 | LABOR S.R.L. | 27 | IT |
| 7 | 626 | UNION INTERNATIONALE DES CHEMINS DE FER | 24 | FR |
| 8 | 631 | SIGMA ORIONIS SA | 24 | FR |
| 9 | 635 | MFKK FELTALALOI ES KUTATO KOZPONT SZOLGALTATO KFT | 24 | HU |
| 10 | 642 | GEIE ERCIM | 23 | FR |
| 11 | 649 | ATHENS TECHNOLOGY CENTER SA | 23 | EL |
| 12 | 732 | ISTITUTO DI STUDI PER L'INTEGRAZIONE DEI SISTEMI (ISIS) | 20 | IT |
| 13 | 772 | PANTEIA BV | 19 | NL |
| 14 | 777 | INNOVA SPA | 19 | IT |
| 15 | 780 | CF CONSULTING FINANZIAMENTI UNIONE EUROPEA SRL | 19 | IT |
| 16 | 810 | VERMON SA | 18 | FR |
| 17 | 833 | PROFACTOR GMBH | 17 | AT |
| 18 | 841 | EUROPEAN RESEARCH AND PROJECT OFFICE GMBH | 17 | DE |
| 19 | 842 | STARLAB BARCELONA SL | 17 | ES |
| 20 | 849 | CENTRE FOR SCIENCE, SOCIETY AND CITIZENSHIP | 17 | IT |
| 21 | 850 | ITTI SP ZOO | 17 | PL |
| 22 | 861 | INOVAMAIS - SERVICOS DE CONSULTADORIA EM INOVACAO TECNOLOGICA S.A. | 17 | PT |
| 23 | 876 | C-TECH INNOVATION LIMITED | 16 | UK |
| 24 | 882 | SOLINTEL M&P SL | 16 | ES |
| 25 | 886 | LAGRANGE SARL | 16 | FR |

Map 1 below presents FP7 participation by organisation activity type (number of participants).



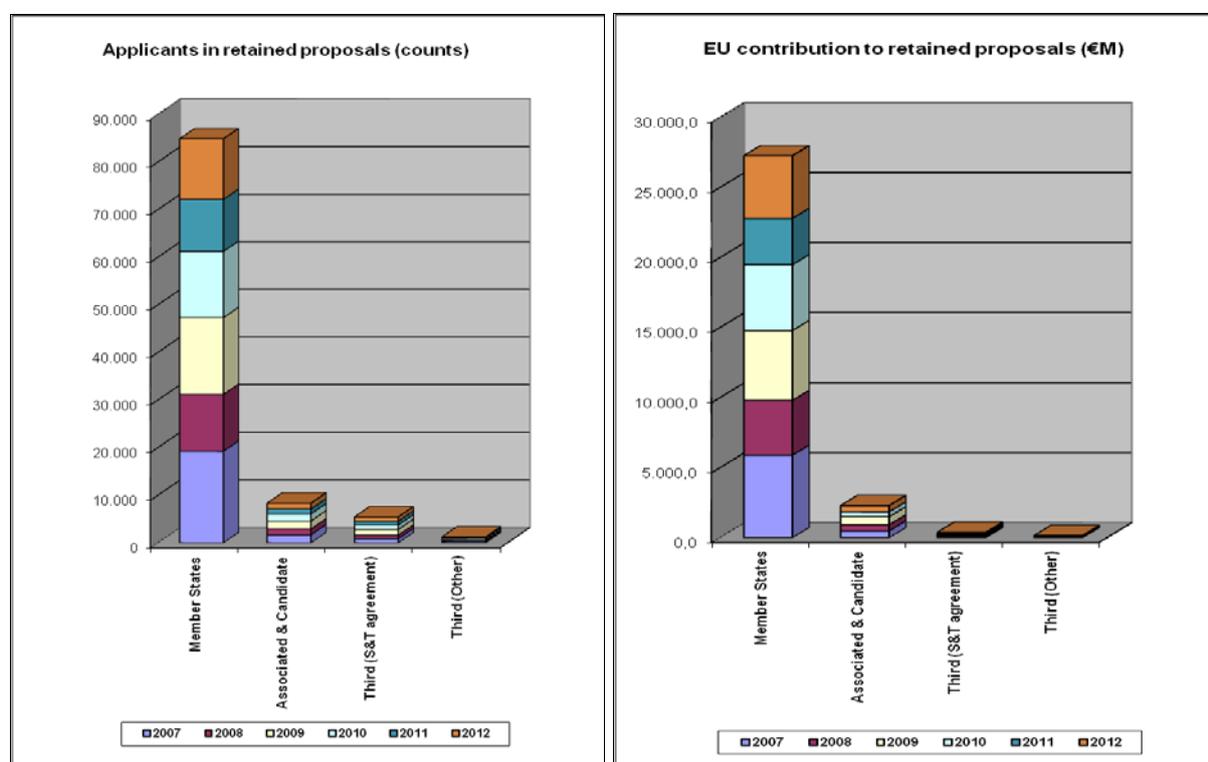
2.4 International and regional dimensions of FP7

The Framework Programme by conception is a collaborative programme with global outreach open to all researchers and research organisations irrespective of their country of origin. During its first five years of implementation FP7 has attained unprecedented levels of international participation by involving researchers in retained proposals from as many as 170 countries from all continents.

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

For detailed statistical figures on participation by country or group of countries see Table B7 in Annex B. Figure 11 below shows the shares of each of the above groups of countries in applicants and requested EU financial contribution.

Figure 11: Numbers of applicants and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007-2012 by country group.



In the NCP survey conducted in the context of the 2012 monitoring exercise, FP7 National Coordinators and FP7 Coordinators for Specific Fields were asked to assess if FP7 provides sufficient opportunity for international STI cooperation and potential of FP7 to support international STI cooperation. A majority of the 175 respondents (57,71%) consider that FP7 provides 'very good' and 'good' opportunities for international STI cooperation.

2.4.1 EU Member States

Figures 12, 13 and 14 below present the numbers of applicants from the EU27 Member States and the amounts of requested EU financial contribution in retained proposals, the

corresponding success rates as well as the amounts of EU contribution per applicant in calls with closure dates in the period 2007-2012.

Figure 12: Average success rates of EU27 applicants and requested EU financial contribution for FP7 calls concluded during the period 2007-2012 by country.

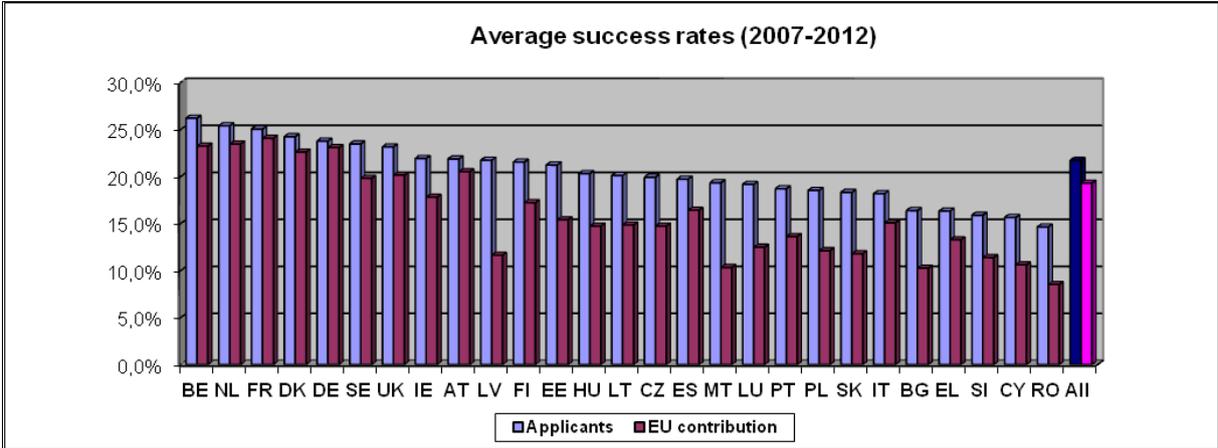


Figure 13: Numbers of EU27 applicants and requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007-2012 by country.

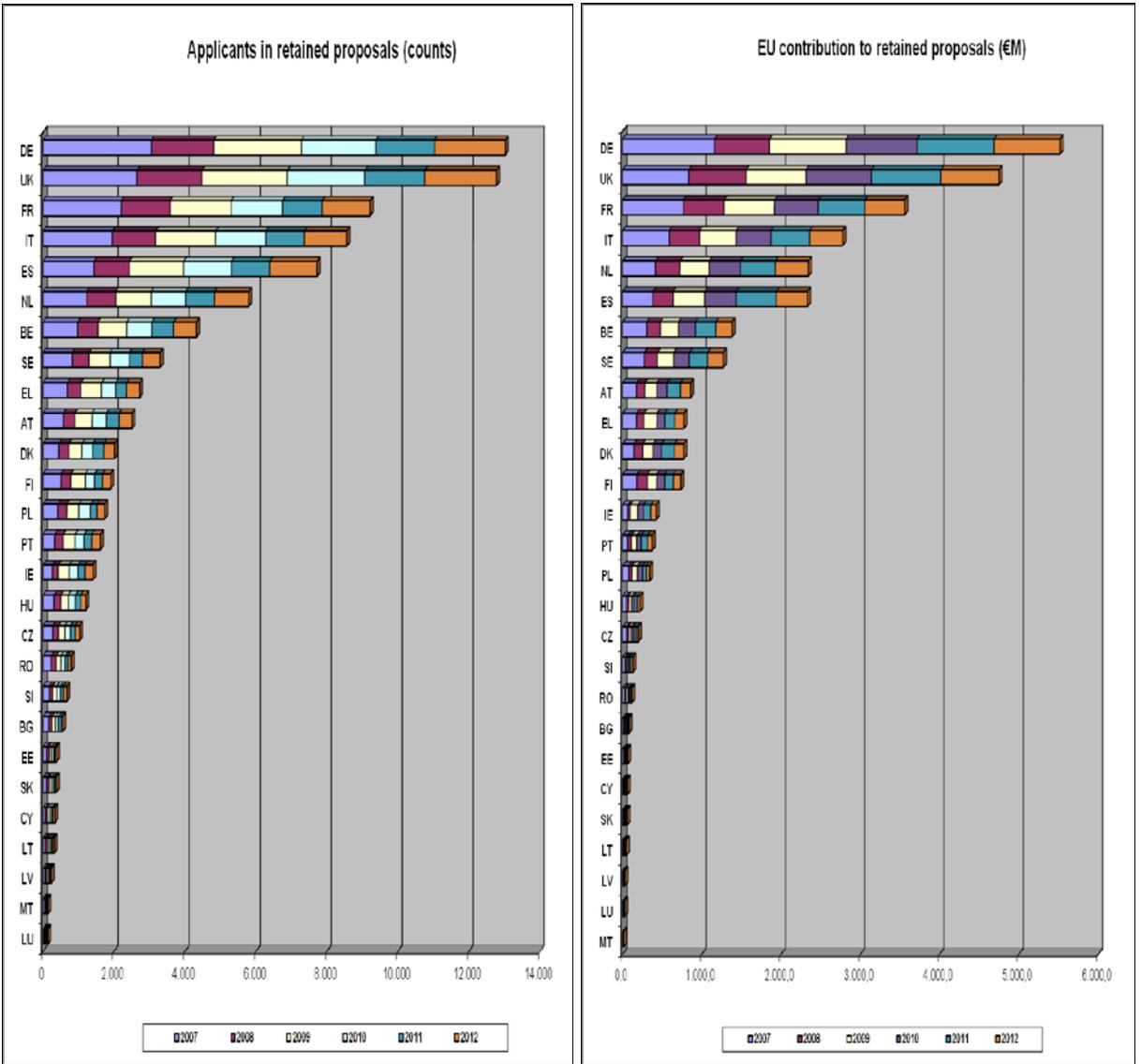
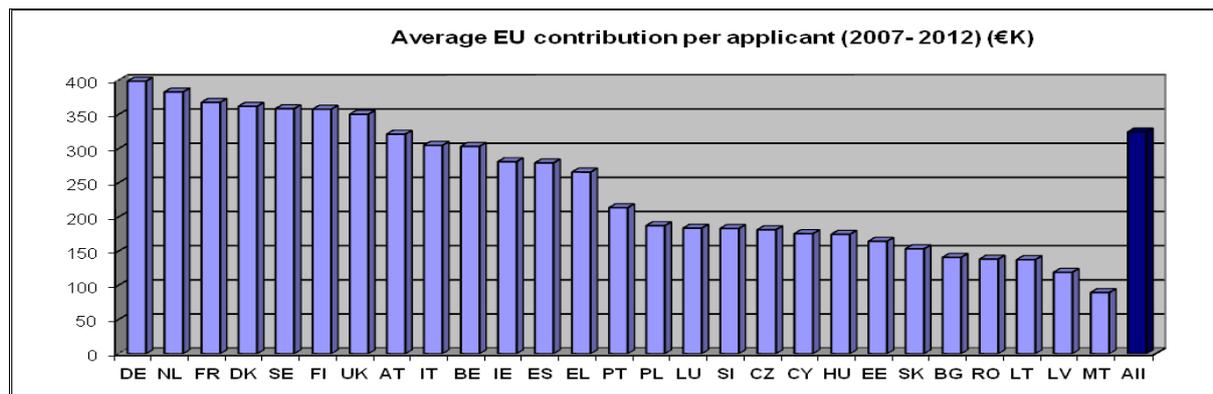


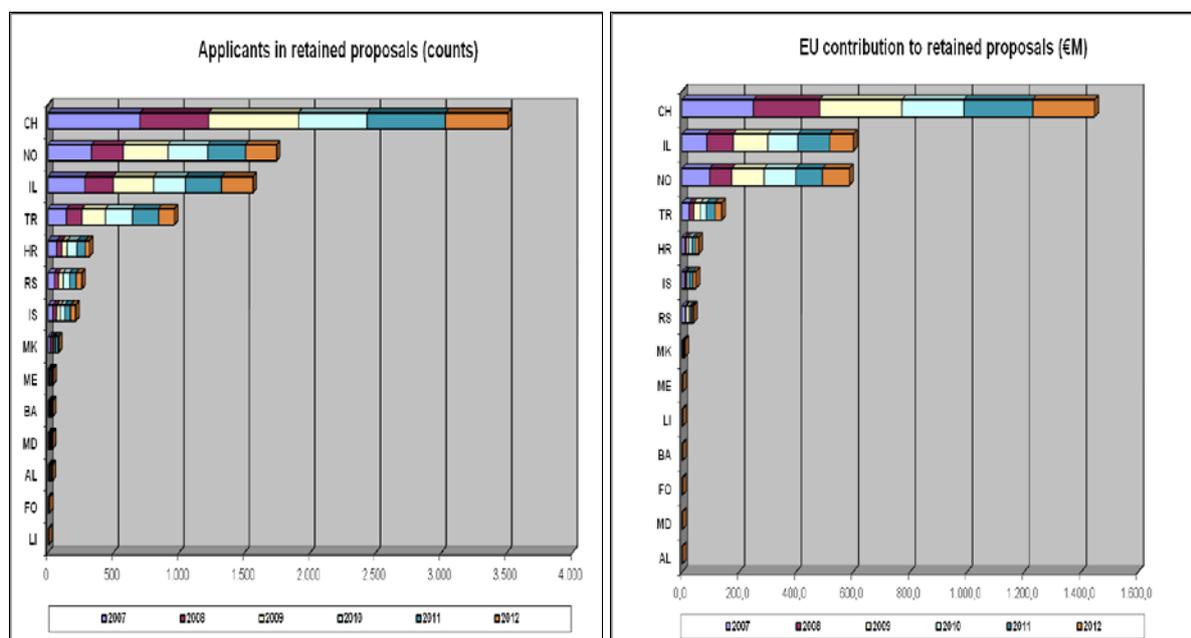
Figure 14: Requested EU financial contribution per applicant (in € thousand) in retained proposals for FP7 calls concluded in 2007-2012 by country.



2.4.2 Candidate and Associated Countries

For FP7, the number of Associated Countries is higher than ever, with 14, mainly European countries, currently associated, including all of the Western Balkan States. This makes FP7 a true Pan-European programme and strongly underpins the objective of building a wider ERA. Figures 15 - 17 present the situation in terms of numbers of applicants and requested EU contribution in retained proposals, corresponding success rates, and EU contribution per applicant from Candidate and Associated Countries in the period 2007-2012.

Figure 15: Numbers of applicants from candidate and associated countries and requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007-2012 by country.



Candidate and Associated Countries⁴ constitute a heterogeneous group⁴, which in 2012 accounted for around 8% of the total number of applicants (no change from the last year) and 9% of the requested EU financial contributions in retained proposals. The corresponding success rates are 21,4% and 16,6% respectively – which are similar to those of the EU27 Member States (20,9% and 16,2%) in 2012.

⁴ In 2012, the Candidate and Associated Countries were Albania (AL), Bosnia-Herzegovina (BA), Croatia (HR), Faroe Islands, (FO) Former Yugoslav Republic of Macedonia (MK), Iceland (IS), Israel (IL), Liechtenstein (LI), Montenegro (ME), Moldova (MD), Norway (NO), Serbia (RS), Switzerland (CH), and Turkey (TR).

Since 1 July 2013 Croatia has joined the European Union as 28th Member State.

Figure 16: Average success rates of applicants from Candidate and Associated Countries and of requested EU financial contribution for FP7 calls concluded during the period 2007-2012 by country.

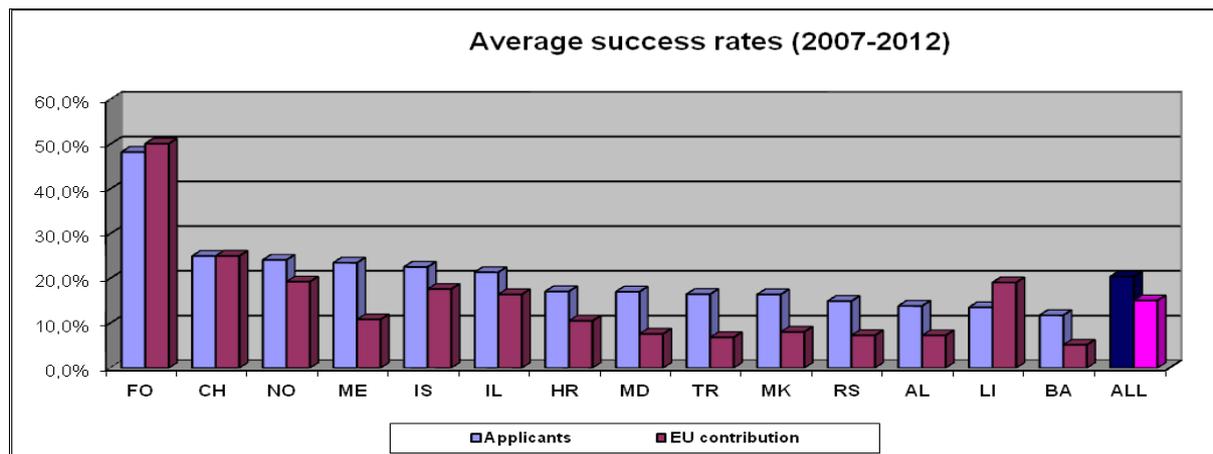
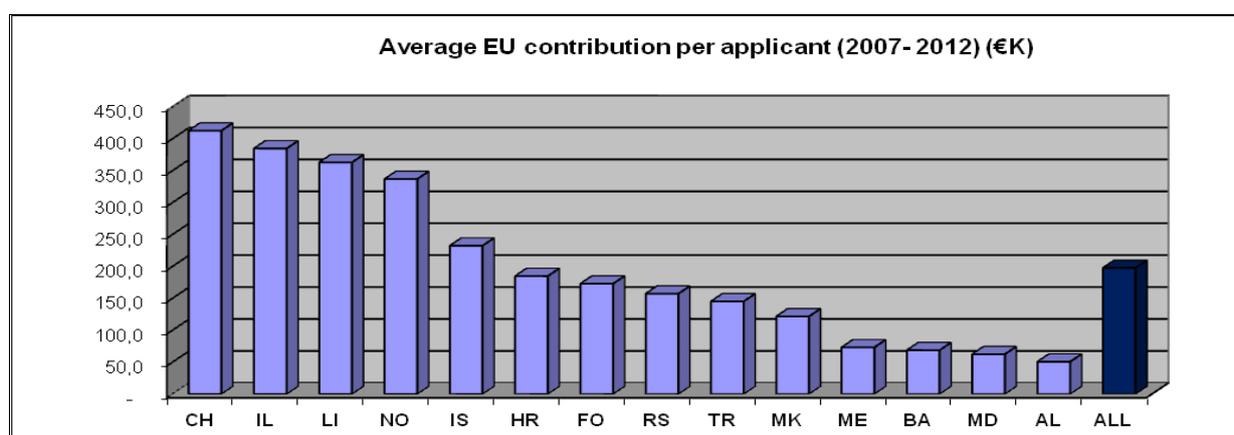


Figure 17: Requested EU financial contribution per applicant (in € thousand) in retained proposals for FP7 calls concluded in 2007 - 2012 for candidate and associated countries.



Switzerland, Norway and Israel rank in the top three positions for the number of applicants and requested EU contribution among this group of countries. The top 5 collaborative links for these 3 countries are exactly the same – Germany, United Kingdom, France, Italy and Spain. In Switzerland, the biggest number of grant holders is in the Information and Communication technologies thematic sector, followed by Marie Curie Actions and Health. In Norway, the leading thematic areas are Research for the benefit of SMEs, Information and Communication Technologies and Environment (including Climate change). Israel is most active in Marie Curie Actions, followed by Information and Communication Technologies and Health thematic sectors. There are no structural changes compared to the previous year in either collaborative links or leading thematic priorities.

2.4.3 Third Countries

For FP7, a new approach towards international cooperation was developed, aiming to reinforce international research collaboration throughout the Framework Programme. Special instruments (SICA - Specific International Cooperation Actions, coordinated calls, twinning of projects, etc.) were established to implement these objectives allowing both geographical and thematic targeting⁵. In addition, a specific programme dedicated to

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

international cooperation provides funding to support activities (INCO-NETs, BILATs, ERA-NETs, NCP networks, etc.) designed to underpin the S&T policy dialogue and promote cooperation opportunities under FP7 for international partners.

International Cooperation activities are also reinforcing the external dimension of the European Research Area (ERA), particularly through the implementation of the Strategic European Framework for International S&T Cooperation⁶ and the establishment of the Strategic Forum for International S&T Cooperation (SFIC), consisting of high-level representatives from the Member States and the Commission.

In addition, the 'EURAXESS Links' initiative⁷ (funded under the Specific Actions part of the *People* Programme) helps to maintain the link with European Researchers abroad to keep them updated on research policy, funding and cooperation opportunities in Europe, while reinforcing their role as catalysts to boost cooperation with their host countries (USA, Japan, China, Singapore and India).

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

In 2012, there were 897 applicants from as many as 87 Third Countries with a total requested EU financial contribution of €68 million in retained proposals and corresponding success rates of 24,5% and 14,5% respectively. These figures represent just 6% of the total number of applicants and 1,4% of the total amount of requested EU contribution in retained proposals.

19 Third Countries concluded S&T cooperation agreements⁸ with the European Union. This group of countries includes all the industrialised and emerging economies and several developing countries. These countries accounted in 2012 for more than three quarters (86,3%) of the total number of Third Country applicants and for 67,3% of the total requested EU contribution to Third Countries in retained proposals, with success rates of 25,7% and 13,5% respectively.

In terms of numbers of successful applicants, the 10 biggest Third Country participants in 2012 have been (in descending order) the USA, Russia, China, Brazil, India, South Africa, Australia, Canada, the Ukraine, and Argentina. In terms of EU financial contribution, the 10 biggest beneficiaries (in descending order) have been the USA, Russia, India, South Africa, China, Brazil, the Ukraine, Egypt and Mexico. All of these countries have S&T agreements with the EU. Figures 18, 19 and 20 below present the situation of the 19 Third Countries with S&T agreements in terms of numbers of applicants and requested EU financial contribution (in € million) in retained proposals, the corresponding success rates and the EU financial contribution per applicant (in € thousand). The ranking is according to the cumulative performance of the countries during the period 2007-2012.

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

⁷ http://ec.europa.eu/euraxess/links/index_en.htm

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

The agreement with Algeria, signed on 19 March 2012 and provisionally applied since that date, entered into force on 11 June 2013

Figure 18: Numbers of applicants from third countries with S&T agreements and amounts of requested EU financial contribution (in € million) in retained proposals for FP7 calls concluded in 2007 - 2012.

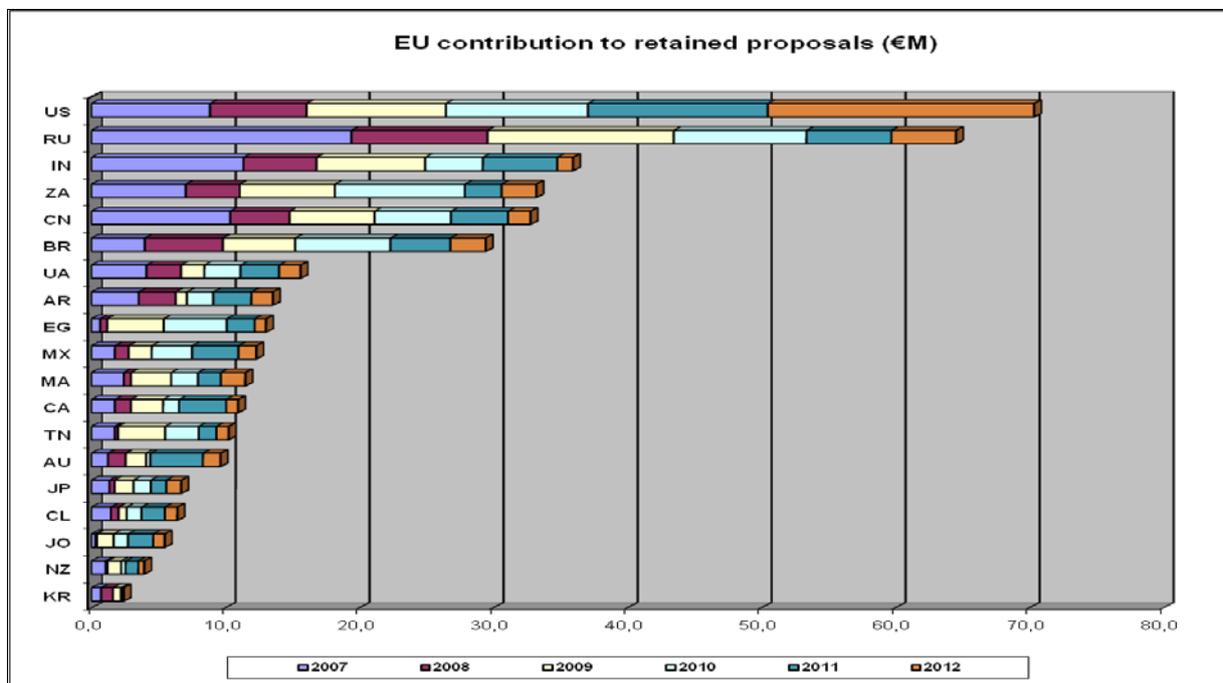
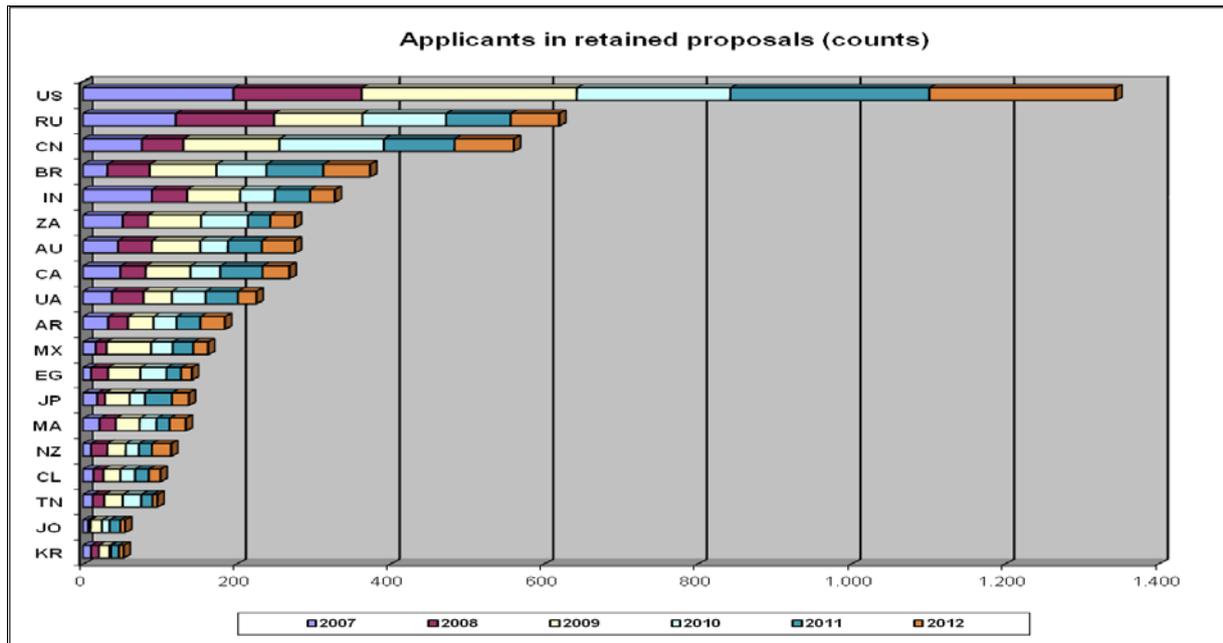


Figure 19: Success rates of applicants from third countries with S&T agreements and of requested EU financial contribution for FP7 calls concluded in 2007 - 2012.

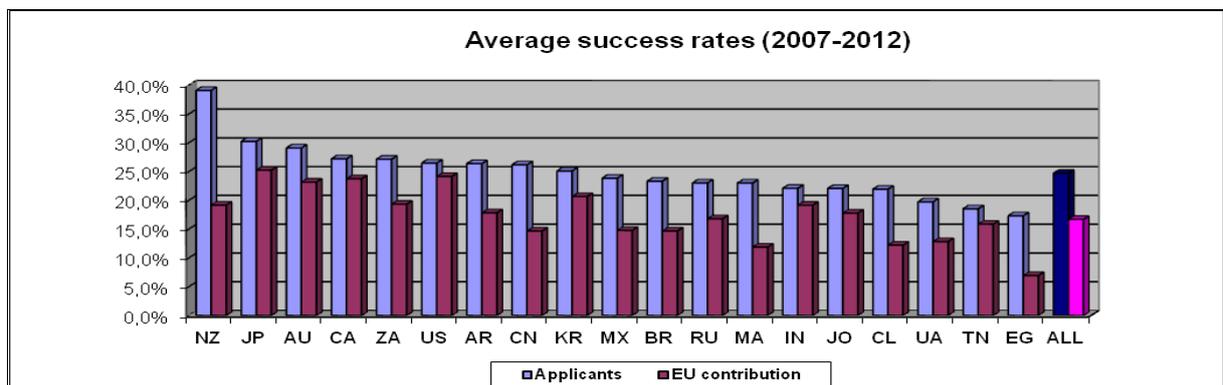
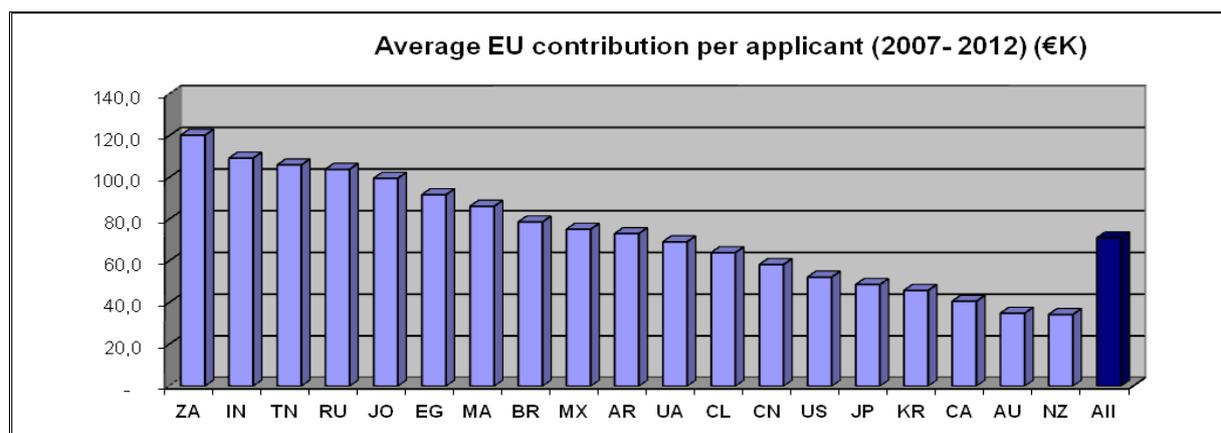


Figure 20: Requested EU financial contribution per applicant from third countries with S&T agreements (in € thousand) in retained proposals for FP7 calls concluded in 2007 - 2012



The USA, Russia and China ranks in the top three positions for number of applicants, while the USA, Russia and India are in the top three positions for requested EU contribution among this group of countries. Top 2 collaborative links for these 4 countries are exactly the same – Germany and United Kingdom followed by France, Italy, Spain and the Netherlands. In the USA, the biggest number of grant holders is in the Health Theme in FP7, followed by Information and Communication technologies and by Food, Agriculture and Biotechnology. In Russia, the leading Themes are Transport, Space and Food, Agriculture and Biotechnology. India is most active in Health, Environment (including Climate change) and Information and Communication technologies. In China, the most active research areas are Environment (including Climate change), Food, Agriculture and Biotechnology and Information and Communication technologies.

2.4.4 Regional dimension

The European Union has developed a geocode standard for referencing the subdivisions of countries for statistical purposes. The Nomenclature of Units for Territorial Statistics (NUTS) is instrumental, for instance, in the European Union's Structural Fund delivery mechanisms. For each EU Member State, a hierarchy of three NUTS levels has been established⁹. It should be noted that the subdivisions in some levels do not necessarily correspond to administrative divisions within the country.

This report presents information on FP7 participation by European region, based on NUTS3 regions identified in CORDA. There are currently 1.184 NUTS3 EU27 regions recorded in CORDA, covering 91% of the total EU (the remaining participations not being attributed to a specific region, but at NUTS2 or the national level), so coverage is complete and reliable.

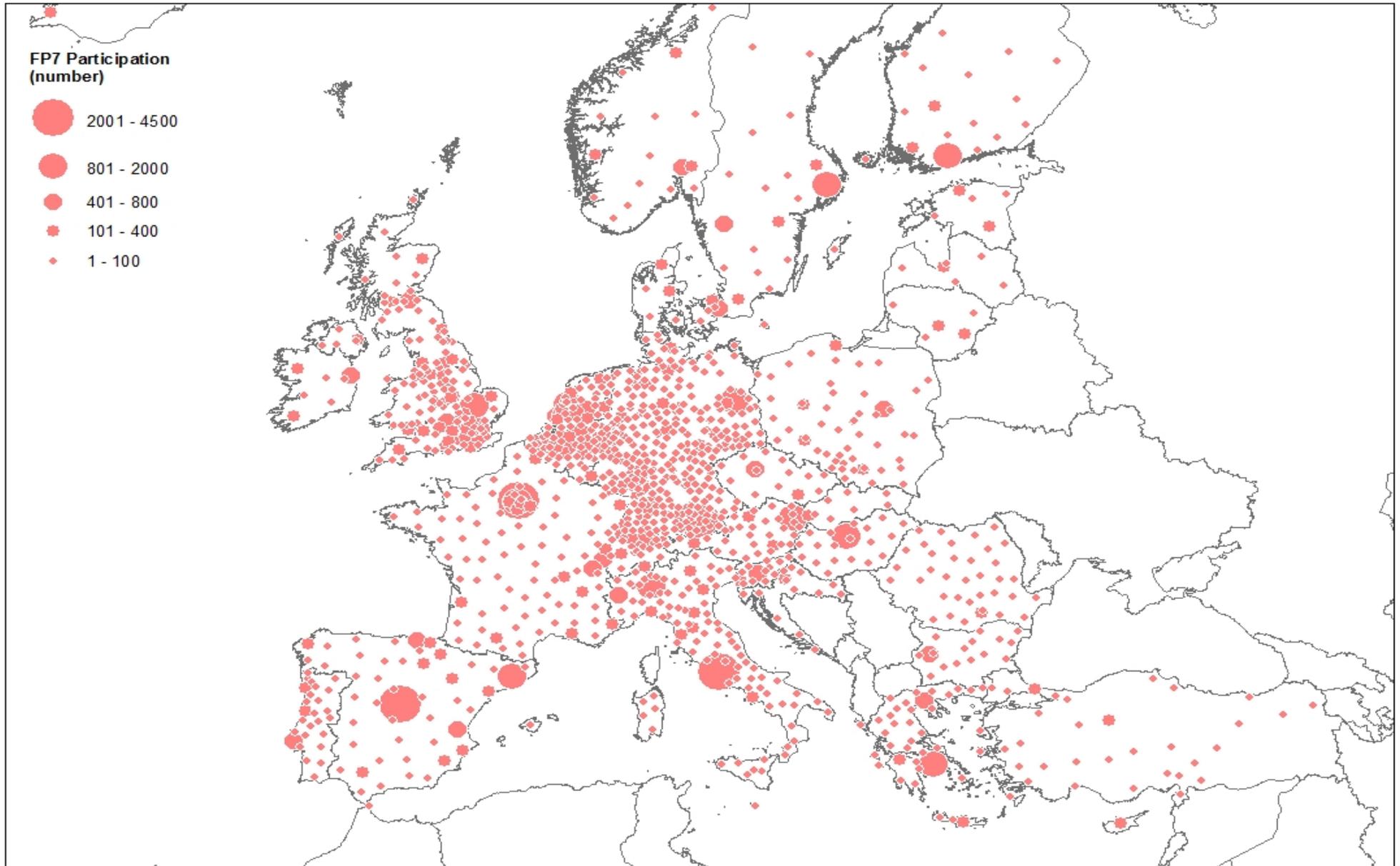
Top 50 regions as participants

The top 5 regions are the same as in the previous year. Maps 1 and 2 illustrate FP7 participation (number) and the EU financial contribution (million Euro) at NUTS3 level. Table B3 in Annex B provides statistics on collaborative projects for EU27.

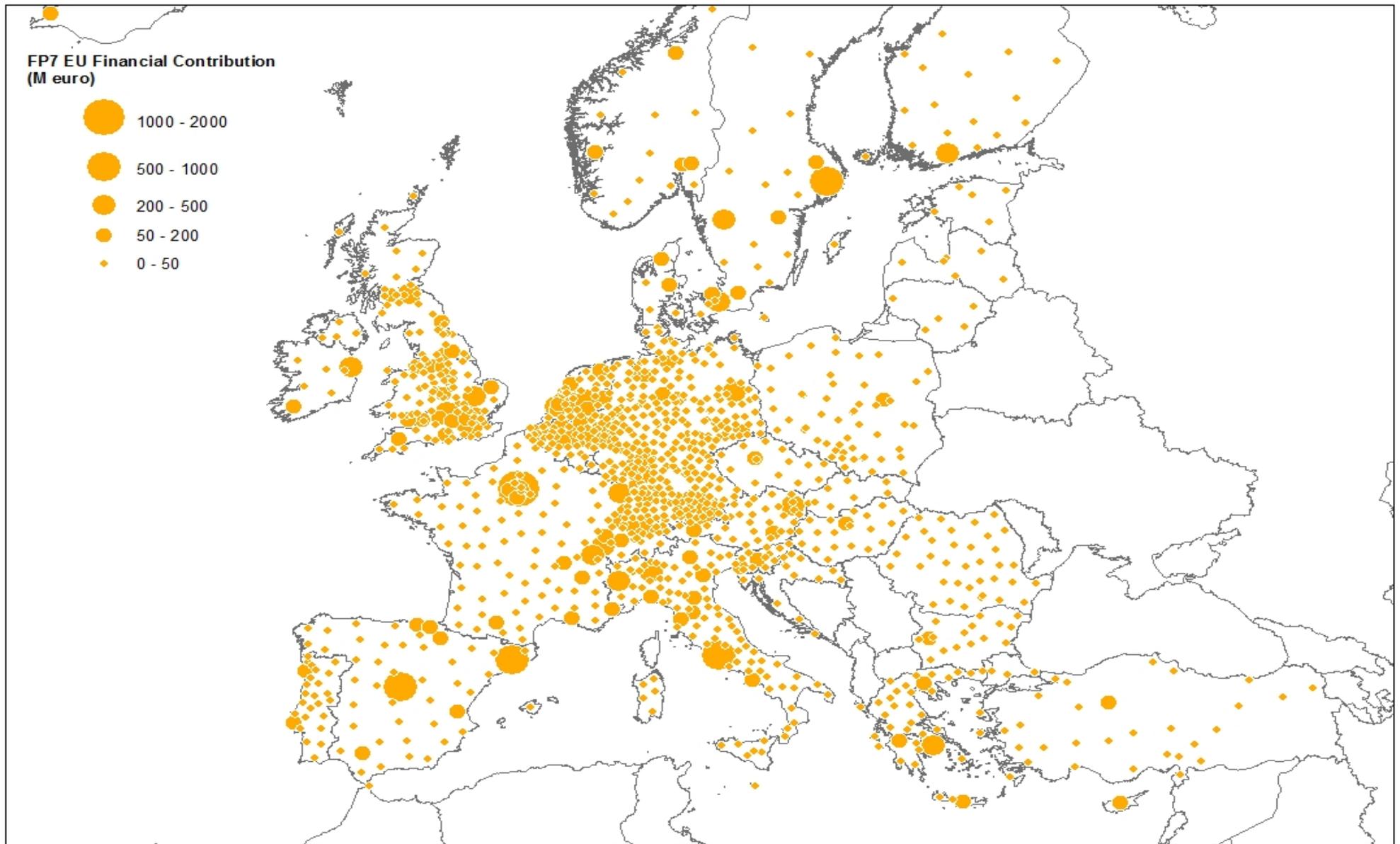
⁹ http://epp.eurostat.ec.europa.eu/portal/page/portal/nuts_nomenclature/introduction

Table 7: Ranking of top 50 EU27 NUTS3 (NUTS2 where NUTS3 is not available) regions in terms of counts of participations in FP7 signed grant agreements and in terms of EU contribution for the period 2007-2012.

| Rank by participation | Rank by EU Contribution | NUTS Code | Region | Participations | EC Financial Contribution |
|-----------------------|-------------------------|-----------|-----------------------------------|----------------|---------------------------|
| 1 | 1 | FR101 | Paris | 4.381 | 1.893.534.458 |
| 2 | 4 | ES300 | Madrid | 2.545 | 785.345.185 |
| 3 | 5 | ITE43 | Roma | 2.348 | 702.641.532 |
| 4 | 2 | DE212 | München, Kreisfreie Stadt | 2.288 | 1.093.299.488 |
| 5 | 3 | UK111 | Inner London - West | 2.133 | 911.052.029 |
| 6 | 6 | ES511 | Barcelona | 1.815 | 603.586.937 |
| 7 | 10 | EL300 | Attiki | 1.673 | 465.019.232 |
| 8 | 17 | BE100 | Arr. de Bruxelles-Capitale | 1.542 | 360.232.447 |
| 9 | 12 | AT130 | Wien | 1.341 | 429.349.677 |
| 10 | 11 | ITC45 | Milano | 1.335 | 438.170.314 |
| 11 | 9 | FI181 | Uusimaa | 1.310 | 474.566.443 |
| 12 | 7 | SE110 | Stockholms län | 1.255 | 506.130.256 |
| 13 | 16 | DE300 | Berlin | 1.013 | 364.365.481 |
| 14 | 8 | CH040 | Zürich | 993 | 488.860.511 |
| 15 | 13 | NL326 | Groot-Amsterdam | 946 | 409.139.345 |
| 16 | 18 | FR105 | Hauts-de-Seine | 899 | 340.491.917 |
| 17 | 14 | UKH12 | Cambridgeshire CC | 879 | 400.667.853 |
| 18 | 44 | HU101 | Budapest | 847 | 155.466.745 |
| 19 | 36 | PT171 | Grande Lisboa | 789 | 177.662.739 |
| 20 | 15 | UKJ14 | Oxfordshire | 779 | 386.778.674 |
| 21 | 19 | BE242 | Arr. Leuven | 770 | 332.746.179 |
| 22 | 21 | NL333 | Delft en Westland | 753 | 306.502.361 |
| 23 | 23 | SE232 | Västra Götalands län | 732 | 264.055.391 |
| 24 | 30 | ITC11 | Torino | 710 | 206.402.374 |
| 25 | 46 | PL127 | Miasto Warszawa | 704 | 149.205.022 |
| 26 | 26 | IE021 | Dublin | 691 | 237.817.654 |
| 27 | 20 | CH011 | Vaud | 645 | 315.107.172 |
| 28 | 27 | DK011 | Byen København | 602 | 222.435.426 |
| 29 | 32 | NL221 | Veluwe | 582 | 200.668.994 |
| 30 | 65 | CZ010 | Hlavní město Praha | 575 | 111.760.906 |
| 31 | 35 | ES213 | Vizcaya | 571 | 179.843.256 |
| 32 | 28 | NL310 | Utrecht | 563 | 214.124.538 |
| 33 | 70 | SI021 | Osrednjeslovenska | 556 | 106.814.805 |
| 34 | 41 | NO011 | Oslo | 545 | 161.314.748 |
| 35 | 29 | DEA23 | Köln, Kreisfreie Stadt | 512 | 208.393.848 |
| 36 | 62 | ES523 | Valencia / València | 472 | 115.625.770 |
| 37 | 31 | UKM25 | Edinburgh, City of | 460 | 203.960.881 |
| 38 | 24 | DE125 | Heidelberg, Stadtkreis | 455 | 253.723.856 |
| 39 | 39 | UKI12 | Inner London - East | 446 | 162.616.684 |
| 40 | 34 | BE234 | Arr. Gent | 441 | 183.093.492 |
| 41 | 119 | BG411 | София (столица)/ Sofia (stolitsa) | 439 | 60.496.904 |
| 42 | 25 | CH013 | Genève | 438 | 248.601.248 |
| 43 | 40 | DE111 | Stuttgart, Stadtkreis | 438 | 162.558.380 |
| 44 | 33 | NL414 | Zuidoost-Noord-Brabant | 426 | 183.602.649 |
| 45 | 59 | EL122 | Thessaloniki | 411 | 116.442.343 |
| 46 | 37 | DK01* | Hovedstaden | 410 | 174.381.942 |
| 47 | 138 | RO321 | București | 393 | 48.998.286 |
| 48 | 52 | SE224 | Skåne län | 392 | 140.259.137 |
| 49 | 50 | DE122 | Karlsruhe, Stadtkreis | 390 | 142.806.412 |
| 50 | 43 | DE600 | Hamburg | 389 | 158.061.210 |



Map 2 – FP7 Participation (number) 2007-2012 at NUTS 3 level
CORDA Common Research Datawarehouse 2013 E-CORDA extraction date: 2013/02/26
Data Source CORDA-GIS, Country, NUTS3 shape EUROSTAT-GISCO



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

CORDA Common Research Datawarehouse 2013. E-CORDA extraction date: 2013/02/26

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

2.5 Participation of women and the gender dimension in FP7

In 1999, early in FP5, the Commission adopted a Communication in which it undertook the commitment to develop a coherent approach towards promoting women in research financed by the European Union¹⁰. The Commission's stated aim was to achieve at least a 40% representation of women in Marie Curie fellowships, Advisory Groups, Assessment Panels and Monitoring Panels of FP5. This target was subsequently expanded to include all groups, panels, committees and projects involved in the Framework Programmes. The 40% target remained in place for FP6 and is also valid for FP7.

2.5.1 Patterns of women participation in FP7 projects

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

At the moment of data extraction (February 2013) the database contained an estimated total of 310.356 individuals from EU27 participant organisations with assigned contact person roles, whose gender identity has been registered in the database, of which 81.639, or 26,3%, were women. Of all individuals with assigned contact person roles in coordinator organisations, 30,2% (20.966) are women; in participant (non-coordinating) organisations the corresponding share of women is 25,2% (60.673).

Table 8: Gender of individual participants with contact person roles in signed grant agreements from FP7 calls concluded during the period 2007-2012.

| Role | Coordinator | | | Participant | | | All | | |
|---------------------------------------|---------------|---------------|--------------|---------------|----------------|--------------|---------------|----------------|--------------|
| | F | M | % F | F | M | % F | F | M | % F |
| Contact Person | 8.534 | 10.159 | 45,7% | 28.825 | 51.121 | 36,1% | 37.359 | 61.280 | 37,9% |
| Contact Person for Legal Aspects | 7 | 4 | 63,6% | 13 | 13 | 50,0% | 20 | 17 | 54,1% |
| Contact Person for Scientific Aspects | 2.669 | 10.617 | 20,1% | 13.074 | 47.961 | 21,4% | 15.743 | 58.578 | 21,2% |
| Marie-Curie Individual Fellows | 2.285 | 4.169 | 35,4% | n.a. | n.a. | - | 2.285 | 4.169 | 35,4% |
| First Administrative Officer | 3.603 | 13.135 | 21,5% | 9.905 | 53.369 | 15,7% | 13.508 | 66.504 | 16,9% |
| Principal Investigator | 618 | 2.599 | 19,2% | n.a. | n.a. | - | 618 | 2.599 | 19,2% |
| Secondary Administrative Officer | 3.250 | 7.853 | 29,3% | 8.856 | 27.717 | 24,2% | 12.106 | 35.570 | 25,4% |
| Total | 20.966 | 48.536 | 30,2% | 60.673 | 180.181 | 25,2% | 81.639 | 228.717 | 26,3% |

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

*data for People programme is available only for individual fellowships.

*E-CORDA does not contain gender information in ICT projects

Source: E-CORDA as of 26/02/2013

A fifth (20,1%) of all individuals characterised as *contact person for scientific aspects* in signed grant agreements are women. Women represent more than a third (35,4%) of

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

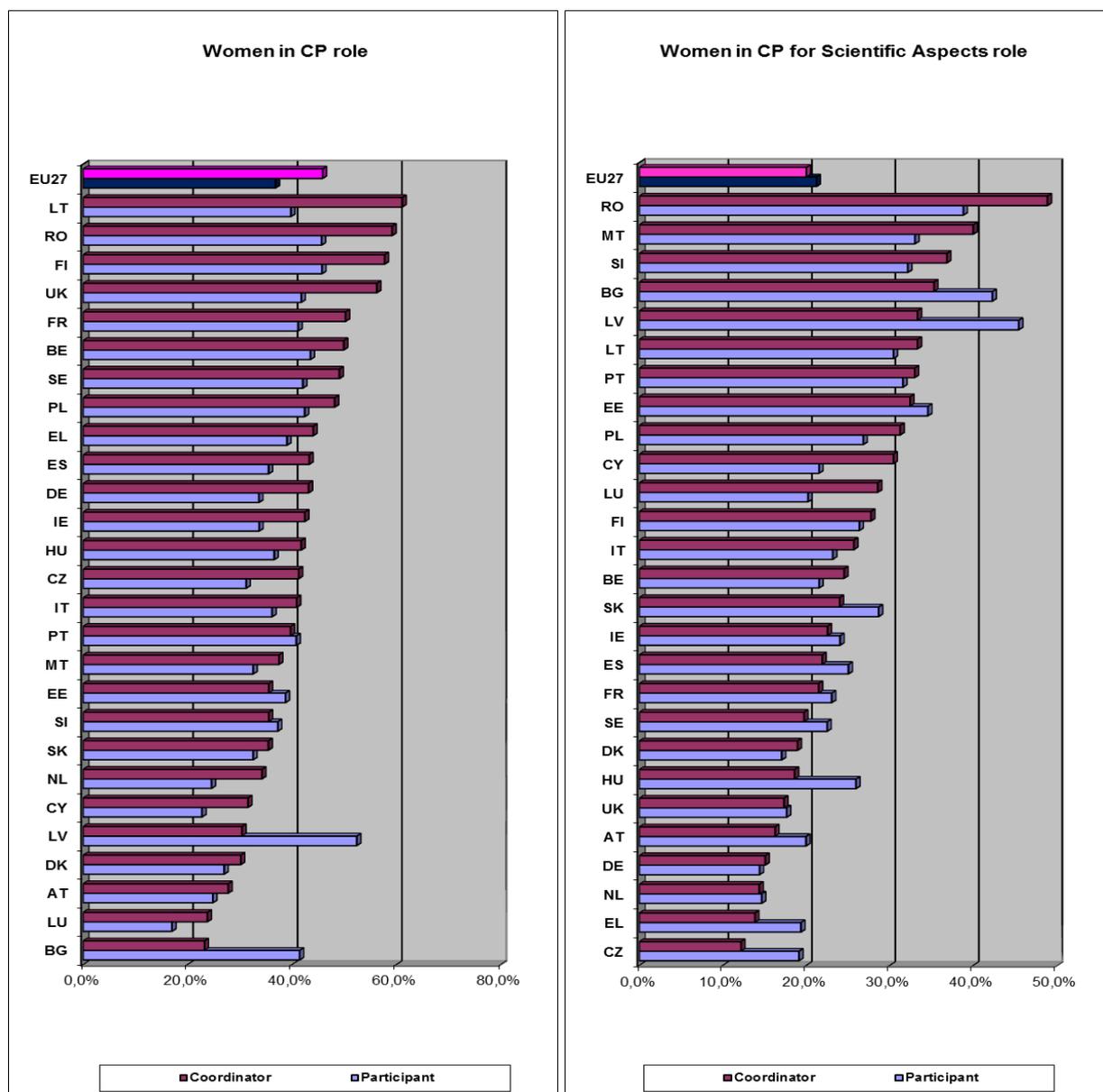
¹¹ This is due to differences in the reporting format of the contract management systems used by the different Commission services: DG RTD and DG ENTR use the Contract and Project Management (CPM) Module, while DG CNECT uses the Phoenix Contract Management Application.

individuals in the category *fellow*, which corresponds to the specific programme People (Marie Curie Actions).

7.494 women (24% of total contact persons) were recorded as contact persons in the signed project grant agreements for ICT theme (Cooperation programme) by 31 December 2012. Slightly above one tenth (12,1%) of all individuals characterised as *contact person for technical aspects* in signed grant agreements are women. As for the e-infrastructures activity, 745 women (or 26,4% of total contact persons) were recorded as contact persons in the signed project grant agreements. Approximately 15% of all individuals characterised as *contact person for technical aspects* in signed grant agreements are women.

Figure 21 presents the participation share of women in contact person roles in FP7 signed grant agreements from 2007 to 2012 by country of origin of the participating organisation, for the group of EU27 Member States.

Figure 21: Participation share of women from project participant and project coordinator organisations in contact person and contact person for scientific aspects roles in FP7 signed grant agreements during the period 2007-2012 by EU27 Member State.



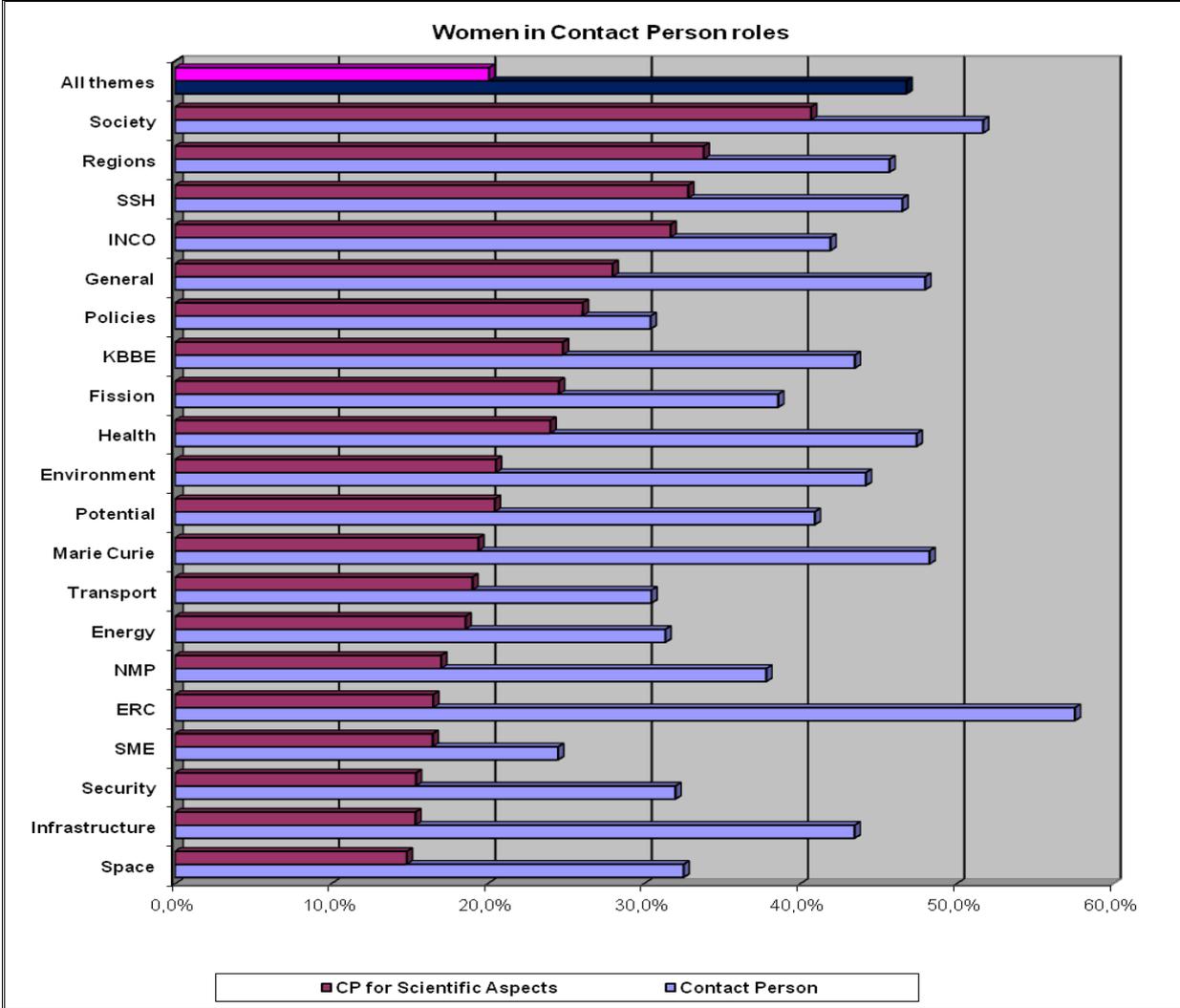
With 10 completed calls, around one fifth of more than 3.400 ERC grant holders are women. The share is substantially higher in the Starting Grant competitions with 24% women grantees, compared to 13% in the Advanced Grant competitions (respectively 24% and 12% in 2011). These relatively low shares are partly due to the lower proportion of

women applying to each of the two grant schemes, with an average of 29% in Starting Grants and 15% in Advanced Grants (respectively 29% and 14% in 2011).

Following up on the implementation of the ERC gender equality plan, the ERC has continued to raise awareness about ERC gender policy among potential applicants and to challenge any potential gender bias in evaluation procedures. The numbers of female applicants and their success rates have slightly increased in 2012, particularly with regard to Starting Grants. The ERC is continuously working towards achieving gender balance in the composition of its evaluation panels. The share of women among ERC panel members is, overall, equal to or larger than the share of female applicants, with 29% of women among the panel members for Starting Grant calls and 25% for Advanced Grant calls.

Figure 22 presents the participation share of women in contact person roles in FP7 signed grant agreements from 2007 to 2012 by thematic area. It is interesting to observe the considerable variation of female participation shares as the contact person for scientific aspects role among different thematic areas. The highest female participation was recorded in Science in Society, Regions of Knowledge, Socio-economic sciences and Humanities and activities in International Cooperation areas with more than a third of the total. The lowest female participation was recorded in Security (15,4%), Research Infrastructure (15,4%) and Space (14,8%) areas.

Figure 22: Participation share of women in contact person and contact person for scientific aspects roles in FP7 signed grant agreements from EU27 during 2007-2012 by thematic area.



2.5.2 Participation of women in FP7 advisory groups, panels and committees

The share of women in FP7 evaluation panels, i.e. of registered FP7 evaluation experts, was 37,5% a slight decrease from 38,0% in 2011. Out of the existing 14 Advisory Groups under FP7, the percentage of women was 32,5%, no change compared to the previous year.

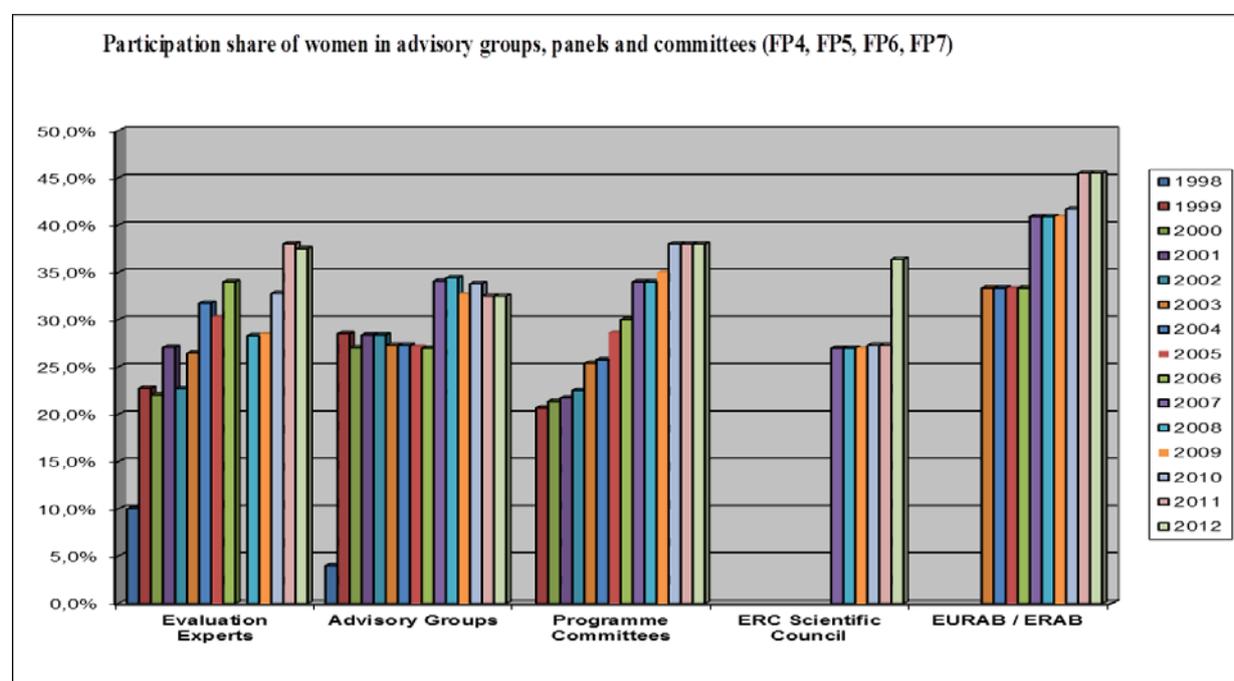
Table 9: Gender of individual participants in FP7 Advisory Groups

| | Advisory Group | Total Members | FEMALE members | MALE Members | %F |
|----|--|---------------|----------------|--------------|-----|
| 1 | Energy | 23 | 10 | 13 | 43% |
| 2 | Environment (including Climate Change) | 18 | 8 | 10 | 44% |
| 3 | Health | 20 | 9 | 11 | 45% |
| 4 | Food, Agriculture, Fisheries and Biotechnology | 27 | 9 | 18 | 33% |
| 5 | International Cooperation | 10 | 4 | 6 | 40% |
| 6 | NNMP | 25 | 5 | 20 | 20% |
| 7 | People | 15 | 6 | 9 | 40% |
| 8 | SME | 15 | 5 | 10 | 33% |
| 9 | Security | 22 | 6 | 16 | 27% |
| 10 | SSH | 13 | 5 | 8 | 38% |
| 11 | Space | 23 | 6 | 17 | 26% |
| 12 | Transport | 21 | 4 | 17 | 19% |
| 13 | Regional aspects | 14 | 6 | 8 | 43% |
| 14 | ICT | 25 | 6 | 19 | 24% |
| | | 271 | 89 | 182 | 33% |

In 2012 the percentage of female members of FP7 Programme Committees was 38% (no change compared to the previous year). In the same year female members of the ERC Scientific Council represented 36,3% of the total number of members (increase from 27,3% in 2011). The corresponding figure for the European Research Area Board (ERAB) – the consultative body responsible for advising the EU on the realisation of the ERA – was 45,5% (no change from 2011), 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 23 below presents in more detail the shares of the participation of women in groups, panels and committees from FP4 to FP7 (1998-2012).

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



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

Following the evolution of FP7 monitoring and the implementation of the SESAM Research Performance and Impact Reporting tool (RESPIR see section 5), new indicators on gender aspects have been gathered through the final reports of projects of the Cooperation Programme. Gender aspects have been split into two major categories. The first focuses on Gender Equality Actions as further detailed in table 10, while the second relates to the gender dimension in the research content (as shown in table 11). Of the 745 completed Cooperation projects, the Gender aspects section of the Final report was filled in for 737 projects.

Out of the 737 completed projects with a gender aspects report, 208 (28%) provided details on Gender Equality actions undertaken. Actions most frequently undertaken were aimed at designing and implementing equal opportunity policies and at setting targets and measures to improve work life balance. All actions have been judged effective with an average of 89%.

Table 10: FP7 Cooperation programme - completed projects (by June 2013) that reported gender aspects and with Specific Gender equality Actions and Gender Action Types

| Priority Area | No. of projects having answered to gender aspects questions | No. of projects with specific Gender Equality Actions | | Gender Action Types | | | | | | |
|--------------------|---|---|------------|--|-----------|--|---------------|--------------------------------------|---------------|-----------|
| | | | | Design and implement an equal opportunity policy | | Set targets to achieve a gender balance in the workforce | | Actions to improve work-life balance | | |
| | | | | No. | % | Effective | Not Effective | Effective | Not Effective | Effective |
| COOPERATION | Health | 203 | 71 | 35% | 70 | 8 | 60 | 5 | 45 | 5 |
| | KBBE | 52 | 14 | 27% | 11 | 1 | 13 | 1 | 7 | 1 |
| | NMP | 125 | 40 | 32% | 32 | 6 | 24 | 10 | 25 | 1 |
| | Energy | 37 | 8 | 22% | 4 | | 5 | | 5 | 1 |
| | ENV | 91 | 26 | 29% | 21 | 2 | 19 | 2 | 17 | 2 |
| | Transport | 98 | 15 | 15% | 8 | 3 | 11 | 2 | 8 | 4 |
| | SSH | 71 | 26 | 37% | 16 | | 22 | 2 | 14 | |
| | Space | 27 | 3 | 11% | 3 | 1 | 2 | 2 | 5 | |
| | Security | 27 | 3 | 11% | 4 | | 4 | | 1 | |
| General Activities | 6 | 2 | 33% | 2 | | 2 | | 2 | | |
| Total | 737 | 208 | 28% | 171 | 21 | 162 | 24 | 129 | 14 | |

As shown in table 11, on average one fifth of the projects that reported on gender aspects in the Cooperation Programme developed the gender dimension in the content of the research. It should be noticed that this percentage varies across priority areas and it ranges from the lowest values of 0% for Space and 6% in the Nanosciences, Nanotechnologies, Materials and new Production Technologies (NMP) to 52% for Socio-economic Sciences and Humanities (SSH).

Table 11: FP7 Cooperation programme - completed projects (by June 2013) that reported gender aspects and number of projects where gender dimension was associated with research content

| Priority Area | No. of projects with a gender aspects report | No. of projects where gender dimension was associated with the research content | | |
|---------------|--|---|----|-----|
| | | No. | % | |
| COOPERATION | Health | 203 | 50 | 25% |
| | KBBE | 52 | 7 | 13% |
| | NMP | 125 | 7 | 6% |
| | Energy | 37 | 5 | 14% |
| | ENV | 91 | 11 | 12% |
| | Transport | 98 | 14 | 14% |
| | SSH | 71 | 37 | 52% |

3 FP7 IMPLEMENTATION IN 2012 – MANAGEMENT AND QUALITY ISSUES

3.1 Dissemination activities

3.1.1 Internet

In the past years the Commission's web-based information relating to EU-funded Research & Innovation activities including information related to FP7 was provided in a rather unstructured way with a certain amount of duplication provided on the official websites of the Commission. Effective and efficient web communication however relies on good and reliable quality, user centric task orientation and self-explanatory structure.

In this respect and to stop the aforementioned existing problems a new overall web-based communication strategy was agreed by the Directorates General of the research family in 2011 and its gradual implementation was started in 2012. This includes a clear mission and better structure for each of the current three main websites: the Research & Innovation site on Europa, the Participant Portal and CORDIS, each of them with a clear focus.

The European Commission's Research & Innovation web site on EUROPA provides up-to-date information on the latest decisions and latest advances in European Research. A new structure for the site was successfully implemented in September 2012 reinforcing its mission, and providing a more user-centric approach.

The Participant Portal also on EUROPA shall become the central portal for the participants in EU Research & Innovation Framework Programmes. It will be the only interface for the participants and shall provide in one spot all services & information relevant to participating in the Framework Programmes.

CORDIS, the Community Research and Development Information Service, is run separately from EUROPA and its new focus is on the dissemination of information about the EU-funded projects, their results as well as their exploitation. This change in mission with corresponding transfers of services between CORDIS, the Research & Innovation site on EUROPA and the Participant Portal is a gradual process and will take place over a number of years.

The figures shown below come from different providers: for the Research & Innovation site on EUROPA they are taken from the Europa Analytics system provided by DG COMM/DIGIT whereas those for CORDIS are provided by the Publications Office. The reorientation of the websites, including the relocation of services, has an effect on the comparability of statistics across the years. In this sense, the 2012 figures for R&I on EUROPA include the Participant Portal statistics.

Table 12: Internet usage statistics (DIGIT/DG COMM statistics for R&I on Europa, CORDIS statistics).

| INTERNET USAGE STATISTICS | 2008 | 2009 | 2010 | 2011 | 2012 |
|---------------------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| VISITS (total) | 24,9 million | 14,8 million | 11,9 million | 12,6 million | 18,1 million |
| <i>R&I on Europa</i> | <i>8,5 million</i> | <i>6,9 million</i> | <i>7,3 million</i> | <i>7,9 million</i> | <i>11,7 million</i> |
| <i>CORDIS</i> | <i>16,4 million</i> | <i>7,9 million</i> | <i>4,6 million</i> | <i>4,7 million</i> | <i>6,4 million</i> |
| Page views (total) | 58 million | 53,7 million | 48,9 million | 57,5 million | 80,5 million |

| | | | | | |
|-------------------------------------|----------------|--------------------|----------------|----------------|----------------|
| <i>R&I on Europa</i> | 16,2 million | 21 million | 22 million | 28 million | 46 million |
| <i>CORDIS</i> | 41,8 million | 32,7 million | 26,9 million | 29,5 million | 34,5 million |
| Visitors per month (average) | 419.078 | >566.000 | 549.566 | 557.104 | 743.545 |
| <i>R&I on Europa</i> | 125.000 | > 300.000 | 340.000 | 357.000 | 485.000 |
| <i>CORDIS</i> | 294.078 | 266.396 | 209.566 | 200.104 | 258.545 |

Figures 24 and 25 below present the distribution of visits by country- For the significant figures for Belgium it should be kept in mind that the latter is likely to be the result of the fact that many European institutions are based in Brussels.

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

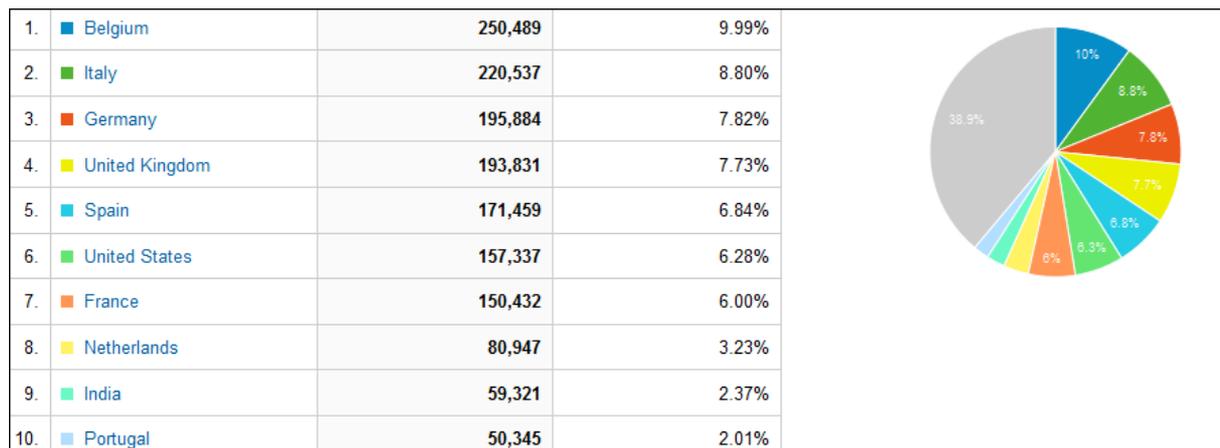
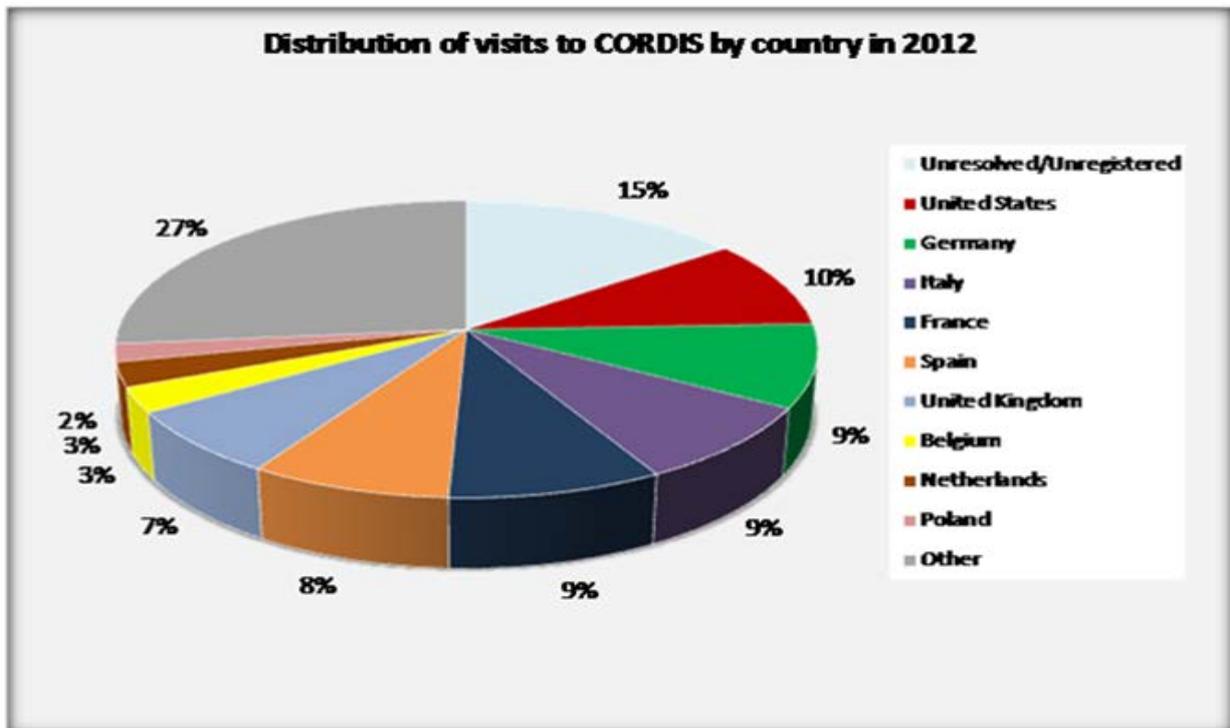


Figure 25: Distribution of visits to CORDIS sites by country



3.1.2 National Contact Points meetings

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

In December 2007, guidelines for establishing and operating the NCP systems for FP7 and for their relations with the Commission services and each other have been published.¹² These guidelines address the network architecture, the nomination and recognition process and the operational modalities.

The national coordinators met once, in October 2012, primarily to take stock of the overall NCP policy in FP7. The FP7 Legal and Financial NCPs met two times in 2012, namely in May and in November, and discussed a broad range of issues (e.g. IT and business systems, legal and financial questions related to FP7 and discussions on Horizon 2020).

A survey of NCPs regarding FP7 promotion and implementation issues in 2012 (see also Sections 3.5, 3.6.2, and 5) provides some information on the numbers of FP7 information days, organised by NCPs in 2012. NCP National Coordinators and FP7 Coordinators for Specific Fields were asked to indicate the total number of FP7 information days organised in 2012 by their NCP and to provide an estimate of the total number of attendees at these 2012 information days. 34,3% of the respondents report that more than 7 information days were organised by their respective NCP. This represents a slight increase compared to 2011 (28,3%), but still lower than in 2010. 3,4% of the respondents did not organise any information day at all in 2012. The smaller number of information days may also reflect the fact that NCP clients are more familiar and experienced with FP7 and its modalities in the last years of the programme implementation. Some NCP did not organise their own events, but participated in the events organised by the European Commission and the Implementing agencies. Several NCP claimed that more targeted events, more specialised in the second part of the programme implementation are more useful than general information sessions. As regards the total number of attendees, 64,6% of the respondents indicated more than 100 attendees for their information days in total. In general, 84% of all events in 2012 were attended by more than 50 attendees compared to 72% in 2011. In 2012, the events were more targeted, organised jointly by several NCPs or information was directly delivered to the potential applicants.

3.2 Quality assessment of proposal evaluation and the redress procedure

3.2.1 Proposal evaluation

In order to receive the independent experts' opinion on the quality of the proposal evaluation process and the procedures applied, an anonymous on-line survey of all experts who participated in the evaluation of proposals during the fifth year of FP7 was carried out. Similar surveys had already been conducted in 2007 -2012. The data collected for the fifth year of FP7 confirm the positive picture of the quality of the evaluation process. Key figures are presented in Table 13 below.

¹² 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).

Table 123: Key figures of Evaluators' Survey 2012

| EVALUATORS' SURVEY | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 |
|--|-------------|-------------|-------------|-------------|-------------|-------------|
| Experts invited to participate | 3.630 | 3.492 | 4.612 | 3.972 | 3.409 | 6.728 |
| Responses received | 2.281 | 1.682 | 2.373 | 1.744 | 1.926 | 2.282 |
| Respondents finding the quality of the evaluation overall <i>satisfactory</i> to <i>excellent</i> | 96,1% | 97,6% | 97,6% | 97,4% | 98,2% | 98,4% |
| Respondents rating the quality of the evaluation overall <i>excellent</i> | 22,1% | 26,5% | 29% | 28,8% | 27,1% | 33% |
| Respondents, having previously evaluated research proposals for national or international research funding schemes, finding the EU evaluation process <i>better</i> or <i>much better</i> | 52,6% | 61,3% | 61,0% | 60,8% | 63,9% | 65,7% |

The results demonstrate that the high quality of the evaluations has been maintained. Evaluators were very satisfied with the way in which the evaluations were conducted with respect to impartiality, confidentiality and fairness. In particular the level of efficiency of the evaluation task has been rated as excellent, good or satisfactory by 97,2% of the respondents.

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

- *Available time:* Still the majority of the respondents (54,5%) believe there was sufficient time for the reading and the individual evaluation of proposals. However, similarly to previous years, a significant minority of the experts (17,9%) would have preferred more time for this part of the evaluation, which is slightly less than what was recorded in 2012.
- *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.
- *Conflicts of interest:* 21,2% 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, 91,4% believed that these possible conflicts of interest were thought to be handled correctly.
- *Logistical aspects:* There has been a continuous improvement of the logistical aspects over the years. Also in 2012, an overwhelming majority of the experts (96,1%) rated the overall organisation of the evaluation positively, which represents a small decrease compared to 2011 (96,8%). A significant part of these respondents (53,6%) rated the logistical aspects as 'excellent' (2011-49,1%; 2010-48,1%; 2009-47%; 2008-43,9%; 2007-29,9 %).

3.2.2 Redress procedure

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

In line with these requirements, a redress procedure has been set up that aims to be both efficient and consistent with the principles of transparency and equal treatment that underpin all Commission evaluations. Corresponding redress guidelines set out the more operational aspects of the new procedure. The redress committee meets in various configurations according to the different calls for proposals. The configurations work independently, and deliver their advice to the responsible directors. A redress office 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.¹³

Table 14 shows the results of the redress procedure for FP7 calls launched in 2007-2012. The figures presented below do not include redress cases related to ERC calls and managed by the European Research Council Executive Agency (ERCEA, section 4.1.2), but include the redress cases managed by the Research Executive Agency (REA, section 4.2.2).

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

Table 14: Key figures for the redress procedure in 2007-2012

| REDRESS PROCEDURE | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2007 - 2012 |
|---|--------|--------|--------|--------|--------|--------|---------------|
| Proposals received | 17.380 | 10.059 | 13.166 | 11.757 | 17.978 | 18.654 | 88.994 |
| Redress requests received | 772 | 403 | 443 | 487 | 573 | 482 | 3.160 |
| Redress cases upheld but not leading to re-evaluation* | 41 | 25 | 26 | 10 | 89 | 14* | 205* |
| Redress cases leading to re-evaluation | 8 | 7 | 9 | 6 | 32 | 10* | 72* |
| Redress cases leading to re-evaluation (% of proposals received) | 0,046% | 0,069% | 0,068% | 0,051% | 0,177% | 0,053% | 0,08% |

*Please note that for some of 2012 calls the redress process still be ongoing.

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

3.3 The FP7 Ethics Framework - Ethics reviews and ethics audits

The Commission has included in FP7 procedures a thorough Ethics Review process for all proposals that raise ethical questions and are likely to receive Community funding. The Ethics Review process safeguards the protection of fundamental rights and the respect of ethical principles. It guarantees that no funding is allocated to research that does not comply with the relevant EU and national legislation and the ethical considerations specified in the Framework Programme. The Ethics Review process is described in detail in the "Rules for submission of proposals, and the related evaluation, selection and award procedures"¹⁴. The new "Rules" published on 22 March 2011¹⁵ offer a detailed description of the new Ethics Review process, including the Ethics Screening and the Ethics Follow-up and Audit.

All proposals that are selected for funding and raise ethical issues undergo an Ethics Review by independent experts in research ethics coming from a variety of scientific disciplines. The Ethics Review process is split in two phases: the Ethics Screening and the Ethics Review. The Ethics Screening had been introduced in order to facilitate the selection of projects that required Ethics Review at the EC level versus projects that can be

¹³ 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

¹⁴ Version 3, 21 August 2008, COM (2008)4617 (see Annex A 'Ethical Review Procedures')

¹⁵ 2011/161 EU, L75

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 Directorate General for Research and Innovation, 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 European Commission and the researchers. All FP7 funded projects can request specific assistance on ethics issues from the Ethics Review Helpdesk, accessible through the "get support function" of the CORDIS site.

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

The table below presents an overview on Ethics Reviews organised during FP7 so far. It should be noted that the new Ethics Review process introduced in 2010 includes a new process called Ethics screening that was undertaken by each thematic area. The number of Ethics Screenings is approximately three times higher than the number of Ethics Reviews indicated below.

Table 135: Key figures for ethics reviews in 2007-2012

| ETHICS REVIEWS | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2007 - 2012 |
|---|-------------|-------------|-------------|-------------|-------------|-------------|--------------------|
| Number of Ethics Reviews organised | 245 | 294 | 232 | 298 | 343 | 354* | 1.766 |
| Projects not proposed for negotiation as a result of the Ethics Review | 0 | 0 | 0 | 0 | 1 | 0 | 1 |
| Project proposals found to have insufficient safeguards in place, requested to modify project following contractually binding requirements | 44 | 82 | 122 | 172 | 182 | 203 | 805 |
| Proposals flagged for Ethics Audit | N/A** | 7 | 12 | 27 | 58 | 54 | 158 |

* There were 19 resubmissions (proposals that were considered not to fulfil the ethics requirements at the time of first submission).

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

The project proposals that were reviewed cover a broad variety of issues under different thematic areas and specific programmes. In 2012 *People* is the area with the highest number of Ethics Reviews, which is due to the higher number of applications for funding received by this programme, followed by the *Health*, the *IDEAS* and the *SMEs* programmes. Table 16 provides more details.

Table 16: Ethics Reviews by FP7 Specific Programmes and thematic area in 2012.

| ETHICS REVIEWS IN 2012 BY FP7 SPECIFIC PROGRAMMES & THEMATIC AREAS | | |
|--|---|------------|
| COOPERATION | Environment | 4 |
| | Food, Agriculture and Fisheries, Biotechnology | 17 |
| | Health | 58 |
| | ICT (Information and Communication Technologies) | 19 |
| | Nanosciences, Nanotechnologies, Materials and new Production Technologies | 4 |
| | Security | 18 |
| | SiS | 2 |
| | SSH | 1 |
| | SMEs | 20 |
| | Transport | 13 |
| | IDEAS (ERC) | 48 |
| PEOPLE (Marie Curie Actions) | 141 | |
| CAPACITIES (Research Infrastructures) | 9 | |
| TOTAL | | 354 |

In 2013 a Mutual Learning and Mobilisation (MML) action on Ethics will be launched, following the 2012 call for proposals. The MML will put together European shareholders in the ethics review procedure (such as Research Ethics Committees, research associations etc.) in order to discuss and propose common approaches and a common framework for the ethics review framework at the European level. In 2012, the Ethics Review Sector of DG RTD organised 4 specialised workshops and focused training activities in order to facilitate the uptake of the ethics review procedures by all research related Commission and Executive Agencies staff.

More specifically, the tool presents statistical data on research outputs (peer-reviewed applications, applications for patents, gender and ethical issues, etc.) based on FP7 project final reports that are submitted and registered in the SESAM application. RESPIR reports on data derived from projects administered by DG RTD and the Research Executive Agency (REA).

Overall and by May 15, 2013, 13.833 grant agreements for the research projects managed by DG RTD and the Research Executive Agency (REA) were signed, 4.570 (or 33%) projects were completed and 3.220 (or 23%) project Final Reports were approved and recorded in RESPIR. In total, the completed projects reported 1.067 ethical issues.

Table 17: Ethical Issues reported in the FP7 Projects by Priority Area

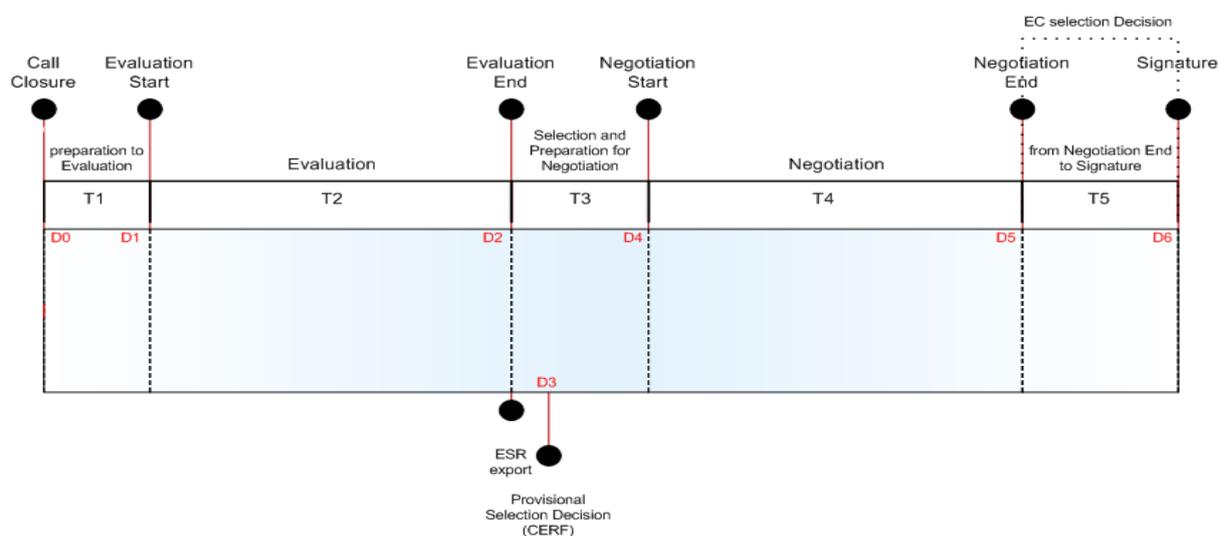
| Programme | Approved Final Reports | Projects with at least one ethical issue reported | Ethical issues in the projects that underwent an Ethics Review (and/or Screening) | Ethical issues |
|--------------|------------------------|---|---|----------------|
| COOPERATION | 731 | 316 | 482 | 913 |
| PEOPLE | 2.065 | 3 | 0 | 3 |
| CAPACITIES | 412 | 97 | 30 | 146 |
| EURATOM | 12 | 3 | 1 | 5 |
| Total | 3.220 | 418 | 513 | 1.067 |

A majority of the ethical issues were related to research on humans (618 issues or 57,9%), followed by research involving developing countries (182), privacy (150) and research on animals (92).

3.4 Time-To-Grant

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

Figure 26: Time-to-grant (TTG) stages



The latest available data (April 2013) indicate the following average times (in calendar days) for the periods from T1 to T5: T1 (33) + T2 (69) + T3 (48) + T4 (118) + T5 (56) = Total TTG (324).

TTG statistics capture a cumulative picture which is continuously updated with an upward trend as more proposal negotiations are gradually concluded. The grant agreements (18.573) included in this sample correspond to approximately 92% of the total number of retained proposals for concluded FP7 calls so far (20.190) in May 2013 and, therefore, they provide a reasonably good approximation of the final TTG figures.

Taking into account the above limitations, the average TTG for the whole FP7 is 320 days (median 307 days). This figure represents an improvement compared to 2011. In 2011 the average TTG was 331 days (median 320 days). In 2010 the average TTG was 348 days (median 334 days). The 2009 TTG figures were higher than in the first two Monitoring Reports (2008: average TTG 333 days, median 318; 2007: average TTG 291 days, median 287), hence reflecting the fact that at the time of reporting in the first two Monitoring Reports several lengthier grant agreement negotiations had not been concluded and, therefore, had not been included in the sample on which the 2009 TTG statistics were based. The more detailed information on time-to-grant statistics is presented in the table below.

Table 18: Minimum, average, and maximum time-to-grant (in days) for FP7 grant agreements signed in 2007 - 2012 by thematic area (as of May 2013)

| Specific Programme | Priority Area | Signed Grants | Average TTG | Minimum TTG | Maximum TTG |
|--------------------|---|---------------|-------------|-------------|--------------|
| COOPERATION | Health | 821 | 379 | 142 | 804 |
| | Food, Agriculture and Fisheries, and Biotechnology | 418 | 386 | 226 | 650 |
| | Information and Communication Technologies | 1.864 | 257 | 141 | 629 |
| | Nanosciences, Nanotechnologies, Materials and new Production Technologies - NMP | 638 | 355 | 153 | 755 |
| | Energy | 284 | 333 | 142 | 642 |
| | Environment (including Climate Change) | 409 | 397 | 185 | 651 |
| | Transport (including Aeronautics) | 521 | 423 | 154 | 1.115 |
| | Socio-economic sciences and Humanities | 199 | 407 | 223 | 748 |
| | Space | 194 | 419 | 314 | 1.101 |
| | Security | 196 | 501 | 228 | 914 |
| | General Activities | 20 | 341 | 112 | 493 |
| IDEAS | ERC | 3.183 | 348 | 13 | 749 |
| PEOPLE | Marie-Curie Actions | 8.176 | 284 | 107 | 671 |
| CAPACITIES | Research Infrastructures | 317 | 342 | 200 | 641 |
| | Research for the benefit of SMEs | 738 | 375 | 202 | 809 |
| | Regions of Knowledge | 63 | 318 | 229 | 589 |
| | Research Potential | 165 | 327 | 239 | 473 |
| | Science in Society | 126 | 392 | 210 | 696 |
| | Support for the coherent development of research policies | 8 | 306 | 180 | 538 |
| | Activities of International Cooperation | 122 | 318 | 227 | 717 |
| Eura-tom | Fusion Energy | 3 | 414 | 409 | 422 |
| | Nuclear Fission and Radiation Protection | 105 | 321 | 167 | 638 |
| Total | | 18.573 | 320 | 13 | 1.115 |

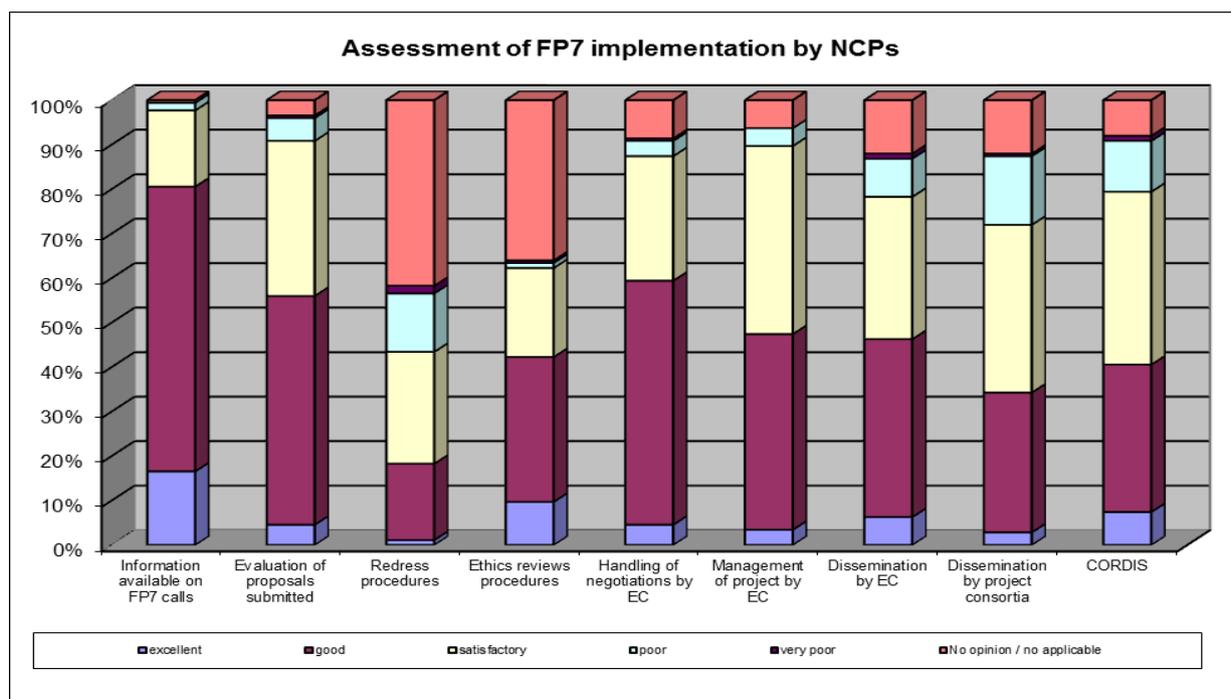
3.5 Independent assessment of FP7 implementation by National Contact Points

Similarly to previous years a survey was conducted among National Contact Points (NCP) to collect their views, comments and suggestions with regard to the promotion and implementation of FP7 during 2012. This year the questionnaire was dispatched to 894 FP7 National Coordinators and FP7 Coordinators for Specific Fields from the 40 EU Member States and Associated Countries. As a result, 175 responses were received from 39 different countries (response rate of 19,6%). The complete results of the NCP survey are presented in Annex C.

3.5.1 Project life cycle

The questionnaire, in addition to gathering information on the promotion of FP7 at the national level (Section 3.1.2) and opinions on the simplification of FP7 (Section 3.6.2), on the role of FP7 in global (general) context (Section 3.5.2), and on the European Research Area (Section 2.4), posed questions on FP7 implementation, each covering a different phase of the project cycle. Figures 27, 28 and 29 below summarise the results of this specific part of the survey (see Annex C for detailed statistics).

Figure 27: Assessment of FP7 implementation issues in the project life cycle in 2012 by NCPs.



More than 80% of the respondents (increase from 2011 and 2010) rated the *information available on FP7 calls* as either 'good' or 'excellent'. Free-text comments indicate some differences for the various areas of FP7 and also highlight that in light of the wealth of information available it appears sometimes difficult to find what is needed.

The procedures for the *evaluation of proposals* were deemed as 'good' or 'excellent' by around 56% (53% in 2011) of the respondents, with another third rating them as 'satisfactory'. In the free text comments, some respondents noted that more detailed feedback, especially for the non-successful applications, would be appreciated.

The *ethic review procedures* were deemed 'excellent' or 'good' by 42% (40% in 2011). It is worth noticing that 36% of the survey participants had 'no opinion' or the question was not applicable. Some of the respondents stated that access to information on ethical issues provided by the EU has improved significantly, but there is still room for improvement. The lengthy process was another complaint expressed by the respondents.

Figures are less favourable with regard to *redress procedures*, which were rated as 'good' or 'excellent' by 18,3% of the respondents (a slightly positive trend from 17,3% in 2011). 13,2% of the respondents rated the *redress procedures* as 'poor' or 'very poor'. It is a slight increase from 2011 (12,2%) though less than in 2009 (22%). In the related comments, NCPs explain that researchers are dissatisfied with the redress system focusing on administrative procedures rather than the content of the evaluation of proposals. For some researchers, the purpose of the redress procedure is not clear. They consider it as a simple complaint tool. Many of the respondents (almost 32%) had no opinion or found the question 'not applicable' (10%).

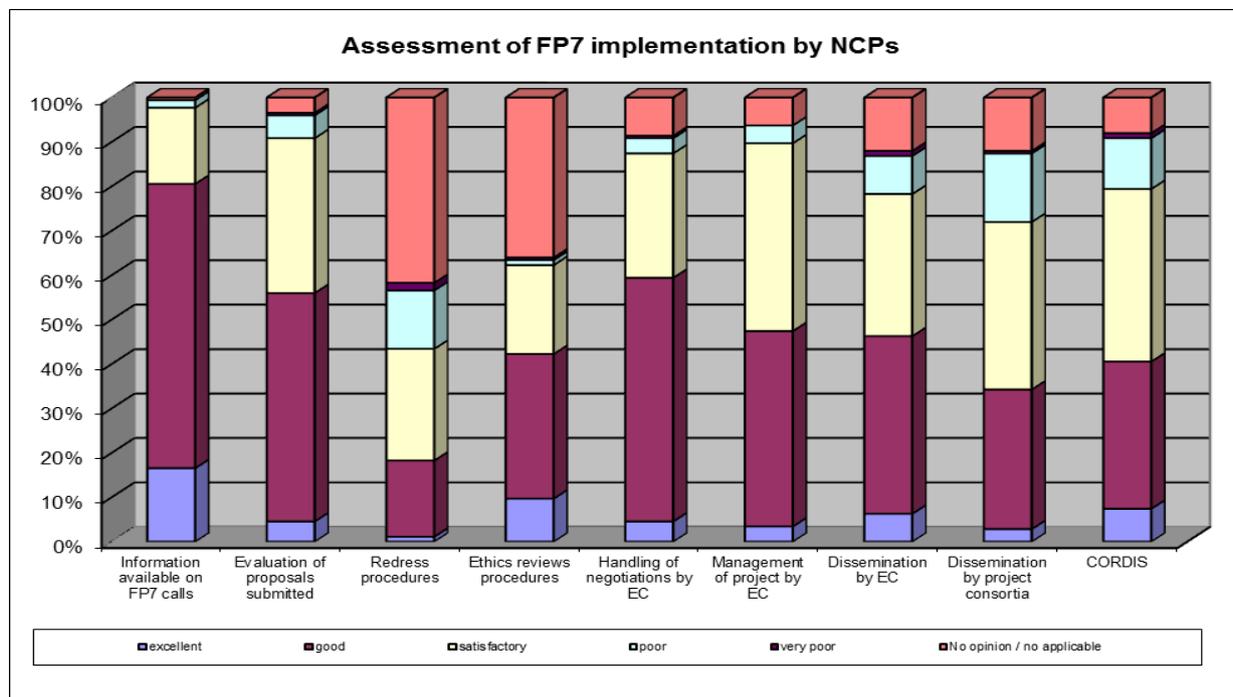
The positive ratings of *grant negotiation procedures* and *management of projects by the Commission* were significantly higher than the previous years.

The *grant negotiation procedures* handled by Commission services were deemed as 'good' or 'excellent' by 59,5% of the respondents (compared to 54,4% in 2011), the main criticism here being the length of the time-to-grant. Some of the respondents stated that the negotiations are much better than in FP6, but that time to grant should be further reduced.

As regards the *communication and dissemination of project findings*, it was acknowledged by many who commented that projects should better communicate the findings and results of projects to the wide public, even after the project ends. NCPs report that results

and outcomes are difficult to find and have requested Commission Services to update project databases more regularly. Comments also highlighted the complexity of using CORDIS and a request was made for a more standardised approach. Some respondents proposed to create new initiatives for a more elaborate dissemination and exploitation of results (scientific seminars to disseminate the obtained results, etc.) and to define the target group more precisely (researchers and the wider audience).

Figure 28: Assessment of FP7 implementation issues in the project life cycle in 2012 by NCPs.



3.5.2 FP7 in general context

NCPs were invited to provide their assessment of the role and possible leverage effect of FP7 in a more general context. Figure 29 below summarises the results (for statistics, see Annex C).

The rating of FP7 as an *effective balance between academic, industrial (including SMEs) and research organisation sectors* was more positive compared to the previous year. 53,7 % of the respondents agreeing or strongly agreeing, while 12% express their disagreement (respectively 49,6% and 15,2% in 2011 and 36% and 25% in 2010).

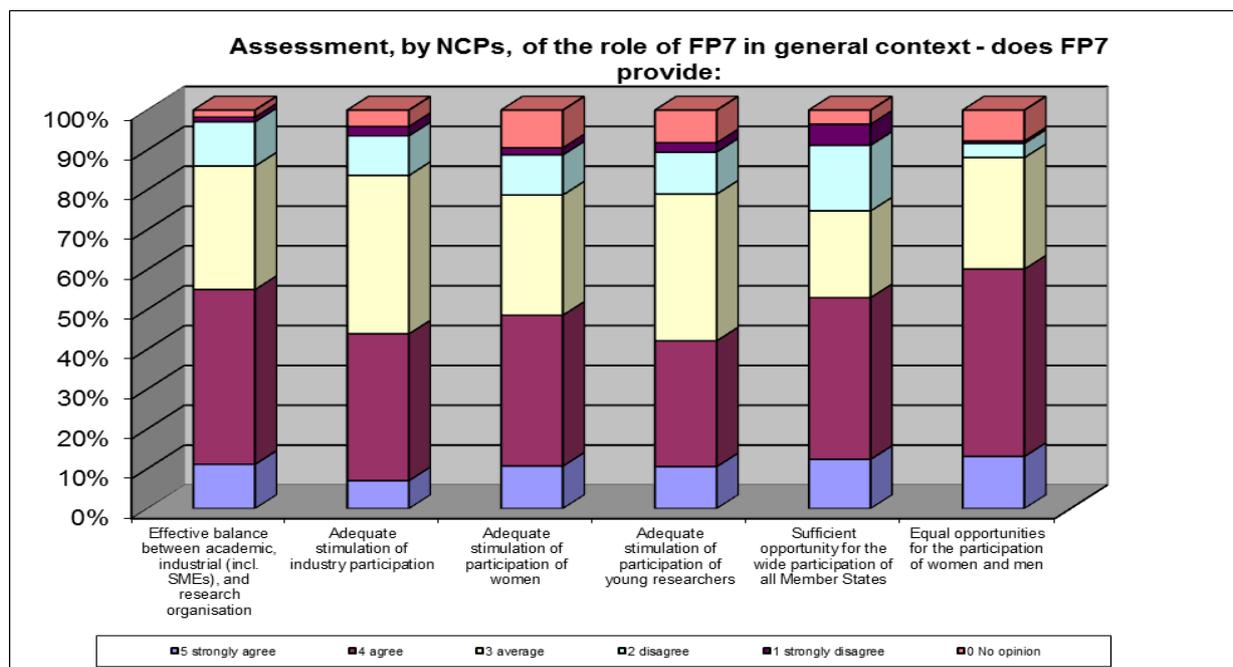
The positive trend compared to the previous year was recorded regarding the FP7 *adequate stimulation of industry participation*. 42,8 % of the respondents agreeing or strongly agreeing, while 12% express their disagreement. Free-text comments show a general agreement that industry and SME participation should be encouraged more; the time-to-grant is deemed too long for the industrial sector.

For the role of FP7 in terms of *adequate stimulation of the participation of women*, 46,8% of respondents are positive, agreeing or strongly agreeing (41,3% in 2011). The appreciation of FP7 as *adequate stimulation of young researchers* showed a slightly negative trend in 2012. 41,2% of respondents are positive, agreeing or strongly agreeing with the statement (44,3% in 2011).

The role of FP7 in providing *sufficient opportunity of EU12 participation* shows again a high level of agreement (52%). However, 21% of the respondents disagree or strongly disagree with the statement (17% in 2011).

In a separate question, NCPs were asked to assess whether FP7, in the way it is designed and implemented, provides equal opportunities. Here, 58% of the respondents (56% in 2011) agree or strongly agree, while only 4% (6% in 2011) express their disagreement.

Figure 29: Assessment of the role of FP7 in general context by NCPs.



3.6 Simplification

3.6.1 Simplification measures in FP7

The European Commission has undertaken a number of initiatives to simplify the implementation of the Framework Programmes. Significant advances have already been made in FP7 towards achieving this major political objective. Furthermore, the groundwork for more *profound* changes - in the context of the preparation of the next Framework Programme - has also been worked on during 2012.

Simplification measures continued in 2012

During 2012, no specific new simplification measures were adopted but, nevertheless, continued simplification efforts during the year led to a significant improvement in certain areas, including further reduction of delays in providing grants and payments.

In parallel, as called for in all opinions and reports on simplification, on-going efforts to improve guidance to the participants and to improve the IT tools and services was intensified in 2012.

Specifically, further development of the Participant Portal, a common IT platform which provides a unique, single entry point for interaction with the Research Programmes of the European Commission, has helped minimise the administrative burden by establishing full electronic workflows for all operations, and has enhanced user-friendliness by maximising the ease of access to funding.

Additionally, continued consultation of external stakeholders, in dedicated meetings or via NCP networks, has further helped develop this into an IT tool that responds better to the needs and constraints of the beneficiaries, and to ease their participation.

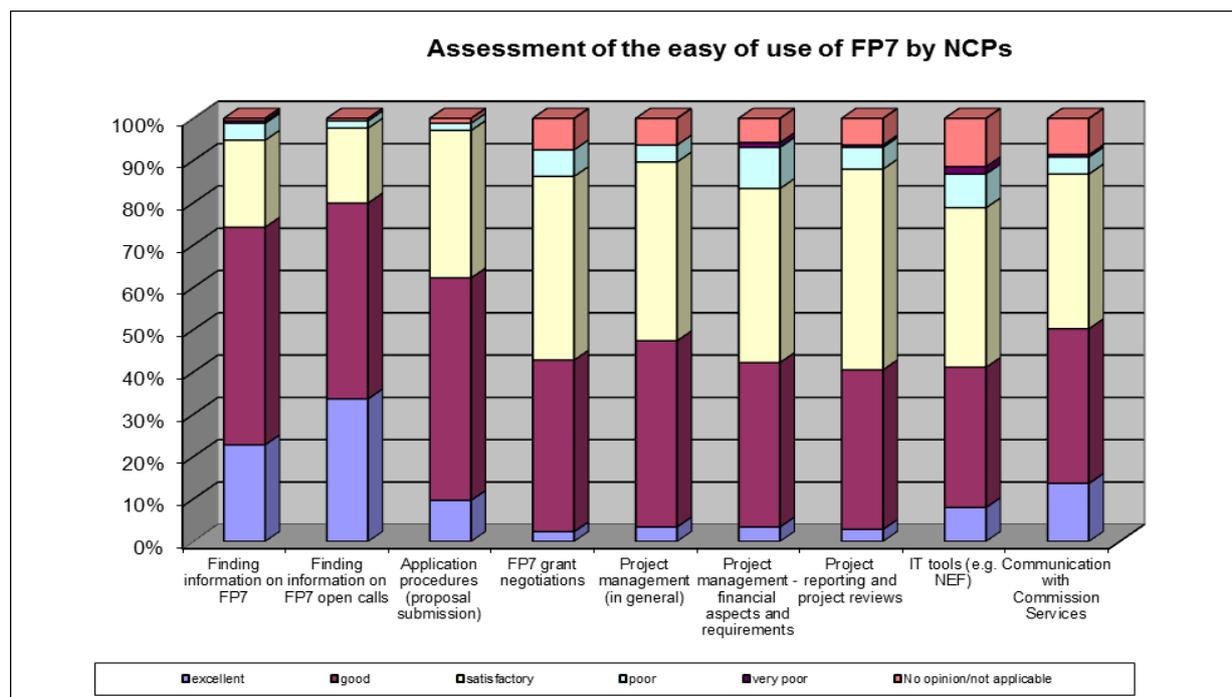
3.6.2 Perception of simplification in FP7 by National Contact Points

In the NCP survey conducted in the context of the 2012 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. With respect to simplification, NCPs' opinions were asked on the measures that have been implemented so far to make FP7 simpler (*simplification measures*).

User-friendliness of the FP7 administrative and financial procedures

The respondents were asked to rate the ease of use of FP7 in absolute terms on the range of administrative and financial procedures/aspects (see Figure 30 below and Annex C for statistics).

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



The overall trend is a very high level of satisfaction with FP7 procedures. The number of respondents rating the ease of use of each aspect of the project cycle as 'satisfactory' or better never falls below 78%, which represents a positive trend every year.

Aspects relating to *finding information on FP7*, and *on FP7 open calls* are rated 'excellent' or 'good' by 75% of respondents (80% in 2011). But the figures as well as the free-text comments also highlight areas of dissatisfaction.

As last year, NCPs highlight the need for homogeneous approaches between the different Commission services and for officers to be easily reachable. For the communication with Commission Services, very positive as well as several critical comments were received. Overall, the comments are more positive regarding the simplification of the IT tools compared to the ease of the project administration procedures and financial aspects and requirements that are aspects still considered as very complex by the NCPs.

Effectiveness of simplification measures

NCPs were asked to assess the effectiveness of the different measures which have been implemented in order to simplify the use of FP7. For the *Unique Registration Facility (URF)* effectiveness is perceived as high or very high by a clear majority of respondents (see Figure 31 and Annex C for statistics).

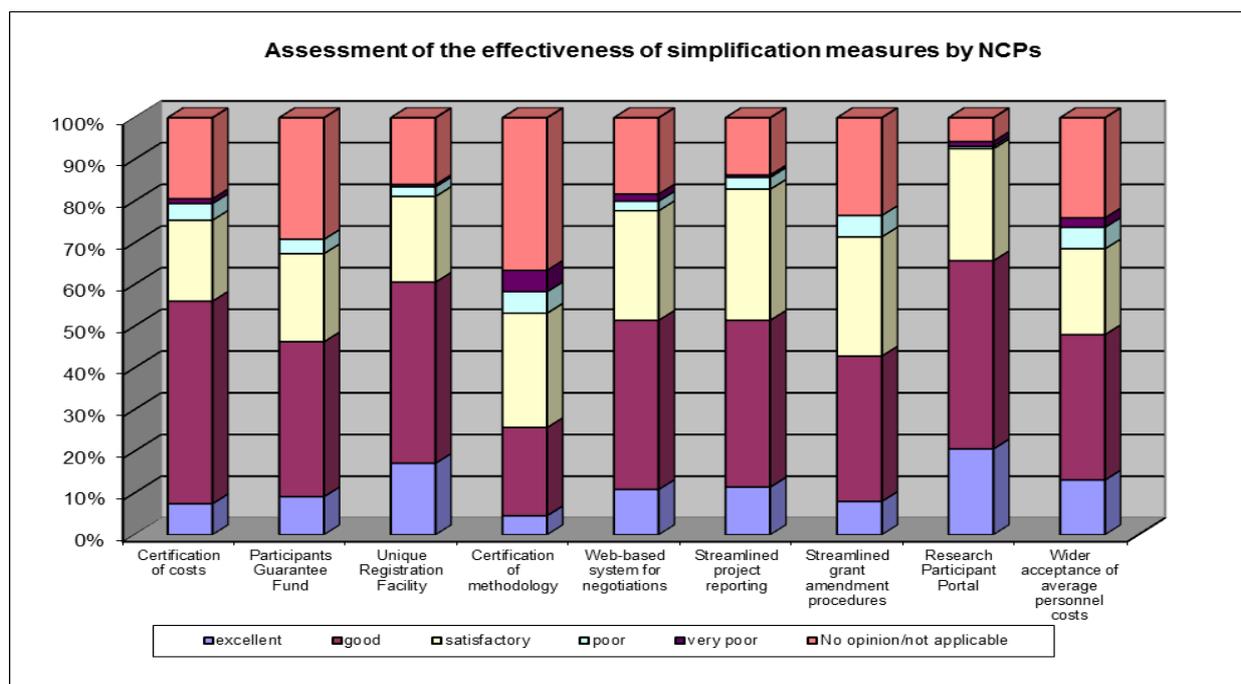
More than 65% of the respondents rated the effectiveness of measures related to the *Research Participant Portal* as high or very high. The *Participants Guarantee Fund* was

positively assessed at 46%. The *web-based electronic system for negotiations' (NEF)* corresponding figure is close to 52%. The NCP assessment demonstrates a slightly negative trend compare to 2011 (60%) but is more positive that in 2010 (50%).

As regards the effectiveness of the measures aiming at simplifying *grant amendments procedures*, 43% respondents considered it to be above average (47% in 2011 and 32,8% in 2010). The assessment of *certification of methodology* shows a minor negative trend in 2012 compared to 2011. The respondents and comments reported the procedure to be very bureaucratic and slow. The low ratings given by respondents also increased compared to the previous year.

In the free-text comments, respondents added that the *IT tools* (NEF, project reporting) could potentially have a great impact on simplification but that they still have to be better implemented. NCPs noted that the *Guarantee Fund* and the *certification of costs* led to real improvements. High expectations from the *Participant Portal* measure were expressed in the comments.

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



3.7 Monitoring sustainable development in FP7

3.7.1 FP7 and the renewed EU Sustainable Development Strategy

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

In order to provide a global overview of the volume of FP7-funded research expected to have an impact on the objectives of the EU SDS, a monitoring system on research for sustainable development, "FP7-4-SD", has been implemented. This system also allows for deeper analyses on specific clusters of projects pursuing a common objective.

3.7.2 Web-based monitoring tool on research for sustainable development

This online public monitoring system, available at www.fp7-4-sd.eu, is based on a screening of the Work Programmes published under FP7¹⁶. Each topic is cross-referenced with the 78 operational objectives of the EU SDS¹⁷. Hence, this system allows for the monitoring of the part of FP7 contributions arising from the calls for proposals to grand challenges identified in the EU 2020 Strategy: climate change, energy security, health and social cohesion¹⁸.

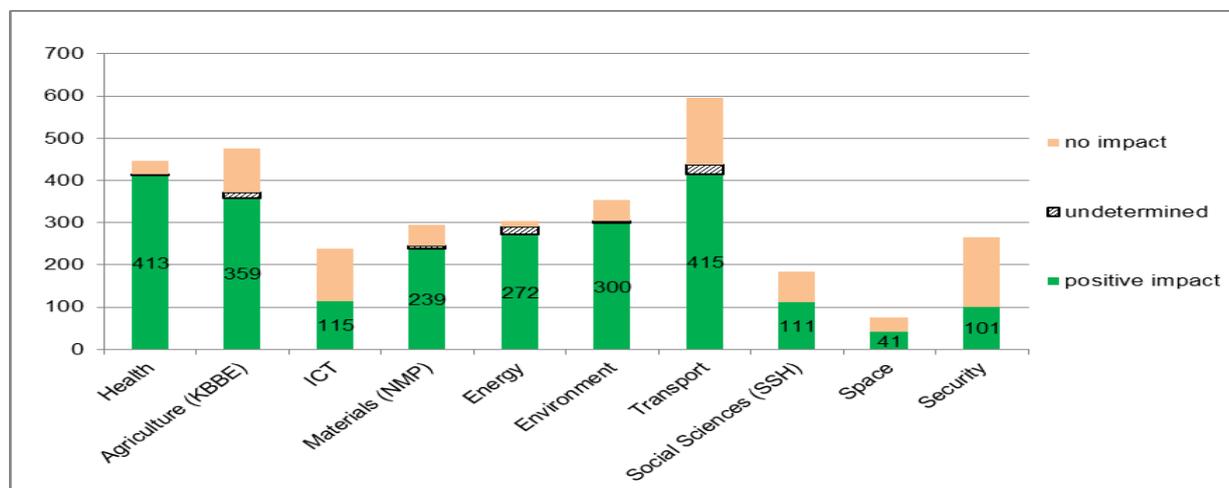
The database of FP7-4-SD contains data on 3,234 topics, drawn from the analysis of the Work Programmes of the Cooperation Specific Programme published between 2007 and 2013, and on 4,613 research projects with 53,065 project participations and a total EC contribution of € 16.6 billion (Work Programmes of the Cooperation Specific Programme, 2007 to 2012).

3.7.3 Achievements regarding FP7 contribution to sustainable development

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

About 68% of the topics (289 out of 423) in the 2013 Cooperation Work Programmes are deemed to have a positive impact on one or several objectives of the Renewed EU Sustainable Development Strategy. Since 2007, in total, 73% of the topics (2,366 topics out of 3,234) in the Cooperation Specific Programme are deemed to have a positive impact on at least one of the operational objectives of the EU Sustainable Development Strategy (EU SDS). One can see in Figure 32 that all (10) Themes of the Cooperation Specific Programme contribute to this effort. In absolute numbers, the "Transport" Theme includes the largest number of topics with positive expected impacts on EU SDS objectives (415 topics), followed by the Themes "Health" (413 topics) and "Agriculture" (359 topics). It should be noted, that it is a screening process which only takes into account the themes without their financial allocations.

Figure 32: Number of topics contributing to EU SDS objectives in the Cooperation WPs 2007-2013



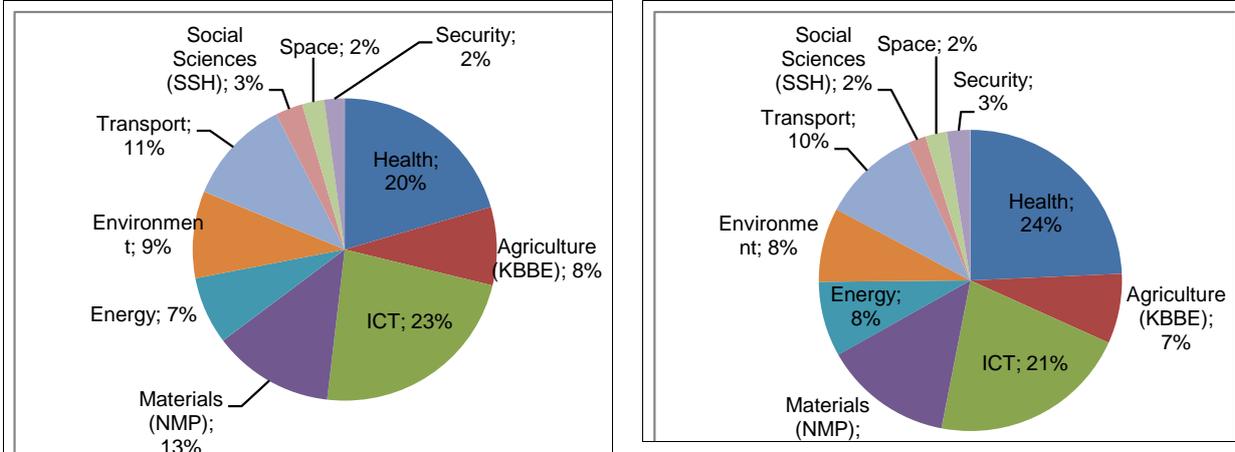
¹⁶ The project is coordinated by the Vienna University of Economics and Business (WU Vienna). The screening is conducted by a group of experienced researchers and experts from the WU Vienna and the Technical University Delft (TU Delft). In order to ensure a high quality of results and to discuss specific arising issues, around 10% of the topics are additionally validated by thematic experts from Ecologic Institute, INFRAS Research & Consulting and ISI Fraunhofer.

¹⁷ The methodology is described at <https://www.fp7-4-sd.eu/index.php?request=public:page:default&page=about>

¹⁸ This does not capture the contribution of the JTIs.

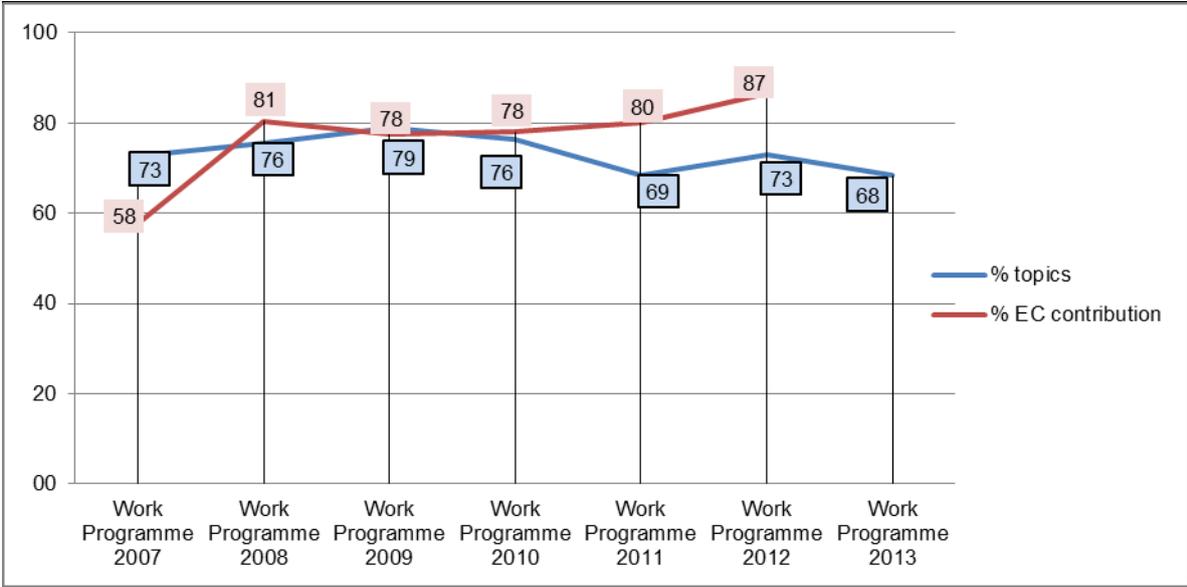
In terms of projects and budget, 69% of the projects funded under the Cooperation Specific Programme in the five first years of FP7 implementation (2007-2012), are deemed to have a positive impact on one or several objectives of the Renewed EU Sustainable Development Strategy, as illustrated in figure 33. This amounts to € 12.4 billion, i.e. 75% of the total EU-funded cooperative research.

Figure 33: Share of projects and of EC contribution to project cost contributing to at least one of the 78 EU SDS operational objectives in the Cooperation Work Programmes 2007-2012



From a longitudinal perspective, and as Figure 34 illustrates, the share of the EC contribution to projects with expected impacts on EU SDS objectives over the Work Programmes 2007 and 2012 has significantly increased, shifting from 60% to more than 85%. In contrast, the share of topics with positive impacts on EU SDS objectives has declined from 80% in 2007 to 72 % in 2013.

Figure 34: Share of topics (in %) contributing to EU SDS objectives in the Work programmes 2007 to 2013 and share of EC contribution to projects (in %) contributing to EU SDS objectives in the Work programmes 2007 to 2012



4 FP7 IMPLEMENTATION IN 2012 – SPECIAL FOCUS

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

4.1 European Research Council

The European Research Council (ERC) marks a new approach to investing in frontier research in Europe. Funded through the European Community's Seventh Framework Programme (FP7) as the implementation of the 'Ideas' Specific Programme (€ 7,51 billion over the period 2007-2013), the ERC aims at reinforcing excellence, dynamism and creativity in European research by funding investigator-driven projects of the highest quality at the frontiers of knowledge.¹⁹

The EU-funded research under this programme responds to the need to increase the attractiveness of Europe, both for the best researchers worldwide and for industrial research investment. In addition, the programme aims to strengthen the EU's capacity to generate new knowledge that will feed back into the economy and society.

Two grant schemes form the core of the ERC activities from its beginning: Starting Grants (StG) support researchers at the early stage of their careers, with the aim of providing working conditions that enable them to become independent research leaders, while Advanced Grants (AdG) are designed to support outstanding and established research leaders by providing the resources necessary to enable them to continue the work of their teams in expanding the frontiers of scientific knowledge.

In 2011 a new funding option was launched, the Proof of Concept, offering to ERC grant holders the possibility to establish the innovation potential of ideas stemming from their existing ERC grants. It is offered as additional top-up funding to bridge the gap between ERC research and marketable innovation worth up to 150.000 €.

An additional funding instrument was introduced in 2012, the ERC Synergy, aimed at groups of 2-4 exceptional researchers combining their expertise, knowledge and resources to make scientific breakthroughs that would not be possible for any of them working alone.

These funding schemes are in line with the aims of the Europe 2020 strategy designed to deliver smart, sustainable and inclusive growth through the strengthening of every link in the innovation chain, from 'blue sky' research to commercialization.

4.1.1 The ERC Scientific Council

The Scientific Council is comprised of 22 distinguished scientists, engineers and scholars, representatives of the European scientific community at the highest level, acting in their personal capacity, independently of political or other interests²⁰. They hold the responsibility of establishing the ERC's overall strategy by defining a clear and stable vision for ERC activities based on the fundamental principle of supporting the best researchers in any field of research on the sole criterion of excellence.

With the December 2012 appointment by the European Commission, one third of the Scientific Council members are being replaced. As part of the second-stage renewal of the

¹⁹ Commission Decision No 134/2007/EC of 2 February 2007 establishing the European Research Council. OJ L 57, p.14.

²⁰ The founding members were selected on the basis of the criteria set out in Commission Decision 2007/134/EC. OJ L 57, 24.2.2007, p. 14.

Scientific Council, eight new members of the Scientific Council took their positions in early 2013 arriving at a crucial time to ensure the transition to Horizon 2020.

Also in December 2012, the European Commission appointed seven experts to conduct the search for the next president of the ERC who will take up take up duties on 1 January 2014, as successor to the current president, Helga Nowotny. The new president's post will be merged with the ERC secretary general function with new ERC president becoming the voice and public face of the ERC.

4.1.2 The ERC Executive Agency (ERCEA)

The European Research Council Executive Agency (ERCEA) was set up by the Commission for the management of the Ideas specific programme. It is an autonomous Executive Agency that handles the operational management of the ERC according to the strategic principles established by its Scientific Council. It is in charge of day-to-day grant administration, call coordination, managing peer review evaluation, communication activities and supporting the ERC's Scientific Council's strategic thinking.

2012 was the third full year of ERCEA operations, during which it has continuously proved to be an efficient, effective and cost-effective tool for the management of the Ideas specific programme. It has also earned an enhanced recognition as a world-class research funding agency for the quality of its operations, while keeping its administrative expenditures at below 3% of the operational ones (2,35% in 2012).

In order for the Agency to deliver on its key objectives the ERCEA management has put continued emphasis on managing business processes efficiently and effectively to meet performance targets related to the execution of the annual operational budget of the "Ideas" Work Programme, which increased by 18% in 2012.

In this view, a Simplification Working Group (SWG) was set up in March 2012, composed of representatives of all Agency units, and entrusted with the objective of streamlining procedures to achieve a higher efficiency, effectiveness and economy of ERCEA operations.

In addition, the Scientific Management Department underwent an important reorganisation in 2012 which will allow the ERCEA to adjust to an amount of work unforeseen when it was created in 2009. The new structure has the advantages of offering a more efficient coordination at call and panel level and a better match between the expertise of the scientific officers employed and the research areas of the evaluation panels.

At the end of December 2012, the agency employed a total of 380 agents: 96 temporary agents, 275 contract agents and 9 seconded national experts (35% men and 65% women; nationals from 26 EU Member States).

4.1.3 ERC in 2012

The ERC schemes have been well received by the research community. Since its start in 2007 the ERC has completed ten calls for proposals for the Starting and Advanced Grant schemes. The competitions yielded a total of over 33.000 proposals: more than 3.400 have been selected for funding through a rigorous peer review process. By the end of 2012 over 3.100 frontier-research projects were up and running in more than 500 prestigious research institutions in Europe.

In response to the 2012 Starting grant and Advanced grant calls, the ERC received a total of 7.045 proposals (representing an 11% increase compared to 2011) with 881 new granted awards.

In response to all 2012 calls together (adding POC and Synergy schemes), the ERC received 7.899 applications (a significant 24% increase compared to 2011) and awarded

952 grants to individual investigators hosted by public and private institutions throughout the EU and associated countries, for a total budget of just over €1,5 billion.

ERC Starting Grants -the 2012 ERC Starting Grant call was published in July 2011 with an indicative budget of €730 million (representing a 10% increase compared to 2011). In total, 4.741 proposals were received, distributed by domain as follows: 2.058 proposals in Physical Sciences and Engineering (43%), 1.653 in Life Sciences (35 %) and 1.030 (22 %) in Social Sciences and Humanities. A total of 566 proposals were selected for funding. More than €790 million was awarded with an overall average grant size of around €1,4 million.

ERC Advanced Grants - the 2012 ERC Advanced Grant call was published in November 2011 with an indicative budget of €680 million. A total of 2.304 proposals were received, distributed by domain as follows: 978 proposals in Physical Sciences and Engineering (42%), 773 in Life Sciences (34%) and 553 in Social Sciences and Humanities (24%). The evaluation process resulted in a total of 313 proposals being retained for funding for a total of about €720 million and an overall average grant size of around €2,3 million.

ERC Proof of Concept - in the first call for the Proof of Concept (PoC) scheme in 2011, a total of 51 grants were awarded, of which the final 22, selected at the end of 2011, were announced in February 2012 (the first 29 grants were announced in October 2011). In 2012, a further 33 PoC grants were awarded, bringing the total number of PoCs selected for grants by the end of 2012 to 111.

Synergy Grants - the first call for Synergy Grants attracted 710 applications, which were assessed following an evaluation procedure specifically designed for this purpose. In an extremely competitive call, 11 projects were finally selected in December 2012 to receive funding for up to 6 years. The average Synergy Grant selected for funding is worth €11,5 million and the total budget allocated in 2012 was €126 million. As each Synergy Grant project involves between two and four Principal Investigators, 38 outstanding researchers are being supported through these 11 grants. The high number of proposals received attests to a very substantial interest from the scientific community for this new type of grant.

Distribution of ERC grants. ERC competitions are open to any researcher anywhere in the world who wants to conduct research in an EU Member State or FP7 associated country. The ERC list of grantees to date (after the completed ERC calls of 2007–2012) displays 58 different nationalities and more than 500 prestigious research institutions from 29 EU Member States and FP7 Associated Countries. One third of the host research organisations have at least five ERC grantees.

The majority of the ERC grantees are hosted by institutions located in the EU (87%), and 13% have a host institution in an FP7 associated country. With 765 grants awarded, the UK is a leading country in ERC grants as a country of host institutions, followed by Germany (476) and France (462).

Table 19: Top 10 host institutions

| Host Institution | County | Total Grants |
|---|--------|--------------|
| National Centre for Scientific Research (CNRS) | FR | 177 |
| University of Cambridge | UK | 95 |
| Max Planck Society | DE | 92 |
| University of Oxford | UK | 89 |
| University College London | UK | 69 |
| Swiss Federal Institute of Technology Lausanne | CH | 68 |
| Swiss Federal Institute of Technology Zurich (ETH Zurich) | CH | 63 |
| Hebrew University of Jerusalem | IL | 57 |
| Weizmann Institute | IL | 52 |
| Imperial College | UK | 51 |

As a result of the 2012 calls, Slovakia, Latvia, and Croatia host their first ERC grant, Slovenia its second and Estonia its third. Young researchers based in Turkey won two new Starting grants.

ERC Calls Evaluation

In 2012, the ERC had 5.912 experts, almost 700 panel members and more than 5.000 external reviewers, participating in the evaluation of proposals, divided as usual into 3 scientific domains (Social Sciences and Humanities, Life Sciences, Physical sciences and Engineering) and further, into 25 research topic specific panels.

In addition to the panel review, Starting Grant proposals were assessed on average by 2,3 remote referees, Advanced Grant proposals by an average of 2,8 and Synergy Grant proposals by an average of 6, hence guaranteeing the quality of the ERC evaluation process.

Management performance indicators

Table 20: ERC Management performance indicators

| Management Performance indicators | Target | YEAR | |
|--|--------|------|------|
| | | 2012 | 2011 |
| 1. Time to grant - from call closure (in 50% of cases) | | | |
| Starting grants | 365 | 351 | 347 |
| Advanced grants | 365 | NA | 379 |
| 2. Time to grant - from invitation date (in 50% of cases) | | | |
| Starting grants | 105 | 107 | 102 |
| Advanced grants | 105 | NA | 129 |
| 3. Time to pay - grants (average number of days) - 1.903 payments | | | |
| Pre-financing | 45 | 10 | 10 |
| Interim payments | 105 | 14 | 13,6 |
| Final payments (17 payments in 2012) | 105 | 34,6 | NA |
| 4. Time to pay – experts (average nb days) | | | |
| | 45 | 15,4 | 21,9 |
| 5. Scientific follow-up (average nb days) | | | |
| Starting grants (238 reports in 2012) | 60 | 22 | NA |
| Advanced grants (182 reports in 2012) | 60 | 19 | NA |

Time to pay grants figures show that 100 % of the payments were executed on time, compared to the contractual time limits defined in the ERC Grant Agreements (i.e. 45 days for pre-financing and 105 days for interim and final payments).

Time to pay – experts figures mark a remarkable decrease in the 2012 time to pay experts (from an average of 21,9 days in 2011 to 15,4 days in 2012) which is due to a reallocation of resources within the expert management team; this new organisation avoids bottle necks in the process of initiation, verification and authorisation of payments.

The percentage of scientific reports assessed within the 60-day legal limit was 97% for StG and 100% for AdG in line with the AWP 2012 targets of 95% for both Calls. The reports were assessed by ERCEA scientific officers. External reviews were performed for the first time, and only in exceptional cases (2 StG projects and 1 AdG).

Redress

The total number of redress cases decreased from to 204 (- 14 %), despite the fact that in 2012 the total number of grant proposals received significantly increased (by 21% from 6.515 in 2011 to 7.899 in 2012). This number indicates a positive trend of redress cases due to the continuous improvement of working methods and compliance with procedures. As a result, the number of redress cases leading to a re-evaluation dropped from 30 in 2011 to 1 in 2012, the outcome of the latter not being successful for the Principal Investigator.

Table 21: ERC Redress statistics in 2012

| | |
|---|---------------|
| Total number of grant proposals received (eligible and non-eligible) | 7.899 |
| Number of redress requests received | 204 |
| Redress requests % of the proposals received | 2,58% |
| Number of redress requests treated | 204 |
| Number of redress requests pending | 5 |
| Number of redress cases which led to re-evaluation | 1 |
| Redress cases which led to re-evaluation (% of proposals received) | 0,012% |
| Number of re-evaluations leading to funding | 0 |
| Number of re-evaluations pending | 0 |

Ethics

Screening and ethics reviews of retained proposals aiming to ensure compliance with ethical principles and relevant legislation were carried out without significant issues: only three proposals (StG11 and AdG11) involving research on Human Embryonic Stem Cells were cleared following ethics reviews and regulatory comitology executed by DG RTD. Another three proposals (StG12) involving research on Human Embryonic Stem Cells underwent Ethics Reviews by DG RTD and their dossiers are being prepared for comitology.

As regards the monitoring of ethics aspects in running grants, the internal control system has been reinforced by a procedure which was drafted, adopted and is implemented in collaboration with the scientific and granting departments. At present, 757 projects are listed as requiring ethics monitoring during their life-time and 232 Ethics Monitoring Clearance Notes were produced in 2012.

Dissemination

The ERCEA has increased its efforts to further the visibility of ERC calls and raise awareness of the ERC's various funding opportunities both in the EU and overseas, implementing the ERC 2012 external communication strategy.

- New ERC calls were widely published, via the website, news alerts, and through coordinated efforts with DG Research and Innovation, on the occasion of the campaign launched for new FP7 calls in July 2012.
- New developments and initiatives concerning the ERC were widely and regularly communicated to the various stakeholders via the ERC's quarterly e-newsletter « Ideas », the latter counting more than 16.000 subscribers in 2012.
- To raise worldwide awareness on existing funding instruments, the ERCEA ensured the ERC's presence in more than 20 major international research conferences and exhibitions as well as career fairs and workshops.
- During the course of the year, special efforts were deployed in countries performing less well in ERC calls as part of "widening participation" activities, namely at the Scientific Council plenary sessions in Bulgaria and Cyprus.
- To attract applicants from outside Europe, an international awareness-raising campaign, 'ERC goes Global', led by the Secretary General Donald Dingwell, was launched in 2012 and run in nine countries (namely Canada, South Africa, Brazil, Chile, Japan, Taiwan, South Korea, Hong Kong and Russia).
- To highlight the scientific impact of ERC projects, a growing number of features on ERC projects and their results - over 40 - were published on the ERC website, on media (including for the first time the Euronews "Futuris" magazine) and via social networks (ERC newly created Twitter and Facebook profiles).
- Finally, two meetings with the ERC National Contact Points (NCPs) were held on the Agency's premises with the aim to updating them about ERC calls and changes to the calls.

Concerning communication tools, the ERC website's new functionalities were created to offer visitors quick access to basic statistics on ERC calls and projects, as well as a searchable database for all ERC-funded projects. A world map was developed to reflect the newly appointed overseas NCPs nominated after visits of the ERC Secretary General. The website was consulted during 2012 by a total of 396.621 unique visitors for a total of 768.380 visits.

4.1.4 Achievements and future goals

This curiosity-driven, competitive approach in research promoted by the ERC has allowed the 'Ideas' programme to fund a broad project portfolio, including projects which address current grand challenges as well as fundamental questions.

A glance at the list of ERC grant holders who received international scientific prizes and awards in 2012 provides a good example of what ERC funding schemes have achieved. As of 2012, 76 ERC grantees have received prestigious international scientific prizes and awards. Also noteworthy is the fact that the ERC already counts among its grantees 5 Nobel Prize winners - including the 2012 Nobel Prize in Physics, Serge Haroche - and 3 Fields Medalists.

ERC funded projects are highly productive and ERC funded research is largely present in high impact journals. By end of 2012 ERCEA has collected more than 7.900 peer-reviewed journal articles acknowledging ERC funding from Thomson Reuters' Web of Knowledge. A trend analysis of the number of scientific publications acknowledging ERC funding shows that the ERC will not only meet but will exceed its target (~40-60.000) by 2020.

By promoting such research excellence, the ERC has a fundamental role in reinforcing and making more coherent the whole system of research and innovation. Its ambition is to continue to lay the foundations of solutions for the future, and tackle unpredictable challenges that European society may face by supporting research excellence at the frontier of knowledge. It will further make fundamental contributions to the transformation of Europe into a world-leading knowledge area.

4.2 The Research Executive Agency (REA)

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

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

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

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

Regarding the governance of the agency, the REA has a separate legal identity and has been autonomous from the Commission since 15 June 2009, but its operations are

supervised by a Steering Committee of five senior Commission officials from its parent DGs (Research and Innovation, Enterprise and Industry, Education and Culture) and DG Human Resources and Security.

4.2.1 Programme management in the REA in 2012

During 2012, the Agency capitalised on the investments made in the first three years of its operations and fine-tuned its internal procedures. The REA further improved its performance in almost all areas, which enabled it to deal with a significant budget increase with a less than proportional increase in staff.

The following table shows the REA's performance with respect to one of its Key Performance Indicators (KPI) – Time-to-Grant (TTG).

Table 22: Time-To-Grant (TTG) 2010-2012 (measured in days from call closure to signature of grants accounting for 75% of the call budget)

| Action | 2010 | | 2011 | | 2012 | |
|----------------------|---------------|------------|-----------------|------------|-----------------|------------|
| | Budget | Days 75% | Budget | Days 75% | Budget | Days 75% |
| PEOPLE ²¹ | 559,25 | 377 | 825,70 | 344 | 245,77 | 308* |
| SMEs | 146,18 | 382 | 218,95 | 361 | 227,54 | 378* |
| Space & Security | 236,33 | 483 | 274,56 | 408 | 966,45 | 443* |
| Total | 941,76 | 405 | 1.319,21 | 360 | 1.439,75 | 341 |

* At the time of preparing this report the implementation of some 2012 calls has not yet reached the monitoring 75% threshold and the average length of days is based on the latest available estimates.

For almost all calls considerable improvements can be noted compared to previous calls. For some calls – i.e. SMEs, Space and Security– the temporary non-availability of payment appropriations in the last quarter of 2012 somewhat prolonged the TTG.

With respect to TTP, the REA maintained its favourable performance of the previous years or slightly improved it – most considerably in processing interim/final payments. This is shown in the following table.

Table 23: Time-To-Pay (TTP) 2010-2012 – share of payments made within contractually defined deadlines

| Time to pay | 2010 | 2011 | 2012 |
|------------------|------|------|------|
| Pre-financing | 97% | 98% | 98% |
| Interim payments | 84% | 82% | 90% |
| Final payments | 97% | 100% | 98% |

The following table provides an overview of the calls launched under the Work Programme 2012, the budget allocated and the success rates.

Table 24: Overview – calls launched, budget and proposals success rates for the calls 2012

| Action | Number of calls | Total budget | Number of proposals | | | Success rate |
|------------------|-----------------|----------------|---------------------|--------------|--------------|--------------|
| | | | Evaluated | Retained | Main list | |
| People | 10 | 966,45 | 9.347 | 7.137 | 1.726 | 18% |
| SMEs | 3 | 245,77 | 986 | 370 | 195 | 20% |
| Space & Security | 2 | 227,54 | 513 | 307 | 105 | 20% |
| Total | 15 | 1439,76 | 10.846 | 7.814 | 2.026 | 19% |

²¹ The statistics refers to calls implemented by the REA and excluding calls with a policy dimension implemented by the Commission.

During 2012, the REA managed calls of a total value of € 1.439,76 million. The success rate was somewhat varying from call to call, while the average success rate amounted to 19%. For these calls 10.846 funding requests were submitted and of these, 2.026 proposals were retained for funding on the basis of assessments made by independent external experts and the budget available. In total, 1.694 FP7 projects were closed in 2012 and 2.180 new projects started. At the end of 2012 the Agency managed an increasing portfolio of around 7.694 running projects (around one third of all FP7 projects).

Redress

Applicants wishing to contest the unfavourable outcome of the evaluation may submit their request to internal redress panels, composed of REA and Commission staff not directly involved in the particular evaluation process. The overview of redress cases handled and the outcome of assessments for the calls 2010-2012 are presented in the following table.

Table 25: Redress cases for the calls 2010 - 2012

| Action | 2010 | | 2011 | | 2012 | |
|------------------|------------|-----------|------------|-----------|------------|-----------|
| | Filled | Upheld | Filled | Upheld | Filled | Upheld |
| PEOPLE | 248 | 57 | 244 | 73 | 232 | 11* |
| SMEs | 13 | 0 | 34 | 2 | 27 | 2 |
| Space & Security | 12 | 0 | 16 | 0 | 19 | 4 |
| Total | 273 | 57 | 294 | 75 | 278 | 17 |

**please note that for some of 2012 calls the redress process is still on-going*

Similar to previous years, some cases upheld and submitted for re-evaluation in 2012 concerned the qualification of expert evaluators and/or mistakes in the evaluation summary reports. The risk of assigning insufficiently qualified experts cannot be fully ruled out (especially in bottom-up programmes which cover a wide range of scientific domains), nevertheless the frequency of re-evaluations resulting from this aspect remains relatively low compared to the number of proposals evaluated. In 2012 two projects that underwent re-evaluation were retained for funding.

FP7 Support Services

A selection of key performance indicators and key figures to illustrate the scale of the tasks undertaken by the REA throughout 2012 in support of the whole of the People, Capacities and Cooperation programmes is presented below:

- The EPSS (Electronic Proposal Submission System) tool was set up on time for online submission of 89 FP7 calls (including for 6 Joint Technology Initiative calls);
- The validation services validated 6,616 legal entities participating in research projects. All validation requests necessary for the execution of the 2012 budget commitments of the research DGs and the REA were done in good time to allow the grant agreements to be signed on time;
- The Research Enquiry Service responded to 5,871 queries, relating to calls for proposals, legal and financial matters, Horizon 2020 and other inquiries of general interest;
- Out of a total of 4,218 payments made to expert evaluators, 96% of payments were made within the new target of 30 days set by the Commission in April 2009 (for the share of payments made within contractually defined deadlines please see table 23).

4.2.2 Overall appreciation

The REA was legally created in late 2007 and started operations in June 2009. It manages a variety of programmes and tasks: the bottom-up support schemes for researcher mobility and SMEs as well as the classical top-down Cooperation themes for Space and Security Research, plus the FP7 Support Services for all Commission services managing

FP7 and JTIs, such as participant validation. The REA manages all these different tasks to the satisfaction of the grant beneficiaries and the Commission services involved. It has improved considerably the performance for TTG and TTP and the quality of the support services compared to the beginning of FP7.

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

4.3 Marie Curie Actions

4.3.1 General overview

Marie Curie Actions (MCA) are designed to boost researchers' careers in all fields of science and humanities. Under FP7, MCA are regrouped in the Specific Programme "People" with a budget of €4,75 billion (~9% of the total FP7 budget). The policy aspects related to the programme are under the responsibility of the Directorate-General for Education and Culture. The implementation of the People Programme is ensured by the Research Executive Agency (REA). Details related to the implementation of calls are described in section 4.2.1 of this report.

MCA offer a full range of crucial opportunities for researchers at all levels of their career, from PhD candidates to the highly experienced researchers, both in the public and private sectors. By building international links and networks between universities, research institutes and companies, the MCA make Europe an attractive location for the science of tomorrow as well as today.

MCA are bottom-up, i.e. research projects can be funded in all research topics, freely chosen by applicants. The programme finances numerous interdisciplinary, international and inter-sector projects addressing the entire chain of research and innovation, covering also major societal challenges.

4.3.2 Focusing on researchers' careers

In 2012, nearly 11.000 new Marie Curie fellowships have been awarded. Since 2007, the programme has supported more than 44.000 researchers, upgrading and diversify their skills, both research-related and transferable, including entrepreneurship, intellectual property, research management, patenting, leadership skills, communication and outreach, etc.

MCA stand for excellence in research career development. According to the FP7 MCA Interim Evaluation (PPMI, 2013), all Marie Curie fellows were very satisfied with the training and career opportunities received. 92% of the Initial Training Networks fellows assess the Marie Curie impact on their career prospects as "very good" or "good". 79% of the supported researchers were employed after the end of their fellowship.

MCA are a fundamental tool to turn the European Research Area into reality. MCA are instrumental to build and strengthen international cooperation and networking among different research fields and sectors. 83% of the MCA beneficiaries agree that the programme provides attractive international mobility opportunities for researchers in their organisations and opportunities to attract researchers to their organisation from abroad. Researchers supported so far by MCA represent 130 different nationalities and work in more than 75 countries. 81% of the MCA beneficiaries agree that the programme has helped create new collaboration with academic organisations or business enterprises (FP7 MCA Interim Evaluation).

Enhancing cooperation between universities and industry in terms of knowledge sharing, training and broad skills development is a key element of MCA. 24% of organisations hosting MCA-supported researchers are from the private sector. SMEs play a major role in this context. Business participation is particularly encouraged in Initial Training Networks

(ITN) and Industry-Academia Partnerships and Pathways (IAPP), both schemes constituting 50% of the People Programme's budget.

Researchers at the very beginning of their careers, including doctoral candidates, are one of the main target groups of MCA. Over the lifetime of FP7, the programme should provide structured doctoral training to more than 10,000 new PhD candidates in Europe. They benefit from excellent research and transferable skills training, preparing them for the jobs of the future. To further strengthen this dimension of the programme, two new initiatives have been proposed under the 2012 Work Programme: European Industrial Doctorates (EID) and Innovative Doctoral Programmes. They aim at improving the relevance of training for doctoral researchers by strongly involving businesses and by providing a meaningful exposure of young researchers to future employers, thereby enhancing career prospects and employability. The first of 20 selected EID projects are now underway and will bring researchers over to the industrial sector for at least 50% of the duration of their PhD and will equip them with the best cutting-edge skills.

MCA are seen as best practice in setting professional standards for researchers. MCA foster open recruitment procedures, equal opportunities and offer attractive employment and working conditions for researchers in line with principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (Charter and Code). The programme offers opportunities for researchers to resume their career after a break. It engages strongly in promoting gender equality in research. All MCA projects have a dedicated family allowance for researchers with family obligations. Till December 2012, 36,5% of researchers supported via the MCA were women.

The Marie Curie co-funding of regional, national and international programmes (COFUND) aligns national and regional resources to the principle of the Charter and Code and influences national and regional fellowship programmes' design by promoting a systematic openness for transnational mobility.

The FP7 People Programme also finances an initiative for public engagement with science. The Researchers' Night is a Europe-wide event, which brings together the public at large and researchers every year on the fourth Friday of September. Created in 2005 and repeated every year since, the Researchers' Nights have in total gathered more than 2,5 million people and reached several millions through the awareness campaigns all over Europe. In 2012, a total of € 4 million has been awarded to Researchers' Night events occurring simultaneously in more than 350 cities across Europe.

4.3.3 Key challenges in Horizon 2020

In Horizon 2020, the Marie Curie Actions will be re-named to Marie Skłodowska-Curie Actions (MSCA). They will continue to support human resources development in research and innovation. They will offer excellent career development opportunities in academic and non-academic sectors for high potential individuals in Europe. Mobility across boundaries of disciplines, sectors and countries will be based on research excellence and combined with training on entrepreneurial skills to maximise employability and innovation.

Attention will be paid to industry-academia secondments and to doctoral training that provides adequate competences for the evolving needs of both public and private employers. To further promote quality and transparent doctoral training, MSCA will also support joint doctorates and co-funding of doctoral programmes to increase the leverage effect on regional, national and international funding programmes, thus bringing structural change to the way doctoral candidates are trained in Europe. By co-funding fellowship programmes, Marie Skłodowska-Curie Actions will stimulate regional, national and international research funders such as ministries or funding agencies to foster excellence in researchers' training, mobility and career development.

4.4 EURATOM

In December 2011, the Council of the EU adopted the Euratom Framework Programme for Nuclear Research 2012-2013²². This decision not only aligned the duration of the Euratom Programme with the EU's financial perspective, it contributed to the implementation of the Innovation Union strategy by enhancing the safety of nuclear fission and of other uses of radiation in industry and medicine.

4.4.1 Nuclear fission and radiation protection

Fission research initiatives seek to boost investment in research, joint programming (between Member states and associated countries), international cooperation, dissemination of results and transparency. It contributes not only to Europe's energy challenge but also to health through radiation protection and use of lower dose radiation and safety which has become a particularly pressing issue following the Fukushima incident of 2011. The activity also promotes excellent science, industrial leadership and the tackling of the societal challenges.

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

An on-going interdisciplinary study on "Benefits and limitations of nuclear fission for a low carbon economy" involved, amongst others, experts from the field of energy, economics and social science. The study will contribute to a 2013 symposium co-organised by the Commission and the European Economic and Social Committee at which a broad spectrum of stakeholders will be able to contribute to the debate. Results of the symposium will then be used as input for the discussions on Horizon 2020 at preparatory meetings of the Council of the EU.

In 2012 a negotiated procedure was concluded to purchase, for Euratom partners, access rights to 2% of the functioning time of the Jules Horowitz Reactor (RJH) being built by the Commissariat à l'Énergie Atomique (CEA) in Cadarache, France. The same year also saw the successful conclusion of negotiations on NUSHARE, an education and training initiative, with the aim to share and foster, across EU Member States, a culture of nuclear safety in different nuclear installations, including nuclear power plants.

Through this activity, research on the safe disposal of nuclear waste is also supported. Municipal staff and interest groups (research institutes, NGOs, government regulatory and waste management agencies, etc.) discussed radioactive waste management at a seminar held in Barcelona in March as part of the InSOTEC project. Their views on the socio-technical challenges associated with high-level radioactive waste management will be reported to the implementing geological disposal technology platform (IGD-TP).

The Sustainable Nuclear Energy Technology Platform (SNETP) presented an updated version of the sector's Strategic Research & Innovation Agenda (SRIA). This was the first time that the Agenda was being updated to reflect the changes in nuclear research in Europe since its publication in 2009. Industry, research institutions, academia and safety organisations participated in determining the priorities for the future of nuclear fission reactors and the resulting SRIA was made available for public consultation.

Results show that the implementation of the nuclear fission and radiation protection research activities supported by Euratom is on track with targets having been achieved or close to being achieved for most of the performance indicators. Uniquely for this activity, the share of the EU contribution provided to industry has stayed quite low (18.1% in

²² Council Decision concerning the Framework Programme of the European Atomic Energy Community for nuclear research and training activities (2012-2013).

2012) and is even lower for SMEs (5.6%). This is due to the fact that in Europe fission research is traditionally performed by a small number of large industrial entities and EU research by very large public research centres.

The PREPARE project, selected in 2012, aims at addressing gaps that have been identified in nuclear and radiological preparedness, addressing emergency management, rehabilitation strategies and expertise in Europe. This will be achieved through collaboration between industry and research and governmental organisations in Europe, taking into account the networking activities that have been carried out under the European Platform on Preparedness for Nuclear and Radiological Emergency Response and Recovery (NERIS-TP), a technology platform of 43 active member organisations.

The Central Design Team (CDT) project, which ended in 2012 and was coordinated by the Belgian Nuclear Research Centre SCK-CEN, supported the design of MYRRHA, a multi-purpose experimental facility with applications in the reactor and accelerator technology fields (<http://myrrha.sckcen.be/en>). It built upon the results of the FP6 IP-EUROTRANS to further improve nuclear safety together with a sustainable management of radioactive waste and geological storage. CDT involved EU R&D organisations and industries conducting strong research in the field for more than a decade. MYRRHA has been identified within the Strategic Research Agenda of the SNETP technology platform and included in the SET-Plan Nuclear Fission Industrial Initiative in 2010. MYRRHA is foreseen to fulfil the Lead-cooled Fast Reactor roadmap to master the heavy liquid metal technology. MYRRHA is a fast spectrum irradiation facility identified within the ESFRI high priority list and as such it will be used in support for Fuels, Materials and fundamental research for the generation of new expertise in various fields, allowing scientists to contribute to addressing key issues for our future world.

4.4.2 Fusion energy

The Euratom fusion research programme supports a range of scientific and technological activities that are paving the way for the industrial implementation of electricity production from magnetically-confined fusion plasmas. This is done through bilateral contracts with European research organisations, the multilateral European Fusion Development Agreement (EFDA), the cost-efficient implementation of the ITER project and initiatives to foster the involvement of industry.

A common fusion roadmap, with the goal of demonstrating electricity production from fusion around the middle of the century, has been established by EFDA members in 2012. This is an important landmark which will enable more effective cooperation in this cutting-edge field of research, contribute to the successful construction and exploitation of ITER, and prepare the next stage of electricity generation from a demonstration plant.

This activity remains a flagship of the European Research Area. In particular, the continuing joint exploitation of JET (Joint European Torus) as a Community research infrastructure, bringing together researchers from most if not all the national fusion labs in Europe, is now producing crucial new data for ITER. The initial operational campaigns of JET with the new "ITER Like Wall" (ILW) finished at the end of July 2012. New and significant results were obtained which have had implications for ITER operational scenarios and the choice of initial wall materials. In the next JET shutdown, which will last until spring 2013, samples of the ILW will be removed for detailed analysis.

The ITER project, for its part, contributes to the Europe 2020 strategy Innovation Union flagship initiative by increasing the competitiveness of European industry through the gain of new skills and manufacturing capabilities. During the course of 2012, the Joint Undertaking "Fusion For Energy" (F4E) has continued to deliver Europe's contribution to ITER. By the end of the year, F4E awarded contracts to the amount of €1.8 billion, representing around 40% of the procurements needed to fulfil the European contribution to ITER.

Major milestones have been achieved this year, such as the handover of the ITER headquarters to the ITER Organisation and the issuance by the French Republic of the Decree authorising the installation of the ITER nuclear facility in Cadarache, a result of substantial work on safety requirements. In addition, the "Poloidal Field Coils" building was

completed in February 2012 and the works for the Tokamak Pit were completed in April 2012.

The International Fusion Energy Research Centre petaflop super-computer (HELIOS) at Rokkasho, Japan, supplied by Europe as part of the Broader Approach agreement with Japan, entered into service on schedule in January 2012. It is now fully operational and being successfully utilised by the EU and Japanese fusion modelling community.

The cutting-edge plasma-wall experimental facility, MAGNUM-PSI, was inaugurated during spring 2012 at the DIFFER institute in the Netherlands.

A Commission Staff Working Document, which analyses the options for the future structure of the fusion programme in Europe, has been prepared (adoption is expected by the Commission during the second quarter of 2013). It draws heavily on stakeholder feedback including an extensive on-line survey aimed, in particular, at the national fusion labs. The document draws a number of conclusions on the options available in the short and longer terms and the preferred course of action during Horizon 2020.

4.5 Joint Technology Initiatives

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

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

The importance of European Public-Private Partnerships in research for the long-term sustainable development of the EU is recognised in the Commission's Communication on "Mobilising private and public investment for recovery and long-term structural change: developing Public Private Partnerships"²³.

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

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

²³ [COM \(2009\) 615, 19.11.2009.](#)

The five JTIs are:

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

4.5.1 Clean Sky Joint Undertaking

Clean Sky (CS)²⁴ is a public-private partnership whose aim is developing environmentally friendly technologies impacting all flying segments of commercial aviation with the goal of contributing to the ACARE targets for reduction of emissions and noise in Air Transport in Europe, thus contributing to improving the Air Transport system worldwide. CS shall spearhead the contribution of aviation in minimising the impact of anthropogenic activities on climate change, thus providing socio-economic benefits to European citizens and society and increase the competitiveness of the European aeronautical industry.

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

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

Main activities and achievements in 2012

2012 was the third full year of independent functioning of the Joint Undertaking. The CS JU achieved progress in both increasing its operational capacity and in running the Clean Sky operations.

Clean Sky maintained close links with the SESAR Joint Undertaking, which investigates air traffic management technologies in line with the Single European Sky initiative, with dedicated meetings at different levels.

²⁴ <http://www.cleansky.eu/>

A significant change occurred in 2012: a revised Development Plan was adopted by the Governing Board in March 2012. This document updates, once a year, the strategic targets of the JU: environmental forecasts, key technologies, demonstrators contents and schedule. As in the past years, Clean Sky maintained close links with the SESAR Joint Undertaking, which investigates air traffic management technologies in line with the Single European Sky initiative, with dedicated meetings at different levels (ITD, TE; JU).

At least 25 % of the EU funding to the CS JU must be allocated to Partners selected via Calls for Proposals. Topics are defined by each ITD. They serve the dual purpose of widening the participation to Clean Sky to other organisations and to identify R&D performers called in to participate in the mainstream activities of Clean Sky. Partners selected via Calls for Proposals are being funded in compliance with the upper funding limits set in the Rules of Participation of the 7th Framework Programme.

Activities to be carried out by Partners selected via CFPs are an essential part of the core R&D activities of Clean Sky and have to lock in with the activities carried out by CS JU members other than the European Community.

What is peculiar for Clean Sky Calls for Proposals is that the content of the activities is much more focused, i.e. they are topics and not research themes, with limited duration and specific targeted results expected (at higher Technology Readiness Levels). The topics are prepared by the Topic managers of the ITDs and checked by the Project Officers at the Clean Sky Joint Undertaking (JU).

A total of 158 topics were published in 2012. The average response is confirmed at 2.2 proposals per topic, i.e. more than 344 proposals in total for 158 topics. The success rate of topics on average is the same as in 2011 (79%), due either to no proposals being submitted or to the negative evaluation of proposals.

The JU has taken all available actions to improve participation, e.g. more accurate description of some topics, a still wider dissemination, and a dedicated, early communication with potential applicants for the most critical topics. Several Info Days were organised, with successful participation.

The number of non-eligible proposals increased from 12 in 2011 to 26 in 2012. However, in a few cases this is a consequence of the cancellation of the topic during the evaluation, and not of the actual ineligibility of the proposals themselves.

The monitoring of associates involvement in Calls has continued in 2012, with proper action to be taken at the JU level in 2013. The rebalance will take place at global level, between members and CFP budget.

Table 26: Aggregated information on calls launched and managed in 2012

| Call | SUBMITTED PROPOSALS | | | EVALUATION RESULTS | | | | |
|--------------|---------------------|---------------------|--------------------|--------------------|----------------------|-------------------|--------------|--------------------|
| | Reference | Proposals submitted | Proposals retained | Above threshold | Selected for funding | Number of redress | Reserve List | Topic success rate |
| 11 | 2012-01 | 159 | 142 | 96 | 54 | 5 | 42 | 85,51% |
| 12 | 2012-02 | 109 | 104 | 69 | 36 | 1 | 33 | 85,71% |
| 13 | 2012-03 | 76 | 71 | 49 | 30 | 1 | 19 | 63,83% |
| Total | | 344 | 317 | 214 | 120 | 7 | 94 | 79.11% |

During 2012 there were 102 Grant agreements signed associated to the previous Calls 2, 5, 6, 7, 8, 9, 10 and 11. The total value of the signed grants is € 66.299.833; the CS Joint Undertaking contribution is € 43.746.956.

Dissemination/communication

The communication activities are managed according to the Communication Strategy adopted by the Governing Board, and updated when necessary. The last update dates back to December 2011. On the basis of this strategy, identifying objectives, target audiences, messages and tools, an annual communication plan is being built.

The awareness of the European institutions about Clean Sky achievements is considered as a priority, with regard to both the satisfactory progress to the objectives and the wide participation. It has been noticed that the high level of SME participation in the programme, through the Calls for Proposals, was not recognized enough. Actions have been taken in this direction, for instance through appointments with MEPs.

Information Days were held in Madrid, Turin, and Brussels. An effort was also made to raise the interest of students in aeronautics, the environment and in Europe: Successful conferences took place in Amsterdam, Bristol, Paris and Berlin, with audiences of up to 150 students; this success was mainly due to the involvement of STAB members,

Clean Sky participated in the "Innovation Zone" at the Farnborough Air Show; the stand was visited in particular by Rt Hon David Willetts, the UK Minister for University and Science.

The "Skyline" newsletter was continued, with four issues per year, as well as producing frequent e-news. The website was improved; the technical information on each ITD in particular, was greatly revised and updated. In addition, the official information about the beneficiaries of grant agreements is periodically updated.

Looking forward - planned future actions, key challenges for Horizon 2020

Under H2020, it is proposed that a new programme in the form of a JTI (Clean Sky 2, CS2) will be implemented by a Joint Undertaking. It aims at achieving the defined objectives by addressing integrated technology demonstrations at large system level. The governance and programme structure aspects will be improved and modified.

4.5.2 Innovative Medicines Joint Undertaking (IMI)

The Innovative Medicines Initiative (IMI)²⁵ was set up in 2007 as a Joint Undertaking (JU) between the European Commission and the umbrella organisation of the European pharmaceutical industry EFPIA (European Federation of Pharmaceutical Industries and Associations) to implement the Joint Technology Initiative (JTI) in the area of pharmaceutical research; it became autonomous in November 2009. IMI aims to provide new methodologies and tools for accelerating the development of safer and more effective medicines for patients, by focusing research on developing and validating new techniques and methods.

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

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

Main activities and achievements in 2012

The year 2012 was a landmark for the Innovative Medicines Initiative. With the launch of 4 new Calls for Proposals (5, 6, 7 and 8), an Open Call (Enso Call) for a total IMI JU contribution of € 351.018.540 matched by the industry with an amount of € 322.910.064 and the kick-off of 13 new projects, IMI committed almost half of its available budget in a

²⁵ <http://www.imi.europa.eu/>

single year. This unprecedented effort resulted in the successful mobilization of the different stakeholders, as reflected by the high quality funding applications that IMI received, involving 487 industrial and academic teams.

Today, around 4.500 scientists collaborate under the IMI public-private partnership umbrella. They have a common mission, namely to facilitate and accelerate the development of better and safer medicines for the benefit of patients and society across Europe. The strong interest elicited all over the world by the IMI programme to tackle anti-microbial resistance and the creation of the IMI European Lead Factory demonstrates that IMI effectively contributes to restoring European leadership and competitiveness in the pharmaceutical sector.

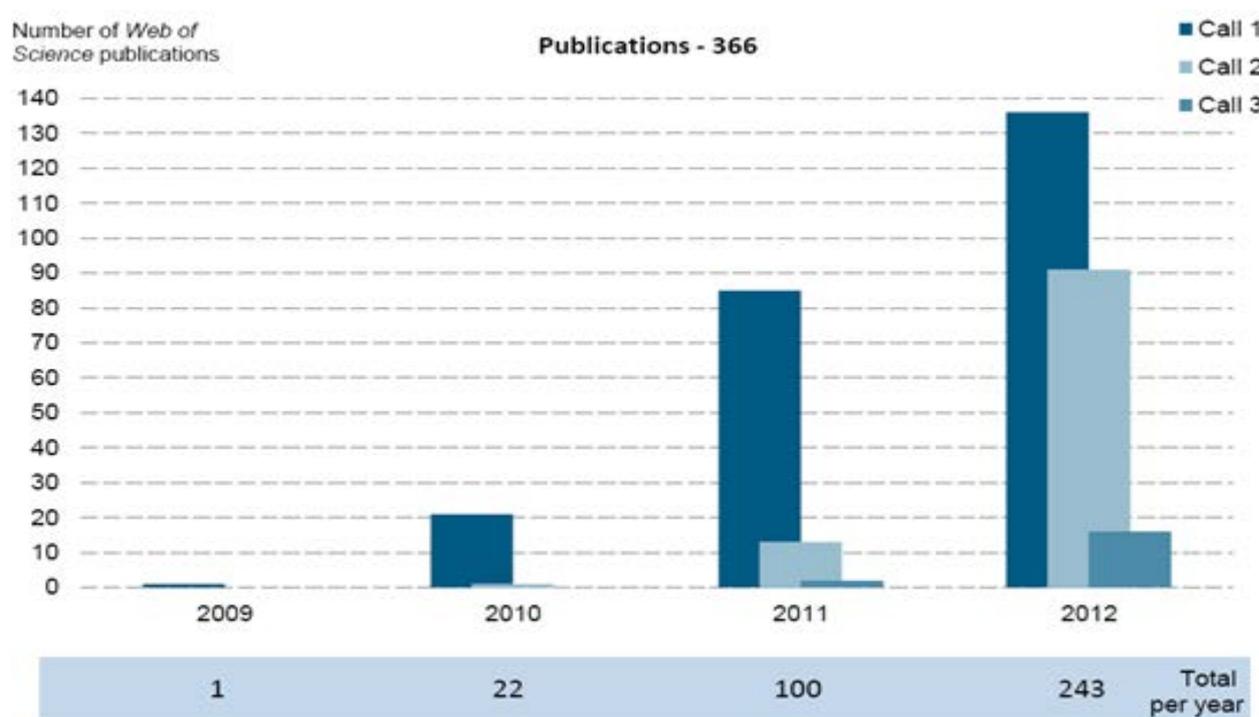
During 2012, IMI consortia developing new tools and methods to improve assessment of drug actions or implementing new education and training programmes reported striking results. While these first achievements are very encouraging, their effective translation into standards of care will require novel innovative approaches, taking advantage of the neutral platform represented by IMI. To help achieve this goal, IMI launched new projects in 2012 focusing on defining real effectiveness and risk/benefit evaluation of drugs and vaccines.

11 grant agreements were signed during the year 2012. The total value of signed grants is € 529.858.981; the IMI Joint Undertaking contribution is € 226.875.973.

Dissemination/communication

The bibliometric analysis of IMI projects was conducted with the assistance of a contractor and the first report was delivered in October 2012. By the end of 2012, a total of 366 publications resulting from IMI projects were identified.

Figure 35: Number of Web of Science publication



IMI project publications have been published in a total of 119 journals to date, 95 of which are ranked in the top quartile of journals (by Journal Impact Factor) in their specific research fields. 82.7% of IMI project publications have been published in these well-regarded journals, including Nature, JAMA, PNAS and Nature Genetics. The average citation impact for IMI project research is 1.55 for the 2-year period, 2010-2011, where the world average is 1.0. For comparison, the EU's average citation impact relative to the world baseline for the same 2-year period in similar research fields was 1.14.

In 2012, the IMI communication strategy and key messages focused on communicating the success of IMI. IMI has had high visibility through various events (17 in 2012), publications and other communication actions.

Looking forward - planned future actions, key challenges for Horizon 2020

Under H2020, it is proposed that a new programme in the form of a JTI (IMI2) will be implemented by a modernised Joint Undertaking, which expands the objectives and activities of the IMI JU in line with Horizon 2020 objectives; it broadens the current programme and improves its governance.

4.5.3 ARTEMIS (Embedded Computing Systems)

The ARTEMIS JU supports R&D activities through open and competitive calls for proposals published on a yearly basis, to attract the best European research ideas and capacities in the field of embedded computing systems. Selected projects are co-financed by the Joint Undertaking and the Member States that have joined ARTEMIS. The ARTEMIS JU implements significant parts of the ARTEMIS–ETP Strategic Research Agenda co-funded by industry, research organisations, Member States and the Commission's own ICT programme. ARTEMIS seeks to foster collaboration between all stakeholders such as industry, including small and medium-sized enterprises (SMEs), national or regional authorities, academic and research centres, pulling together and focusing the research effort.

The Commission, being a member of the Public Authorities and Governing Boards of ARTEMIS²⁶ and ENIAC²⁷, ensures an active follow-up of their activities. In May 2010, ENIAC was granted the operational capacity to implement its budget (this capacity is commonly referred to as 'autonomy'), as was the case in 2009 for ARTEMIS.

As foreseen by the ARTEMIS and ENIAC regulations, the Commission mandated a panel of independent experts to carry-out a first Interim Evaluation of ARTEMIS and ENIAC²⁸. In their report²⁹, the independent experts recognised that these industry-led tri-partite partnerships are major achievements and recommended that research and technological development in the field of embedded systems and nanoelectronics should continue to be co-ordinated at European level.

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

Main activities and achievements in 2012

A Multi-Annual Strategic Plans (MASP), with a connected Research Agenda, was approved in December 2011, based on the revised Strategic Research Agenda (SRA). It was further updated and adopted in 2012 to include the findings of the ARTEMIS-ITEA Sherpa group³⁰.

In 2012 ARTEMIS introduced the AIPPs to cover the full innovation chain from a proof of concept and prototyping stage right through to a solid industrial platform. The implementation will build on the results of the research of ARTEMIS-JU projects as clustered around axes in line with the societal challenges. AIPPs aims to achieve long-lasting and self-sustaining "eco-systems" of actors. One of the major characteristics of the new research approach promoted by the ARTEMIS JU is the promotion of cross-fertilization and re-use of technology results in different application domains.

²⁶ <http://www.artemis-ju.eu/>

²⁷ <http://www.eniac.eu>

²⁸ http://ec.europa.eu/dgs/information_society/evaluation/rtd/jti/

²⁹ http://ec.europa.eu/dgs/information_society/evaluation/rtd/jti/artemis_and_eniac_evaluation_report_final.pdf

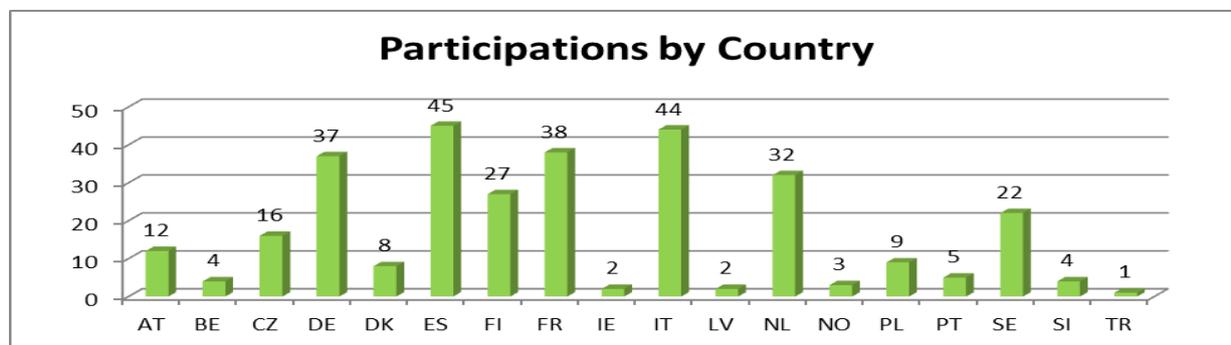
³⁰ ARTEMIS-ITEA Sherpa group is a high level strategy group that seats together ARTEMIS members and ITEA members, the purpose is to strengthen both instruments cooperation.

Call 2012 was published on 19 April 2012 with a one-step procedure with a deadline for submission of Full Project Proposals (FPP) of 6th September 2012.

Table 27: Aggregated information on call launched and managed in 2012

| Call | SUBMITTED PROPOSALS | | | EVALUATION RESULTS | | | |
|----------------|---------------------|---------------------|--------------------|--------------------|----------------------|--------------|--------------|
| | No of topics | Proposals submitted | Eligible proposals | Above threshold | Selected for funding | Reserve List | Success rate |
| ARTEMIS-2012-1 | 14 | 25 | 24 | 13 | 8 | 3 | 33% |

Figure 36: Number of participants in the proposals selected for funding



9 grant agreements were signed during the year 2012. The total value of signed grants is € 142.150.154; ARTEMIS Joint Undertaking contribution is € 23.675.281.

Dissemination/communication

During 2012 ARTEMIS participated in nine major events, including organising 3 call workshops in Madrid, Paris and Gdansk.

The ARTEMIS-ITEA Co-summit took place on 30-31 October in Paris. It was by far the biggest event organised by ARTEMIS, and it was an important showcase of ARTEMIS' projects to the Artemis community and the public authorities, with ARTEMIS presentations and an exhibition space for all 443 projects, including a 'Walk of Fame' and a personalised project Recognition Award for the finished projects.

The ARTEMIS Magazines number 12 and 13 were issued and distributed to the partners and in ARTEMIS events around Europe.

ARTEMIS' website has been upgraded. The content of specific pages of common interest, such as "Events", has been linked between the JU and -IA sites, assuring proper synchronisation and harmonisation of the content presented on those pages. The site has also prepared for full digitalisation of the documents made available (unified data format), and also for compatibility with the growing number of small-format display devices (smart-phones and tablet computers).

Looking forward - planned future actions, key challenges for Horizon 2020

The current ARTEMIS and ENIAC JUs provided a major opportunity to cooperate across Europe, create critical mass and leverage investments. Their first and second interim evaluations strongly recommended continuing a similar initiative under Horizon 2020. In order to take advantage of synergies and economies of scale, a single new tri-partite PPP, replacing the existing ENIAC and ARTEMIS, is proposed under Horizon 2020: ECSEL (Electronic Components and Systems for European Leadership).

4.5.4 ENIAC (Nanoelectronics) Joint Undertakings

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

countries that have joined ENIAC. The ENIAC JU implements significant parts of the Strategic Research Agenda.

Main activities and achievements in 2012

In 2012, the ENIAC JU implemented 2 calls for proposals, both using the 2-step procedure with a project outline submission phase. The first call of 2012 was in line with all previous calls. The second call of 2012 followed the call for expression of interest launched at the end of 2011 on pilot lines, aiming at implementing the KET recommendations on funding innovation and large scale pilots to bridge the 'valley-of-death'.

Table 28: Aggregated information on calls launched and managed in 2012

| Call | Indicative max budget | SUBMITTED PROPOSALS | | | EVALUATION RESULTS | | |
|--------------|-----------------------|---------------------|---------------------|--------------------|--------------------|---------------|--------------|
| | | No of topics | Proposals submitted | Eligible proposals | Above threshold | Grants signed | Success rate |
| ENIAC-2012-1 | 73,3 | 25 | 16 | 16 | 11 | 6 | 54,54% |
| ENIAC-2012-2 | 193,2 | 25 | 11 | 11 | 6 | 5 | 83,33% |
| Total | | | 27 | 27 | 17 | 11 | |

Dissemination/communication

The ENIAC JU prolonged the Service level Agreement with its member AENEAS in 2012, who provides communication and public relations support. The ENIAC JU defined and executed a Communication Plan in 2012, addressing the same communication goals defined in previous years:

- Organized together with The Parliament Magazine the "Securing the Future" round table event at the European Parliament on 6 November 2012 with participation from Galileo, the European Defence Agency, the European Commission and industry representatives;
- Executed a communication day for the Project Coordinators;
- Had numerous exchanges with project coordinators, visited or hosted representatives from the industry at large including CEA/Leti, IMEC, Silicon Saxony, SEMI Europe, ESIA, Infineon, SOITEC, Intel, ASML, NXP among others;
- At the European Nanoelectronics Forum 2012 the ENIAC JU announced that the "ENIAC JU Innovation Award" went to two projects, "IMPROVE" and "LENS". The selection of the award recipient is based upon the votes of the ENIAC Member States representatives and of the ENIAC JU Office;
- Updated the web site, including video content.
- Co-organized the European Nanoelectronic Forum with the EUREKA cluster CATRENE, and the European Commission;
- Participated in several events in Germany, Austria, Italy, and sponsored events in Belgium, France, the Netherlands and Germany.

Looking forward - planned future actions, key challenges for Horizon 2020

The current ARTEMIS and ENIAC JUs provided a major opportunity to cooperate across Europe, creating critical mass and leverage investments. Their first and second interim evaluations strongly recommended continuing a similar initiative under Horizon 2020. In order to take advantage of synergies and economies of scale, a single new tri-partite PPP, replacing the existing ENIAC and ARTEMIS, is proposed under Horizon 2020: ECSEL (Electronic Components and Systems for European Leadership).

4.5.5 Fuel Cells & Hydrogen Joint Undertaking (FCH JU)

The Joint Undertaking for Fuel Cells and Hydrogen (FCH JU)³¹ was established by the Council Regulation (EC) No 521/2008 of 30 May 2008, and its objective is to support research, technological development and demonstration (RTD) activities in fuel cell and hydrogen energy technologies in Europe. Its aim is to accelerate the market introduction of these technologies, realising their potential as an instrument in achieving a carbon-lean energy system. Since that date the Commission was responsible for the interim management of the JU until 15 November 2010, when it reached the operational capacity to implement its own budget. The Executive Director was appointed in September 2010.

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

Main activities and achievements in 2012

In 2012, 33 grant agreements were concluded for an amount of € 117,5 million corresponding to the call for proposals in 2011, the largest call for proposals launched by the JU. In parallel the evaluation of 2012 call for proposals was carried out and on 11 October 2012, the Governing Board approved the start of negotiations of 28 proposals for an indicative budget of € 79,8 million.

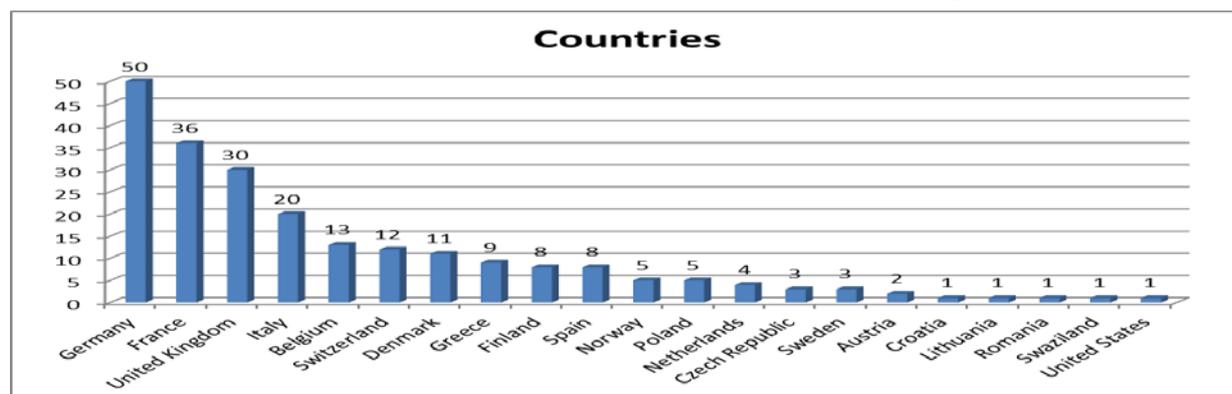
24 interim and 5 final reports concerning 209 beneficiaries were validated leading to interim/final payments for an amount of € 5,2 million and to a clearing of € 12 million. In this frame, following the recommendations of the internal audit capability the ex-ante control process was enhanced, in particular through a clarification of the control strategy, a strengthening of the monitoring tools and a review of the procedures/checklists. In addition, the implementation of the ex-post audit strategy launched in 2011 was pursued with 19 audits finalized out of 33 selected. Furthermore, a communication campaign aiming at avoiding financial errors in cost claims of the FCH JU beneficiaries was organised, including 3 training sessions covering 54% of the projects. With a similar aim, the FCH JU Guide on Financial Issues³² was published providing detailed explanations on the financial provisions of the grant agreement.

During 2012 the FCH JU launched and evaluated one call for proposals (FCH-JU-2012-1).

Table 29: Aggregated information on call launched and managed in 2012

| Call | SUBMITTED PROPOSALS | | | EVALUATION RESULTS | | | |
|---------------|---------------------|---------------------|--------------------|--------------------|----------------------|--------------|--------------|
| | No of topics | Proposals submitted | Proposals retained | Above threshold | Selected for funding | Reserve List | Success rate |
| FCH-JU-2012-1 | 31 | 72 | 68 | 42 | 28 | 15 | 39% |

Figure 37: Number of participants in the proposals selected for funding



³¹ <http://www.fch-ju.eu/>

³² <http://www.fch-ju.eu/content/how-participate-fch-ju-projects>

33 grant agreements signed during the year 2012. Total value of the signed grants is € 233.535.885, FCU Joint Undertaking contribution is € 117.521.762.

Dissemination/communication

In 2012, activities initiated in 2011 have been further developed. In addition, new activities have been initiated, with a view to strengthening awareness-raising towards EU and national policy makers, multipliers' networks as well as towards opinion leaders and stakeholders of the FCH sector and related communities. The messages focused on the overall potential and market readiness of FCH technologies, the progress of the program so far and the dissemination of projects' results.

The FCH JU further strengthened its relationships with policy makers at European and national levels, creating opportunities for presenting the partnership, its achievements and its perspectives in delivering objectives. Presentations were made to Commission officials, MEPs (in particular the ITRE working group of the S&D Group and two dinner debates in Brussels and Strasbourg), representatives from Member States (in particular the Councillors and Scientific attachés of the National Permanent Representations at an official Research & Energy Council Working Party meeting in June) and the Social and Economic Committee (April). A special effort was made towards Central and Eastern European policy makers through meetings with permanent representation advisors from EU12. Additionally, individual meetings with some 50 key relevant policy makers were also organised.

FCH JU staff and/or the Executive Director participated in more than 30 external events and conferences in 2012 in 10 different Member States and 3 key non-European countries (US, Switzerland, Canada) to present the programme and FCH JU activities and developments.

Publications include (i) the 'fact-based study on power trains for vehicles', (ii) the report from the FCH sector on 'the financial and technological outlook for the period 2014-2020', (iii) the 2011 Programme Review Days final report, (iv) a policy analysis, commissioned by the FCH JU to the Bruegel Institute entitled 'The great transformation: decarbonising Europe's energy and transport systems', and (v) a wide sectorial survey addressing the whole FCH community on R& D investments and activities, job creation, and on the general growth of the sector.

Several publications were developed: a general leaflet on FCH JU, a listing & mapping of demonstration activities and a report on the programme review with fact-sheets per project. The FCH JU web site, operational since March 2011, developed new pages: the Stakeholders' General Assembly and its surrounding activities, programme reviews and projects which were presented by application area and year.

Looking forward - planned future actions, key challenges for Horizon 2020

Under H2020, it is proposed that a new programme in the form of a JTI (FCH2)) be implemented by a modernised Joint Undertaking adapted to Horizon 2020.

A "modernised JU" will allow a re-orientation of the objectives and activities of the FCH JU, structuring the programme around two main innovation pillars, dedicated to Energy and Transport Systems, and one cluster of cross-cutting research activities. This would allow putting more emphasis on energy applications, in particular on the use of hydrogen as a storage medium for renewable electricity, hydrogen infrastructure and a variety of activities to support market introduction. It would also allow putting more emphasis on large scale demonstrations.

The "modernised JU" option builds upon the past experience and the lessons learned and it further improves the design and suitability of the instrument to the new challenges under Horizon 2020 by simplifying the administration, financial procedures and rules for participation. It would also allow strengthening the coordination with Member States and cooperation with Regions.

4.6 Article 185 (ex-169) Initiatives

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

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

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

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

The initiatives are implemented by indirect centralised management with the DIS being responsible for the administrative, financial and contractual management of a joint research programme.

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

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

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

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

With regard to EDCTP (European and Developing Countries Clinical Trials Partnership), launched in 2003 under FP6 (providing a total of € 200 million for this initiative) and aimed at accelerating the development of medical products and interventions against HIV/AIDS, malaria and tuberculosis in developing countries, in particular in sub-Saharan Africa, the Commission adopted a Progress Report in October 2008 following a first Independent Expert Review in 2007. A no-cost extension for the implementation of the FP6 grant until

May 2015 was granted based on the recommendations of the second independent expert evaluation conducted in 2009/2010. In the Communication from the Belgium Presidency of the Council of the European Union to the Competitiveness Council in November 2010, the second phase of the EDCTP with an enlarged scale and scope was called for. To that end, the FP7 Work Programme for 2012 included a Support Action with the EDCTP as the named beneficiary of a grant of up to € 10 million for activities in support of the preparation of the second phase of the European and Developing Countries Clinical Trials Partnership (EDCTP2) starting in 2014.

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

Drawing on the results of their interim evaluations, during 2012, the current Article 185 Initiatives have begun preparing proposals for successor programmes under Horizon 2020 and have started to draft new strategic research agendas as a basis for future joint programmes.

4.7 Risk-Sharing Finance Facility (RSFF)

4.7.1 Rationale and aim

The RSFF, officially launched in July 2007, is one of the new, innovative funding mechanisms of FP7. It is a debt finance instrument, jointly developed by the Commission and the European Investment Bank (EIB). The RSFF facilitates access to finance by providing loans and guarantees to a wide range of beneficiaries — including SMEs, mid-sized enterprises, larger companies, research institutions, universities and research infrastructures — investing in RDI.

Access to finance to support RDI investments is a commitment of the Innovation Union Flagship Initiative. Consequently, the EU is deploying financial instruments to attract a major increase in private finance and close financing gaps in RDI. Among the key financial instruments to be put in place at European level to encourage more investment and financing in RDI are risk-sharing loans to finance higher-risk research, development and innovation projects.

The RSFF addresses the market gap in risk finance for financing RDI, complements other sources of RDI funding, such as grants and equity investments and acts as an anti-cyclical³³ instrument in the financial market.

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

4.7.2 Risk-Sharing Finance Facility (RSFF) in 2012

During 2012, the RSFF continued facilitating access to finance to support RDI investments in a wide range of sectors, undertaking a variety of projects in diverse FP7 priority areas and across the different EU Member States.

This was possible due to the successful implementation of provisions of Amendment No. 4. The key changes introduced by these amendments were the creation of the Risk Sharing Instrument (RSI), an RSFF guarantee facility for innovative SMEs and small mid-caps, a

³³ See Report of the Independent Expert Group in charge of the RSFF evaluation:

http://ec.europa.eu/research/evaluations/index_en.cfm?pg=rsff

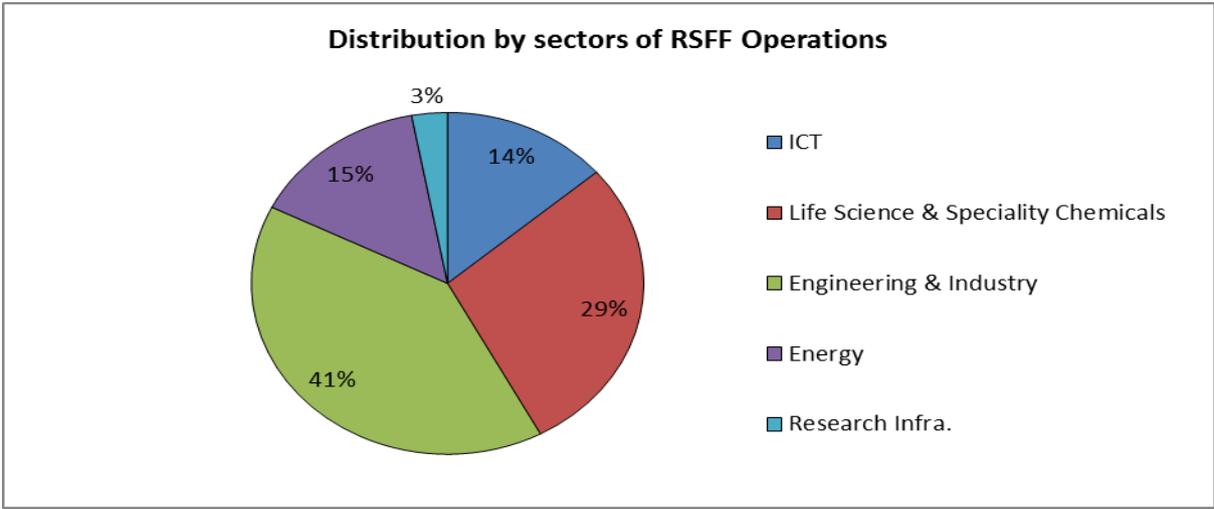
new risk-sharing mechanism and an enlarged definition of entities eligible as research infrastructures.

The RSI is a pilot guarantee scheme which supports the financing of R&D and/or innovation driven SMEs and Small Mid-Caps. The RSI is a joint initiative of the European Investment Fund (EIF), the European Investment Bank (EIB) and the European Commission. It is supported by the European Union under the Seventh Framework Programme for Research and Technological Development (FP7) and uses EIF's risk-taking capacity. It is part of, and complements, the existing Risk Sharing Finance Facility (RSFF).

The RSFF has repeatedly been showcased as an example of how EU resources can leverage private funding for a larger impact in achieving EU objectives. For instance, in 2012, 34 RSFF operations were approved by the EIB, with a total loan volume of €3,3 billion. In the same period, the EIB signed loan agreements with promoters of 27 RSFF RDI projects, with a total loan volume of € 2,8 billion.

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

Figure 38: Distribution by sectors of RSFF Operations



Source: EIB Operational Report

European added-value is ensured by the geographical distribution of projects: until the end of 2012, the participation rate in RSFF loan finance has risen steadily to over 20 countries. Moreover, in the actual design of projects, recipients of RSFF loans have often invested in RDI not only in one country but in several locations involving 3 or 4 different EU member States and/or Associated Countries. This has directly and indirectly positively impacted businesses and society in general.

In 2012, the first guarantee agreements under the new RSI facility were signed between the EIF and 7 banks in 6 EU Member States (AT, CZ, NL, ES, IE, IT), for a total loan volume of € 690 million (guaranteed amount under RSI: € 345 million equalling 50% of the total loan amount). This high demand from banks willing to lend to research-driven or innovative SMEs and small midcaps demonstrates the added value of the RSI guarantee facility addressing the important target group of RDI-driven SMEs and small midcaps.

A key set of performance indicators were introduced to encourage the EIB and the EIF to increase the number of beneficiaries and reach a broader geographical distribution. The EIB Group shall make all reasonable efforts, notably through awareness-raising events.

Information on the RSFF is available online³⁴. In 2007 – 2012, the EU and the EIB presented the RSFF at more than 80 seminars, workshops and conferences covering almost all EU Member States and Associated Countries. In 2012, activities focused on target groups (including SMEs, potential RSI intermediaries and research infrastructures) and countries which have not yet benefited enough from the RSFF. The Commission also regularly presents RSFF developments at FP7 Programme Committee meetings (both for the Specific Programmes Co-operation and Capacities). Regarding the RSI guarantee facility, a specific awareness-raising event was organized in Vienna on 3 October 2012, in the context of the first signature of an RSI agreement between the EIF and UniCredit Bank Austria becoming the first RSI intermediary.

The RSFF Cooperation Agreement No.6 was launched in December 2012 in order to expand the RSI in scale (higher lending volume) and scope (counter-guarantee scheme). It also implements some provisions of the forthcoming Financial Regulation and its Rules of Application. It also details the conditions of the technical and financial advice activities. Table 30 below provides the breakdown by year for the total RSFF portfolio approved and signed loans respectively. In 2012, which experienced an increased uptake of RSFF financing due to the FLP portfolio approach, increased market demand, and improved EC's towards FP7 priorities.

Table 30: RSFF operations approved and signed by the EIB since the launch of the RSFF.

| <i>RSFF PORTOFOLIO</i> | <i>2007</i> | <i>2008</i> | <i>2009³⁵</i> | <i>2010</i> | <i>2011</i> | <i>2012</i> | <i>TOTAL³⁶</i> |
|---------------------------------------|-------------|-------------|--------------------------|-------------|-------------|-------------|---------------------------|
| Number of Approved RSFF Operations | 14 | 14 | 36 | 22 | 9 | 34 | 129 |
| Related Approved Loan Volume (€M) | 887,4 | 1.501,7 | 4.187,2 | 2.111,3 | 713,0 | 3.341 | 12.741,5 |
| Number of Signed RSFF Loan Agreements | 9 | 12 | 25 | 20 | 12 | 27 | 105 |
| Related Loan Volume (€M) | 459 | 1.024 | 2.984,2 | 1.838,5 | 973,0 | 2.795 | 10.074 |

Source: EIB Operational Report

In conclusion, the correct implementation of the above-mentioned changes and tuning-up the RSFF were the main objectives in 2012. The underlying objective was to pave the way for the future financial instruments under Horizon 2020.

4.7.3 Transition from FP7 to Horizon 2020

Horizon 2020's strategic programme for the period 2014-2016 also put emphasis on raising private investment and access to risk finance (through an increased use of loan guarantees and equity instruments).

In view of the proposed financial instruments under Horizon 2020 which include a successor to the RSFF and the RSI, 2012 was already part of the transition and preparation phase for the new budgetary period 2014-2020. In 2012, the RSFF's "normal operations" and its RSI part are being prepared for a smooth transition to the scaled-up debt facility foreseen as part of the "Access to Risk Finance" component of Horizon 2020.

³⁴ See: <http://www.eib.europa.eu/products/rsff/index.htm?lang=en> and on the RSI: <http://www.eif.org/RSI>

³⁵ The mentioned data for 2009 and 2010 (source: European Investment Bank) take into account any final technical adjustment.

³⁶ The total RSFF portfolio is divided into 2 parts - active and inactive. The active portfolio includes on-going operations which are currently approved, signed or disbursed. The inactive portfolio includes operations where an RSFF portion was approved by the EIB's Board of Directors but the operation was subsequently cancelled before or after signature or where the operation went ahead with a non-RSFF structure (bank guarantee, etc...).

The year 2013 will be crucial for a smooth transition and the fine-tuning of the RSFF and RSI successors. Additional improvements highlighted by the CoA in its 2012-2013 performance audit (like mitigation measures regarding the potential risk of crowding out, or clarity of the legal framework) will in particular be duly taken into account in the design of the successors of the RSFF in Horizon 2020, as well as the findings and recommendations of the Independent Experts Group in charge of the RSFF's 2nd evaluation, whose final report is expected to be available in early July 2013. This will in turn allow DG RTD and other Commission services involved in the RSFF implementation to refine financial instruments, to test new approaches (such as RSFF loans to midcap companies via partner banks and introduction of a counter-guarantee product under the RSI guarantee facility) and optimize their use for the future.

4.8 Participation of SMEs

The participation of SMEs in FP7 is closely monitored by the Commission. Particular attention is given to the funding for SMEs under the Cooperation Programme, in line with the target established in the FP7 Decision³⁷. The aim is to ensure that at least 15% of the funding of the Cooperation Specific Programme goes to SMEs. This section focuses on the implementation of this 15% target.

4.8.1 Overview of SME Participation in FP7

At the end of 2012 there have been 18.589 SME participations in the entire FP7. The EU contribution going to SMEs reached approximately € 4,8 billion. Table 31 gives an overview of SME participation in FP7 at the end of 2012.

Table 31: FP7 SME participation overview (31/12/2012).

| Specific Program Description | Nr of SMEs Participations | Percentage of SME Participations | EU Contribution Going to SMEs | Percentage of the budget going to SMEs |
|------------------------------|---------------------------|----------------------------------|-------------------------------|--|
| SP1-Cooperation | 12.546 | 19,0% | 3.482.804.506 | 16,6% |
| <i>Thematic Priorities</i> | 11.975 | 18,7% | 3.350.096.887 | 16,6% |
| <i>Other</i> | 571 | 26,1% | 132.707.619 | 16,7% |
| SP2-Ideas | 16 | 0,4% | 15.179.933 | 0,3% |
| SP3-People | 917 | 6,3% | 222.244.253 | 6,6% |
| SP4-Capacities | 5.009 | 32,8% | 1.012.978.676 | 33,3% |
| SP5-Euratom | 101 | 6,3% | 16.000.638 | 5,4% |
| FP7-OVERALL | 18.589 | 18,4% | 4.749.208.007 | 14,6% |

4.8.2 Funding for SMEs under the Cooperation Programme

As mentioned above there has been a 15% target for the share of EU contribution going to SMEs, in the Cooperation Budget.

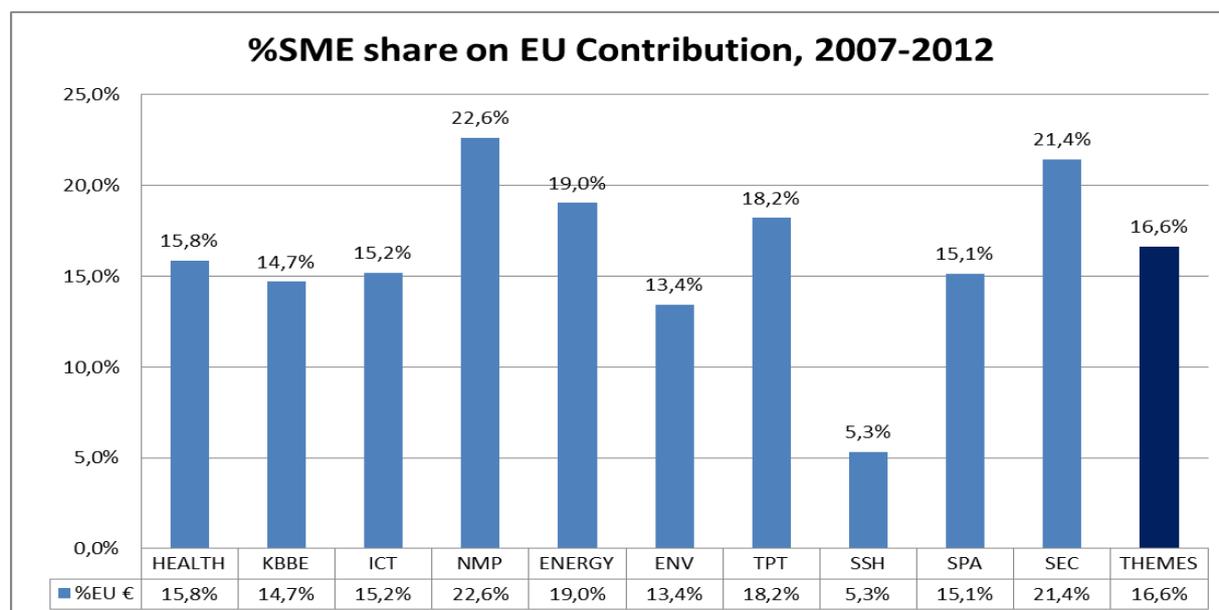
The 15% target was already reached at the end of 2011, when SMEs received 15,3% of the EU funding in the Cooperation Programme.

During 2012 this figure has further progressed. At the end of 2012, the percentage of EU contribution going to SMEs in the Cooperation programme was 16,6%

³⁷ Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for Research, Technological Development and Demonstration activities (2007-2013). (<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:412:0001:0041:EN:PDF>)

Focusing on the SME participation in the Thematic Priorities, 3,350 M€, is going to SMEs. Figure presents the breakdown by theme at the end of 2012.

Figure 39: The share of EU contribution going to SMEs for each theme within the Cooperation Programme (31/12/2012).



During 2012 and the last months of 2011, there has been a significant increase in the budget share going to SMEs. This increase can be attributed to the SME strengthening measures in the Work Programmes of 2011 and 2012.

4.9 European Research Area

The European Research Area (ERA) was launched in 2000 with the goal of creating a real single market in knowledge, open to the world. It is one of the means to increase the efficiency, effectiveness and excellence of the European public research system. By helping developing a genuinely world class science base, ERA ensures that new knowledge-intensive products and services contribute substantially to growth and jobs. ERA also aims at reducing brain drain, notably from weaker regions, and the wide regional variation in research and innovation performance. ERA is at the heart of the Europe 2020 strategy and its Innovation Union (IU) policy flagship³⁸.

In ERA, Member States and regions build up their own research systems, based on their own strengths, in line with smart specialisation and open up to each other and to the world, becoming more inter-connected and more inter-operable. This is essential for Europe to continue playing a leading role in addressing grand challenges.

- The ERA Communication proposed to concentrate European, national, regional and stakeholders' efforts on five priorities: More effective national research systems – including increased competition within national borders and sustained or greater investment in research.
- Optimal transnational co-operation and competition - defining and implementing common research agendas on grand-challenges, raising quality through Europe-

³⁸ COM(2010)546

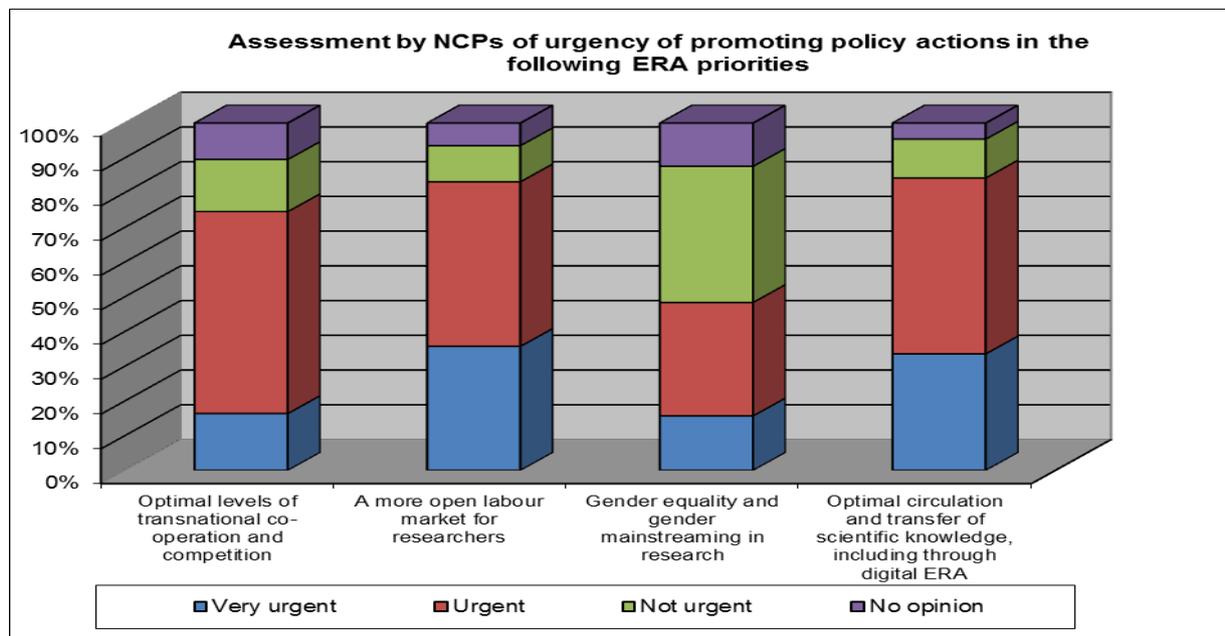
wide open competition, and constructing and running effectively key research infrastructures on a pan-European basis.

- An open labour market for researchers - to ensure the removal of barriers to researcher mobility, training and attractive careers.
- Gender equality and gender mainstreaming in research – to end the waste of talent which we cannot afford and to diversify views and approaches in research and foster excellence.
- Optimal circulation, access to and transfer of scientific knowledge including via digital ERA - to guarantee access to and uptake of knowledge by all.

Figure 40 below presents the assessment by NCPs of the urgency of promoting policy actions in four of the five ERA priorities. Removing barriers to research mobility and to guarantee access to and uptake of knowledge by all via optimal circulation, access to and transfer of scientific knowledge is (very) urgent for a majority of NCPs. A second area of action which gathers high consensus is the definition and implementation of common research agendas on grand-challenges, raising quality through Europe-wide open competition, and constructing and running effectively key research infrastructures on a pan-European basis. Horizon 2020 could provide a (very) important contribution in some of these areas, according to NCPs' opinion.

In the free text comments, respondents highlighted the general perception that research concerns only academics while, on the contrary, research is essential for economic, social and health wellbeing as it contributes to creating a better society for all.

Figure 40: assessment of NCPs of urgency implementing ERA priorities



5 FP7 ACHIEVEMENTS AND FIRST PROJECT OUTCOMES

Any monitoring of a major research programme would be crucially incomplete without a closer look at the outputs obtained and the results achieved. The availability of well-structured and reliable evidence on the outputs and results of FP7 funded research projects, that could be aggregated and compared across themes, is an important basis on which policy decisions could be taken.

RESPIR

The system of FP7 monitoring evolved during programme implementation. By the end of 2012 the first version of the SESAM Research Performance and Impact Reporting tool (RESPIR) was released by the Directorate-General for Research and Innovation (DG RTD). RESPIR is a user friendly online reporting tool capable of reading and processing data on approved FP7 projects' final reports and presenting a comprehensive summary of statistics and indicators at various levels of aggregation – from FP7 as a whole to Specific Programmes, Theme, Priority Areas, and even sub-themes and sub-areas.

This application provides, for the first time in the history of the Framework Programmes implementation, a solid quantitative and some qualitative basis for properly and objectively assessing FP7 outputs and results.

More specifically, the tool presents statistical data on research outputs (peer-reviewed applications, applications for patents, gender and ethical issues, etc.) based on FP7 project Final Reports that are submitted and registered in the SESAM application. RESPIR reports on data derived from projects administered by DG RTD and the Research Executive Agency (REA).

By mid May 2013, more than 18.000 grant agreements were signed by the various Commission Directorates-Generals, executive agencies and other services implementing the Framework Programme. Chapter 5 presents data derived from the projects managed by DG RTD and REA. For the time being, RESPIR does not cover the interventions and activities managed by Directorate-Generals for Communication Networks, Content and Technology, Enterprise, Energy and Transport and Mobility, therefore data on achievements of these projects are not provided in this chapter.

By 15 May 2013, 13.833 grant agreements for the research projects managed by DG RTD and REA were signed, 4.570 (or 33%) projects were completed and 3.220 (or 23%) project Final Reports were approved and recorded in RESPIR. This last subset is the basis for the following analysis.

Table 32: Signed grant agreements and approved Final Reports for projects managed by DG RTD and REA by May 15, 2013

| Service | Number of Signed Projects | Final Reports Submitted | | Processed Final Reports | |
|--|---------------------------|-------------------------|------------|-------------------------|------------|
| | | No. | % | No. | % |
| Research Executive Agency (REA) | 9.681 | 3.183 | 33% | 2.322 | 24% |
| Directorate-General for Research and Innovation (DG RTD) | 4.152 | 1.387 | 33% | 898 | 22% |
| Total | 13.833 | 4.570 | 33% | 3.220 | 23% |

Table 33: Processed Final Reports in FP7 Grant Agreements by Priority Area and Funding Scheme by May 15, 2013

| Priority Area | | Number of Signed Grant Agreements | Processed Final Reports | |
|---------------------|---|-----------------------------------|-------------------------|-----|
| | | | Number | % |
| COOPERATION | Health | 850 | 206 | 24% |
| | Food, Agriculture and Fisheries, and Biotechnology | 424 | 52 | 12% |
| | Nanosciences, Nanotechnologies, Materials and new Production Technologies | 651 | 119 | 18% |
| | Energy | 202 | 36 | 18% |
| | Environment (including Climate Change) | 418 | 92 | 22% |
| | Transport (including Aeronautics) | 499 | 98 | 20% |
| | Socio-economic sciences and Humanities | 209 | 70 | 33% |
| | Space | 205 | 26 | 13% |
| | Security | 155 | 26 | 17% |
| | General Activities | 24 | 6 | 25% |
| Total : COOPERATION | | 3.637 | 731 | 20% |
| PEOPLE | Marie-Curie Actions | 8.559 | 2.065 | 24% |
| Total : PEOPLE | | 8.559 | 2.065 | 24% |
| CAPACITIES | Research Infrastructures | 192 | 38 | 20% |
| | Research for the benefit of SMEs | 788 | 215 | 27% |
| | Regions of Knowledge | 70 | 27 | 39% |
| | Research Potential | 172 | 56 | 33% |
| | Science in Society | 149 | 52 | 35% |
| | Support for the coherent development of research policies | 23 | 13 | 57% |
| | Activities of International Cooperation | 124 | 11 | 9% |
| Total : CAPACITIES | | 1.518 | 412 | 27% |
| EURATOM | Fusion Energy - Fusion | 3 | - | 0% |
| | Nuclear Fission and Radiation Protection - Fission | 116 | 12 | 10% |
| Total : EURATOM | | 119 | 12 | 10% |
| Total | | 13.833 | 3.220 | 23% |

Intellectual Property Rights in FP7 Projects

Intellectual property rights (IPR) are legal rights aimed at protecting the creation of the intellect, such as inventions, appearance of products, literary, artistic and scientific works and signs, among others.

Types of Intellectual property rights:

- Patents and utility models referring to inventions;
- Registered designs referring to product appearance;
- Trademarks referring to signs - words, phrases, symbols or designs or combination of these which are used as brands of goods and services;
- copyright (referring to literary, artistic and scientific works);
- Other related rights or neighbouring rights referring to performances of performing artists, phonogram recordings by producers, and rights of broadcasters over radio and TV programmes.

629 Intellectual property rights were reported in the 3.220 project Final Reports analysed. 505 (or 80%) out of 629 reported Intellectual property rights were Patent applications. The highest average number of IPR for completed projects was recorded for *Nano sciences, Nanotechnologies, Materials and new Production Technologies* theme – 1,2 IPR for completed projects, followed by *Energy* (0,8 IPR) and *Health* (0,7 IPR). Table 34 below presents the Intellectual Property Rights reported in FP7 Projects by Priority Area.

Table 34: IPR - Intellectual Property Rights reported in the FP7 Projects by Priority Area 2013

| Priority Area | | Final Report | Projects with at least 1 IPR reported | No. of reported IPR | IPR reported as a Patent Application | |
|---------------------|---|--------------|---------------------------------------|---------------------|--------------------------------------|------|
| | | | | | No. | % |
| COOPERATION | Health | 206 | 55 | 151 | 135 | 89% |
| | Food, Agriculture and Fisheries, and Biotechnology | 52 | 8 | 24 | 20 | 83% |
| | Nanosciences, Nanotechnologies, Materials & new Production Technologies | 119 | 47 | 137 | 103 | 75% |
| | Energy | 36 | 11 | 28 | 27 | 96% |
| | Environment (including Climate Change) | 92 | 7 | 10 | 6 | 60% |
| | Transport (including Aeronautics) | 98 | 11 | 27 | 20 | 74% |
| | Socio-economic sciences and Humanities | 70 | 0 | 0 | | - |
| | Space | 26 | 1 | 1 | | - |
| | Security | 26 | 3 | 5 | 4 | 80% |
| | General Activities | 6 | 1 | 3 | 3 | 100% |
| Total : COOPERATION | | 731 | 144 | 386 | 318 | 82% |
| | Marie-Curie Actions | 2.065 | 72 | 92 | 83 | 90% |
| Total : PEOPLE | | 2.065 | 72 | 92 | 83 | 90% |
| CAPACITIES | Research Infrastructures | 38 | 2 | 14 | 14 | 100% |
| | Research for the benefit of SMEs | 215 | 56 | 115 | 70 | 61% |
| | Regions of Knowledge | 27 | 0 | 0 | | - |
| | Research Potential | 56 | 6 | 21 | 19 | 90% |
| | Science in Society | 52 | 0 | 0 | | - |
| | Support for the coherent development of research policies | 13 | 0 | 0 | | - |
| | Activities of International Cooperation | 11 | 0 | 0 | | - |
| Total : CAPACITIES | | 412 | 64 | 150 | 103 | 69% |
| | Nuclear Fission and Radiation Protection - Fission | 12 | 1 | 1 | 1 | 100% |
| Total : EURATOM | | 12 | 1 | 1 | 1 | 100% |
| Total | | 3.220 | 281 | 629 | 505 | 80% |

Table 35: Top 10 Patent Applications from a Country

| Top 20 Patent Applications from a Country | | No |
|---|---|-----|
| 1 | EP - European Patent Office | 136 |
| 2 | US - United States | 52 |
| 3 | PCT - Patent Collaboration Treaty | 51 |
| 4 | WIPO - World Intellectual Property Office | 40 |
| 5 | ES - Spain | 29 |
| 6 | UK - United Kingdom | 28 |
| 7 | DE - Germany | 23 |
| 8 | FR - France | 14 |
| 9 | IT - Italy | 7 |
| 10 | RU - Russian Federation | 7 |

Publications in FP7 Projects

16.709 publications were reported in the 3.220 project Final Reports analysed. 7.888 (or 47%) out of 16.709 reported publications were publications in High Impact Peer Reviewed Journals. High impact journals are defined to be the top 10% (in terms of SJR index) of all journals within a given scientific category. For a complete list of scientific categories please visit the Scimago web site. Out of the main activities, the highest average number of publications for completed projects was recorded for the Research Infrastructure Theme (29), followed by Health (23) and Environment (13). Table 36 below presents publications reported FP7 Projects by Priority Area.

Table 36: Publications, publication in Scientific Articles in Peer Reviewed Journals, related to the FP7 Projects by Priority Area

| Priority Area | | Final Reports | No. of publications | Publications in High Impact Peer Reviewed Journals | Average publications per Project |
|----------------------------|---|---------------|---------------------|--|----------------------------------|
| COOPERATION | Health | 206 | 4.828 | 2.728 | 23,4 |
| | Food, Agriculture and Fisheries, and Biotechnology | 52 | 584 | 248 | 11,2 |
| | Nanosciences, Nanotechnologies, Materials and new Production Technologies | 119 | 1.466 | 763 | 12,3 |
| | Energy | 36 | 181 | 75 | 5,0 |
| | Environment (including Climate Change) | 92 | 1.198 | 494 | 13,0 |
| | Transport (including Aeronautics) | 98 | 78 | 21 | 0,8 |
| | Socio-economic sciences and Humanities | 70 | 312 | 79 | 4,5 |
| | Space | 26 | 114 | 65 | 4,4 |
| | Security | 26 | 47 | 6 | 1,8 |
| | General Activities | 6 | 252 | 57 | 42,0 |
| Total : COOPERATION | | 731 | 9.060 | 4.536 | 12,4 |
| | Marie-Curie Actions | 2.065 | 5.533 | 2.632 | 2,7 |
| Total : PEOPLE | | 2.065 | 5.533 | 2.632 | 2,7 |
| CAPACITIES | Research Infrastructures | 38 | 1.130 | 435 | 29,7 |
| | Research for the benefit of SMEs | 215 | 202 | 55 | 0,9 |
| | Regions of Knowledge | 27 | 9 | 1 | 0,3 |
| | Research Potential | 56 | 642 | 193 | 11,5 |
| | Science in Society | 52 | 79 | 20 | 1,5 |
| | Support for the coherent development of research policies | 13 | 10 | 2 | 0,8 |
| | Activities of International Cooperation | 11 | - | - | - |
| | Total : CAPACITIES | | 412 | 2.072 | 706 |
| | Nuclear Fission and Radiation Protection - Fission | 12 | 44 | 14 | 3,7 |
| Total : EURATOM | | 12 | 44 | 14 | 3,7 |
| Total | | 3.220 | 16.709 | 7.888 | 5,2 |

Table 37: Top 20 Peer Reviewed Journals by Number of Publications

| | Peer Reviewed Journals | SJR | No. of Publications | % of all publications |
|--------------|---|------|---------------------|-----------------------|
| 1 | PLoS One | 1.8 | 363 | 2.03 % |
| 2 | Physical Review Letters | 5.1 | 262 | 1.46 % |
| 3 | Physical Review B - Condensed Matter and Materials Physics | 2.7 | 198 | 1.11 % |
| 4 | Proceedings of the National Academy of Sciences of the United States | 5.4 | 189 | 1.05 % |
| 5 | Monthly Notices of the Royal Astronomical Society | 2.4 | 159 | 0.89 % |
| 6 | Astrophysical Journal | 3.2 | 158 | 0.88 % |
| 7 | Physical Review D - Particles, Fields, Gravitation and Cosmology | 2.2 | 157 | 0.88 % |
| 8 | Astronomy and Astrophysics | 1.9 | 146 | 0.81 % |
| 9 | Journal of Biological Chemistry | 2.8 | 142 | 0.79 % |
| 10 | Applied Physics Letters | 2.3 | 139 | 0.78 % |
| 11 | Nature | 14.5 | 137 | 0.76 % |
| 12 | Optics Express | 2.3 | 129 | 0.72 % |
| 13 | Journal of High Energy Physics | 0.9 | 124 | 0.69 % |
| 14 | Journal of the American Chemical Society | 4.4 | 110 | 0.61 % |
| 15 | Journal of Neuroscience | 4.6 | 97 | 0.54 % |
| 16 | Antimicrobial Agents and Chemotherapy | 2.0 | 86 | 0.48 % |
| 17 | Nucleic Acids Research | 4.6 | 85 | 0.47 % |
| 18 | Nuclear Instruments and Methods in Physics Research, Section A: Accelerators, Spectrometers, Detectors and Associated Equipment | 0.8 | 83 | 0.46 % |
| 19 | Science | 11.2 | 82 | 0.46 % |
| 20 | Journal of Physical Chemistry C | 1.9 | 79 | 0.44 % |
| Total | | | 2925 | 16.33 % |

SJR - Journal Rank Indicator is a measure of journal's impact, influence or prestige. It expresses the average number of weighted citations received in the selected year by the documents published in the journal in the three previous years (2011).

Table 38: Publications in Peer Reviewed Journals by top 20 Journal Subject Area

| No. | Journal Subject Area | Number of publications | % of all publications |
|-------|--|------------------------|-----------------------|
| 1 | Biochemistry, Genetics and Molecular Biology | 3.700 | 22,14 |
| 2 | Physics and Astronomy | 2.062 | 12,34 |
| 3 | Agricultural and Biological Sciences | 1.929 | 11,54 |
| 4 | Medicine | 1.669 | 9,99 |
| 5 | Chemistry | 1.174 | 7,03 |
| 6 | Earth and Planetary Sciences | 1.055 | 6,31 |
| 7 | Materials Science | 552 | 3,30 |
| 8 | Engineering | 535 | 3,20 |
| 9 | Immunology and Microbiology | 533 | 3,19 |
| 10 | Environmental Science | 477 | 2,85 |
| 11 | Mathematics | 457 | 2,74 |
| 12 | Chemical Engineering | 411 | 2,46 |
| 13 | Multidisciplinary | 402 | 2,41 |
| 14 | Neuroscience | 377 | 2,26 |
| 15 | Computer Science | 339 | 2,03 |
| 16 | Social Sciences | 334 | 2,00 |
| 17 | Energy | 132 | 0,79 |
| 18 | Economics, Econometrics and Finance | 127 | 0,76 |
| 19 | Business, Management and Accounting | 121 | 0,72 |
| 20 | Pharmacology, Toxicology and Pharmaceutics | 111 | 0,66 |
| Total | | 16.497 | 98,73 |

Use of foregrounds in FP7 Projects

Foreground means the – tangible and intangible – results, including for example information and knowledge, whether or not it can be protected, which is generated under the project. Such results include rights related to copyright, design rights, patent rights, plant variety rights, and similar forms of protection.

Types of use:

- General advancement of knowledge
- Commercial exploitation of R&D results
- Exploitation of R&D results via standards
- Exploitation of results through EU policies
- Exploitation of results through (social) innovation

1.833 foregrounds were reported by the 3.220 project Final Reports analysed. 940 (or 51%) out of 1.833 reported foregrounds were General advancement of knowledge. The highest average number of foregrounds use on average for 1 completed project was recorded for *Research for the benefit of SMEs* theme – 4 for 1 completed project, followed by *Energy* (1,9) and *Nanosciences, Nanotechnologies, Materials and new Production Technologies* (1,3). Table 39 below presents Foregrounds reported in FP7 Projects by Priority Area.

Table 39: Foregrounds reported in the FP7 Projects by Priority Area

| Priority Area | Reported foregrounds | Reported Foreground Types | | | | |
|---|----------------------|--|----------------------------------|---|---|---|
| | | Commercial exploitation of R&D results | General advancement of knowledge | Exploitation of R&D results via standards | Exploitation of results through (social) innovation | Exploitation of results through EU policies |
| Health | 171 | 42 | 106 | 1 | 15 | 7 |
| Food, Agriculture and Fisheries, and Biotechnology | 5 | 1 | | 1 | 3 | |
| Nanosciences, Nanotechnologies, Materials and new Production Technologies | 152 | 75 | 64 | 6 | 2 | 5 |
| Energy | 69 | 16 | 51 | | | 2 |
| Environment (including Climate Change) | 77 | 2 | 30 | 2 | 8 | 35 |
| Transport (including Aeronautics) | 49 | 12 | 19 | | 2 | 16 |
| Socio-economic sciences and Humanities | 25 | 3 | 3 | | 6 | 13 |
| Space | 1 | | | | | 1 |
| Security | 17 | 9 | 1 | | 5 | 2 |
| General Activities | 3 | | | | | 3 |
| Total : COOPERATION | 569 | 160 | 274 | 10 | 41 | 84 |
| Marie-Curie Actions | 318 | 51 | 228 | 9 | 8 | 22 |
| Total : PEOPLE | 318 | 51 | 228 | 9 | 8 | 22 |
| Research Infrastructures | 27 | | 21 | | 2 | 4 |
| Research for the benefit of SMEs | 853 | 389 | 392 | 57 | 13 | 2 |
| Regions of Knowledge | 33 | 2 | 9 | | 1 | 21 |
| Research Potential | 25 | 5 | 13 | | 3 | 4 |
| Science in Society | 3 | | 3 | | | |
| Total : CAPACITIES | 941 | 396 | 438 | 57 | 19 | 31 |
| Nuclear Fission and Radiation Protection - Fission | 5 | 2 | | | 1 | 2 |
| Total : EURATOM | 5 | 2 | | | 1 | 2 |
| TOTAL | 1.833 | 609 | 940 | 76 | 69 | 139 |

Table 40: Cooperation - Projects Workforce of the Scientific Staff

| Priority Area | | Number of workforce reports | Reported workforce | Additional Researchers Recruited | Total workforce |
|----------------------------|---|-----------------------------|--------------------|----------------------------------|-----------------|
| COOPERATION | Health | 204 | 10.613 | 1.531 | 12.144 |
| | Food, Agriculture and Fisheries, and Biotechnology | 52 | 3.015 | 671 | 3.686 |
| | Nanosciences, Nanotechnologies, Materials and new Production Technologies | 119 | 8.028 | 976 | 9.004 |
| | Energy | 36 | 1.352 | 501 | 1.853 |
| | Environment (including Climate Change) | 89 | 6.237 | 703 | 6.940 |
| | Transport (including Aeronautics) | 98 | 5.594 | 349 | 5.943 |
| | Socio-economic sciences and Humanities | 69 | 2.964 | 616 | 3.580 |
| | Space | 26 | 1.823 | 171 | 1.994 |
| | Security | 26 | 1.070 | 78 | 1.148 |
| | General Activities | 6 | 751 | 113 | 864 |
| Total : COOPERATION | | 725 | 41.447 | 5.709 | 47.156 |

The majority of the workforce reported by the Cooperation project final reports is a group of experienced researchers (i.e. PhD holders) that accounts for 16.435 researchers, followed by 5.288 PhD students and 1.985 project scientific managers.

The Directorate-General for Communication Networks, Content and Technology carries out an annual survey on patents and publications resulting from FP7 ICT projects. The survey results are cross-checked with the existing patents and publications databases (e.g. PATSTAT and Scopus) in the framework of a study SMART 2011/0039. Study results for the year 2013 were not available at the time of writing this FP7 monitoring report.

Statistics on publications from FP7 Projects in the area of ICT are also available from the project OpenAIRE, which reported on the years 2007-2012: 923 publications from 692 projects (out of 1857 ICT projects), as of July 2013³⁹.

For further information on FP7 projects in the ICT thematic area, please consult the ICT statistical report for annual monitoring (StReAM)⁴⁰.

³⁹ More information and statistics are available at:

http://dl114.madgik.di.uoa.gr/openaire/index.php?option=com_content&view=article&id=3&Itemid=140

⁴⁰ Annual monitoring (StReAM), available at: <http://ec.europa.eu/digital-agenda/en/download-data>.

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 that⁴¹:

"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 detail⁴²:

"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 Report⁴³ of the European Court of Auditors concerning the Commission's system for evaluation and monitoring of 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 supporting policy and decision making, to improve their credibility and utility by strengthening the quality and consistency of the evidence base, and to enhance the overall coherence of the separate evaluation and monitoring activities carried out. Coherence also means ensuring that evaluation and monitoring fit with other similar activities for reporting and assessment such as the Annual Report and the components of the management cycle such as the Management Plan (MP) and Annual Evaluation Review (AER).

The annual Monitoring exercise already provided input for the Progress Report on FP7 implementation⁴⁴ and was part of the evidence base for the FP7 Interim Evaluation in 2010⁴⁵.

⁴¹ 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).

⁴² 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).

⁴³ 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)

⁴⁴ 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)

⁴⁵ http://ec.europa.eu/research/evaluations/index_en.cfm

Key features, indicators, and coverage

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

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

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

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

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

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

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

The FP7 monitoring system is intended to cover all activities under the Framework Programme, with the exception of direct (in house) research actions carried out by the Joint Research Centre (JRC)⁴⁶. The coverage is predominately for implementation issues and in a more limited way (reflecting data availability) research outputs.

This Monitoring Report covers the year 2012. It should be kept in mind that at the time of writing, the report information on grant agreements resulting from 2012 calls is limited, considering that negotiations relating to some of these 2012 calls are still on-going. One consequence of the limitations in data availability is that it is not possible to be both informative and consistent in the definition of '2012' throughout the report. Where reference is made to 2012 calls, calls with a 2012 call closure date are included. Where little or no information is available for 2012, the report refers to the latest available data.

⁴⁶ The monitoring of JRC direct actions is carried out through the [Annual Activity Reports](#) and by the JRC Board of Governors based on the information contained in the JRC Annual Report.

ANNEX B: STATISTICAL TABLES ON PARTICIPATION PATTERNS

Table B1: Concluded (as of February 2013) calls under FP7 with closure dates in 2007 - 2012 and corresponding submitted proposals by specific programme.

| SPECIFIC PROGRAMME | STAGES | CLOSURE YEAR | | | | | | | | | | | | TOTAL | |
|--------------------|------------|--------------|---------------------|-------|---------------------|-------|---------------------|-------|---------------------|-------|---------------------|-------|---------------------|-----------|---------------------|
| | | 2007 | | 2008 | | 2009 | | 2010 | | 2011 | | 2012 | | 2007-2012 | |
| | | Calls | Submitted proposals | Calls | Submitted proposals | Calls | Submitted proposals | Calls | Submitted proposals | Calls | Submitted proposals | Calls | Submitted proposals | Calls | Submitted proposals |
| COOPERATION | 1 | 23 | 6.319 | 19 | 3.450 | 27 | 5.275 | 42 | 3.923 | 29 | 4.343 | 24 | 3.732 | 164 | 27.042 |
| | 2 | 1 | 935 | 7 | 1.340 | 6 | 948 | 6 | 1.063 | 9 | 2.864 | 7 | 2.709 | 36 | 9.859 |
| IDEAS | 1 | 0 | 0 | 4 | 4.696 | 4 | 4.457 | 6 | 6.089 | 7 | 7.177 | 6 | 3.177 | 27 | 25.596 |
| | 2 | 1 | 9.167 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1 | 9.167 |
| PEOPLE | 1 | 12 | 3.282 | 12 | 4.639 | 11 | 6.184 | 9 | 6.011 | 11 | 8.260 | 11 | 9.452 | 66 | 37.828 |
| | 2 | 1 | 905 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1 | 905 |
| CAPACITIES | 1 | 17 | 3.671 | 12 | 1.676 | 16 | 1.839 | 10 | 1.573 | 9 | 1.458 | 4 | 480 | 68 | 10.697 |
| | 2 | 4 | 1384 | 0 | 0 | 1 | 383 | 0 | 0 | 0 | 0 | 0 | 0 | 5 | 1.767 |
| EURATOM | 1 | 2 | 67 | 1 | 42 | 1 | 30 | 5 | 122 | 1 | 49 | 1 | 39 | 11 | 349 |
| | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total | 1 | 54 | 13.339 | 48 | 14.503 | 59 | 17.785 | 72 | 17.718 | 57 | 21.287 | 46 | 16.880 | 336 | 101.512 |
| | 2 | 7 | 12.391 | 7 | 1.340 | 7 | 1.331 | 6 | 1.063 | 9 | 2.864 | 7 | 2.709 | 43 | 21.698 |
| | All stages | 61 | 25.730 | 55 | 15.843 | 66 | 19.116 | 78 | 18.781 | 66 | 24.151 | 53 | 19.589 | 379 | 123.210 |

Table B2: Included and retained proposals, applicants, project budgets (in million euro) and corresponding success rates for FP7 calls concluded in 2007 – 2012

| SPECIFIC PROGRAMME | Counts of included proposals | | | | | | Counts of retained proposals | | | | | | Success rates | |
|--------------------|----------------------------------|--------|--------|--------|--------|--------|----------------------------------|--------|--------|--------|--------|--------|---------------|-----------|
| | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2012 | 2007-2012 |
| COOPERATION | 9.029 | 3.728 | 5.513 | 4.040 | 5.393 | 4.402 | 1.479 | 691 | 1.052 | 925 | 1.110 | 898 | 20,0% | 19,0% |
| IDEAS | 547 | 4.442 | 4.293 | 5.972 | 7.038 | 3.104 | 201 | 484 | 629 | 736 | 861 | 373 | 12,0% | 13,0% |
| PEOPLE | 3.404 | 4.563 | 6.139 | 5.924 | 8.158 | 9.360 | 1.102 | 1.271 | 1.952 | 1.414 | 1.627 | 1.736 | 19,0% | 24,0% |
| CAPACITIES | 1.643 | 1.575 | 1.924 | 1.579 | 1.400 | 470 | 332 | 256 | 385 | 278 | 302 | 69 | 15,0% | 19,0% |
| EURATOM | 63 | 38 | 29 | 38 | 48 | 38 | 18 | 18 | 19 | 46 | 20 | 13 | 34,0% | 43,0% |
| Total | 14.686 | 14.346 | 17.898 | 17.553 | 22.037 | 17.374 | 3.132 | 2.720 | 4.037 | 3.399 | 3.920 | 3.089 | 18,0% | 19,0% |
| SPECIFIC PROGRAMME | Applicants in included proposals | | | | | | Applicants in retained proposals | | | | | | Success rates | |
| | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2012 | 2007-2012 |
| COOPERATION | 84.887 | 37.561 | 49.886 | 42.314 | 50.998 | 43.251 | 16.184 | 8.145 | 10.729 | 8.716 | 12.127 | 9.863 | 23,0% | 22,0% |
| IDEAS | 604 | 5.570 | 5.128 | 6.819 | 7.819 | 4.492 | 214 | 578 | 680 | 298 | 914 | 448 | 10,0% | 12,0% |
| PEOPLE | 6.063 | 12.884 | 16.064 | 8.519 | 17.770 | 19.155 | 2.075 | 2.710 | 4.032 | 2.235 | 3.225 | 3.719 | 19,0% | 23,0% |
| CAPACITIES | 12.590 | 10.951 | 12.776 | 12.148 | 11.353 | 2.635 | 3.334 | 2.397 | 3.791 | 2.197 | 2.506 | 604 | 23,0% | 25,0% |
| EURATOM | 661 | 462 | 316 | 419 | 529 | 526 | 270 | 282 | 239 | 264 | 235 | 187 | 36,0% | 51,0% |
| Total | 104.805 | 67.428 | 84.170 | 70.219 | 88.469 | 70.059 | 22.077 | 14.112 | 19.471 | 13.710 | 19.007 | 14.821 | 21,0% | 22,0% |

Table B3: Numbers of EU27 Collaborative links for all programmes

| | | FP7 Collaborative Links for all Programmes | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---------------------|-------|--|--------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|--------|-------|------|-------|------|-------|------|---------------------|------|-------|-------|------|------|----------------------|--------|--------|------|-----|-----|------|------|-------|-------|-----|-------|------|-------|------|-----|-------|-------|-------|
| | | Member States | | | | | | | | | | | | | | | | | | | | Candidate Countries | | | | | | Associated Countries | | | | | | | | | | | | | | | | | | |
| | | AT | BE | DE | DK | EL | ES | FI | FR | IE | IT | LU | NL | PT | SE | UK | BG | CY | CZ | EE | HU | LT | LV | MT | PL | RO | SI | SK | EU | Total | HR | IS | ME | MK | RS | TR | Total | AL | BA | CH | FO | IL | LI | MD | NO | Total |
| Member States | AT | 1120 | 1225 | 5272 | 600 | 810 | 2109 | 808 | 2523 | 351 | 2677 | 68 | 1735 | 450 | 1043 | 2992 | 245 | 93 | 428 | 158 | 439 | 103 | 72 | 49 | 628 | 315 | 350 | 188 | 132 | 26983 | 143 | 68 | 24 | 23 | 98 | 256 | 612 | 21 | 15 | 1085 | 2 | 320 | 2 | 7 | 475 | 1927 |
| | BE | 1225 | 2104 | 6808 | 1040 | 1223 | 3695 | 917 | 5165 | 591 | 4529 | 117 | 3482 | 914 | 1751 | 5496 | 273 | 136 | 622 | 176 | 639 | 221 | 121 | 65 | 913 | 464 | 442 | 206 | 181 | 43516 | 187 | 85 | 18 | 17 | 99 | 425 | 831 | 18 | 13 | 1472 | 12 | 437 | 1 | 5 | 809 | 2767 |
| | DE | 5272 | 6808 | 15126 | 3325 | 4140 | 11949 | 3925 | 17554 | 1856 | 15239 | 265 | 10229 | 2409 | 6574 | 18665 | 699 | 370 | 2096 | 516 | 1865 | 408 | 255 | 169 | 2953 | 1359 | 1147 | 592 | 550 | 136315 | 444 | 254 | 28 | 70 | 254 | 964 | 2014 | 26 | 37 | 6101 | 12 | 1669 | 21 | 20 | 2613 | 10499 |
| | DK | 600 | 1040 | 3325 | 792 | 575 | 1809 | 599 | 1957 | 424 | 1868 | 32 | 1708 | 414 | 1046 | 3058 | 132 | 70 | 268 | 141 | 273 | 177 | 69 | 51 | 369 | 197 | 162 | 101 | 98 | 21355 | 64 | 102 | 9 | 7 | 54 | 188 | 424 | 5 | 4 | 694 | 17 | 220 | 1 | 2 | 790 | 1733 |
| | EL | 810 | 1223 | 4140 | 575 | 1361 | 2835 | 805 | 2997 | 455 | 3513 | 77 | 1557 | 782 | 927 | 3501 | 355 | 312 | 411 | 156 | 401 | 131 | 96 | 109 | 686 | 421 | 271 | 164 | 105 | 29176 | 131 | 60 | 34 | 64 | 146 | 424 | 859 | 37 | 30 | 858 | 4 | 403 | 2 | 24 | 599 | 1957 |
| | ES | 2109 | 3695 | 11949 | 1809 | 2835 | 5956 | 2058 | 8642 | 1255 | 9391 | 134 | 4628 | 2058 | 2912 | 9840 | 592 | 328 | 1035 | 340 | 1091 | 276 | 196 | 207 | 1637 | 949 | 747 | 340 | 259 | 77268 | 294 | 183 | 21 | 52 | 209 | 819 | 1578 | 29 | 42 | 2327 | 13 | 973 | 10 | 4 | 1563 | 4961 |
| | FI | 808 | 917 | 3925 | 599 | 805 | 2058 | 1028 | 2291 | 330 | 2068 | 58 | 1446 | 407 | 1321 | 2706 | 136 | 77 | 287 | 204 | 347 | 114 | 80 | 45 | 563 | 260 | 225 | 127 | 110 | 23342 | 93 | 56 | 2 | 7 | 62 | 205 | 425 | 3 | 4 | 847 | 8 | 218 | 1 | 2 | 601 | 1684 |
| | FR | 2523 | 5165 | 17554 | 1957 | 2997 | 8642 | 2291 | 8563 | 1300 | 11228 | 197 | 6392 | 1846 | 4193 | 12862 | 522 | 277 | 1283 | 321 | 1237 | 323 | 228 | 164 | 1869 | 1015 | 644 | 371 | 505 | 96469 | 234 | 189 | 37 | 36 | 177 | 852 | 1525 | 31 | 18 | 3510 | 14 | 1140 | 7 | 13 | 1746 | 6479 |
| | IE | 351 | 591 | 1856 | 424 | 455 | 1255 | 330 | 1300 | 486 | 1188 | 41 | 923 | 325 | 533 | 2033 | 111 | 72 | 174 | 79 | 180 | 71 | 46 | 52 | 310 | 136 | 160 | 85 | 41 | 13608 | 43 | 69 | 6 | 9 | 51 | 168 | 346 | 3 | 4 | 416 | 6 | 159 | 0 | 1 | 339 | 928 |
| | IT | 2677 | 4529 | 15239 | 1868 | 3513 | 9391 | 2068 | 11228 | 1188 | 8485 | 167 | 5770 | 2012 | 3591 | 11772 | 690 | 313 | 1229 | 366 | 1259 | 328 | 241 | 193 | 2039 | 1087 | 830 | 404 | 414 | 92891 | 276 | 166 | 25 | 74 | 227 | 1115 | 1883 | 30 | 33 | 3456 | 12 | 1170 | 7 | 13 | 1603 | 6324 |
| | LU | 68 | 117 | 265 | 32 | 77 | 134 | 58 | 197 | 41 | 167 | 19 | 124 | 52 | 76 | 160 | 27 | 18 | 27 | 27 | 36 | 20 | 21 | 14 | 47 | 29 | 26 | 23 | 4 | 1906 | 13 | 20 | 6 | 1 | 13 | 18 | 71 | 1 | 0 | 61 | 2 | 29 | 0 | 0 | 40 | 133 |
| | NL | 1735 | 3482 | 10229 | 1708 | 1557 | 4628 | 1446 | 6392 | 923 | 5770 | 124 | 3342 | 1016 | 2552 | 8619 | 387 | 171 | 769 | 261 | 800 | 209 | 151 | 98 | 1189 | 535 | 493 | 268 | 268 | 59122 | 166 | 181 | 17 | 38 | 97 | 445 | 944 | 10 | 13 | 2094 | 15 | 631 | 3 | 9 | 1408 | 4183 |
| | PT | 450 | 914 | 2409 | 414 | 782 | 2058 | 407 | 1846 | 325 | 2012 | 52 | 1016 | 727 | 599 | 2030 | 156 | 118 | 210 | 100 | 239 | 77 | 57 | 55 | 345 | 282 | 215 | 86 | 57 | 18038 | 131 | 69 | 14 | 9 | 37 | 231 | 491 | 12 | 6 | 458 | 4 | 234 | 0 | 3 | 425 | 1142 |
| | SE | 1043 | 1751 | 6574 | 1046 | 927 | 2912 | 1321 | 4193 | 533 | 3591 | 76 | 2552 | 599 | 1519 | 4993 | 175 | 98 | 443 | 241 | 478 | 144 | 109 | 75 | 737 | 349 | 294 | 155 | 136 | 37064 | 121 | 130 | 7 | 14 | 61 | 251 | 584 | 4 | 6 | 1275 | 12 | 346 | 3 | 4 | 982 | 2632 |
| | UK | 2992 | 5496 | 18665 | 3058 | 3501 | 9840 | 2706 | 12862 | 2033 | 11772 | 160 | 8619 | 2030 | 4993 | 9775 | 822 | 383 | 1452 | 521 | 1434 | 456 | 260 | 191 | 2442 | 1023 | 830 | 489 | 459 | 109264 | 338 | 365 | 14 | 92 | 235 | 935 | 1979 | 10 | 17 | 4130 | 31 | 1311 | 2 | 14 | 2842 | 8357 |
| | BG | 245 | 273 | 699 | 132 | 355 | 592 | 136 | 522 | 111 | 690 | 27 | 387 | 156 | 175 | 822 | 292 | 67 | 134 | 68 | 166 | 72 | 55 | 58 | 213 | 284 | 121 | 76 | 33 | 6961 | 66 | 24 | 30 | 60 | 67 | 223 | 470 | 27 | 25 | 156 | 1 | 91 | 0 | 21 | 130 | 451 |
| | CY | 93 | 136 | 370 | 70 | 312 | 328 | 77 | 277 | 72 | 313 | 18 | 171 | 118 | 98 | 383 | 67 | 88 | 64 | 45 | 56 | 36 | 42 | 46 | 88 | 67 | 53 | 30 | 12 | 3530 | 34 | 15 | 10 | 6 | 22 | 82 | 169 | 13 | 6 | 100 | 2 | 76 | 0 | 3 | 105 | 305 |
| | CZ | 428 | 622 | 2096 | 268 | 411 | 1035 | 287 | 1283 | 174 | 1229 | 27 | 769 | 210 | 443 | 1452 | 134 | 64 | 318 | 62 | 258 | 69 | 56 | 41 | 398 | 203 | 161 | 144 | 61 | 12703 | 66 | 24 | 7 | 12 | 52 | 150 | 311 | 3 | 7 | 419 | 0 | 168 | 1 | 8 | 206 | 812 |
| | EE | 158 | 176 | 516 | 141 | 156 | 340 | 204 | 321 | 79 | 366 | 27 | 261 | 100 | 241 | 521 | 68 | 45 | 62 | 87 | 91 | 72 | 69 | 48 | 123 | 93 | 69 | 44 | 15 | 4493 | 40 | 35 | 7 | 10 | 20 | 84 | 196 | 2 | 2 | 111 | 2 | 60 | 3 | 6 | 167 | 353 |
| | HU | 439 | 639 | 1865 | 273 | 401 | 1091 | 347 | 1237 | 180 | 1259 | 36 | 800 | 239 | 478 | 1434 | 166 | 56 | 258 | 91 | 920 | 82 | 83 | 53 | 336 | 252 | 158 | 177 | 55 | 13405 | 79 | 23 | 13 | 27 | 60 | 161 | 363 | 8 | 21 | 430 | 3 | 126 | 0 | 13 | 226 | 827 |
| | LT | 103 | 221 | 408 | 177 | 131 | 276 | 114 | 323 | 71 | 328 | 20 | 209 | 77 | 144 | 456 | 72 | 36 | 69 | 72 | 82 | 203 | 58 | 21 | 120 | 85 | 61 | 39 | 17 | 3993 | 25 | 18 | 7 | 5 | 26 | 71 | 152 | 2 | 6 | 95 | 1 | 48 | 0 | 3 | 112 | 267 |
| | LV | 72 | 121 | 255 | 69 | 96 | 196 | 80 | 228 | 46 | 241 | 21 | 151 | 57 | 109 | 260 | 55 | 42 | 66 | 69 | 83 | 58 | 271 | 47 | 86 | 79 | 62 | 34 | 9 | 2953 | 31 | 24 | 8 | 10 | 16 | 57 | 146 | 2 | 4 | 87 | 2 | 48 | 0 | 4 | 71 | 218 |
| | MT | 49 | 65 | 169 | 51 | 109 | 207 | 45 | 164 | 52 | 193 | 14 | 98 | 55 | 75 | 191 | 58 | 46 | 41 | 48 | 53 | 21 | 47 | 29 | 65 | 57 | 28 | 28 | 5 | 2063 | 24 | 21 | 11 | 8 | 9 | 62 | 135 | 3 | 2 | 44 | 2 | 39 | 0 | 2 | 61 | 153 |
| | PL | 628 | 913 | 2953 | 369 | 686 | 1637 | 563 | 1869 | 310 | 2039 | 47 | 1189 | 345 | 737 | 2442 | 213 | 88 | 398 | 123 | 336 | 120 | 86 | 65 | 653 | 279 | 204 | 167 | 62 | 19521 | 114 | 45 | 9 | 46 | 54 | 207 | 475 | 2 | 5 | 584 | 2 | 223 | 0 | 8 | 366 | 1190 |
| | RO | 315 | 464 | 1359 | 197 | 421 | 949 | 260 | 1015 | 136 | 1087 | 29 | 535 | 282 | 349 | 1023 | 284 | 67 | 203 | 93 | 252 | 85 | 79 | 57 | 279 | 223 | 136 | 109 | 49 | 10337 | 89 | 46 | 25 | 33 | 68 | 208 | 469 | 18 | 33 | 283 | 1 | 121 | 1 | 37 | 184 | 678 |
| | SI | 350 | 442 | 1147 | 162 | 271 | 747 | 225 | 644 | 160 | 830 | 26 | 493 | 215 | 294 | 830 | 121 | 53 | 161 | 69 | 158 | 61 | 62 | 28 | 204 | 136 | 219 | 67 | 34 | 8209 | 180 | 28 | 23 | 28 | 77 | 100 | 436 | 16 | 15 | 228 | 2 | 81 | 2 | 9 | 160 | 513 |
| | SK | 188 | 206 | 592 | 101 | 164 | 340 | 127 | 371 | 85 | 404 | 23 | 268 | 86 | 155 | 489 | 76 | 30 | 144 | 44 | 177 | 39 | 34 | 28 | 167 | 109 | 67 | 121 | 22 | 4657 | 31 | 8 | 6 | 17 | 26 | 70 | 158 | 2 | 5 | 132 | 0 | 45 | 0 | 1 | 63 | 248 |
| | EU | 132 | 181 | 550 | 98 | 105 | 259 | 110 | 505 | 41 | 414 | 4 | 268 | 57 | 136 | 459 | 33 | 12 | 61 | 15 | 55 | 17 | 9 | 5 | 62 | 49 | 34 | 22 | 0 | 3693 | 14 | 5 | 3 | 5 | 6 | 35 | 68 | 4 | 2 | 131 | 0 | 22 | 1 | 0 | 92 | 252 |
| Total | 26983 | 43516 | 136315 | 21355 | 29176 | 77268 | 23342 | 96469 | 13608 | 92891 | 1906 | 59122 | 18038 | 37064 | 109264 | 6961 | 3530 | 12703 | 4493 | 13405 | 3993 | 2953 | 2063 | 19521 | 10337 | 8209 | 4657 | 3693 | 882835 | 3471 | 2313 | 421 | 780 | 2323 | 8806 | 18114 | 342 | 375 | 31584 | 182 | 10408 | 68 | 236 | 18778 | 61973 | |
| Candidate Countries | HR | 143 | 187 | 444 | 64 | 131 | 294 | 93 | 234 | 43 | 276 | 13 | 166 | 131 | 121 | 338 | 66 | 34 | 66 | 40 | 79 | 25 | 31 | 24 | 114 | 89 | 180 | 31 | 14 | 3471 | 104 | 24 | 26 | 25 | 52 | 65 | 296 | 18 | 24 | 91 | 3 | 37 | 0 | 2 | 72 | 247 |
| | IS | 68 | 85 | 254 | 102 | 60 | 183 | 56 | 189 | 69 | 166 | 20 | 181 | 69 | 130 | 365 | 24 | 15 | 24 | 35 | 23 | 18 | 24 | 21 | 45 | 46 | 28 | 8 | 5 | 2313 | 24 | 53 | 5 | 3 | 12 | 43 | 140 | 1 | 0 | 69 | 8 | 23 | 0 | 0 | 127 | 228 |
| | ME | 24 | 18 | 28 | 9 | 34 | 21 | 2 | 37 | 6 | 25 | 6 | 17 | 14 | 7 | 14 | 30 | 10 | 7 | 7 | 13 | 7 | 8 | 11 | 9 | 25 | 23 | 6 | 3 | 421 | 26 | 5 | 21 | 24 | 34 | 29 | 139 | 28 | 26 | 14 | 1 | 11 | 0 | 9 | 8 | 97 |
| | MK | 23 | 17 | 70 | 7 | 64 | 52 | 7 | 36 | 9 | 74 | 1 | 38 | 9 | 14 | 92 | 60 | 6 | 12 | 10 | 27 | 5 | 10 | 8 | 46 | 33 | 28 | 17 | 5 | 780 | 25 | 3 | 24 | 22 | 47 | 32 | 153 | 23 | 25 | 23 | 0 | 6 | 0 | | | |

Map B1: EU27 Collaborative links for all programmes

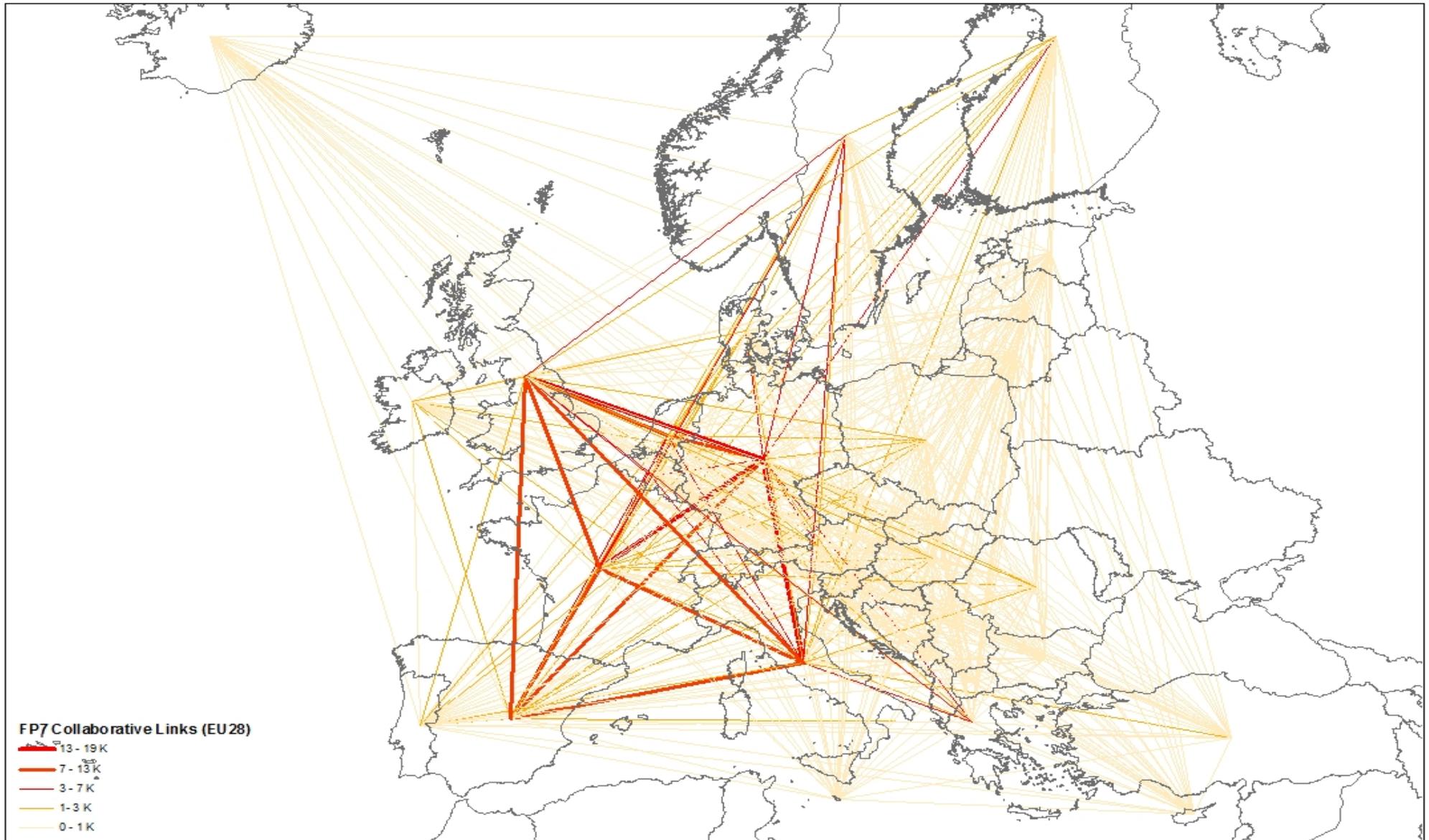


Table B4: Ranking of top 50 HES organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2012.

| HES rank | Overall rank | Organisation | Participations | Country |
|----------|--------------|---|----------------|---------|
| 1 | 3 | THE UNIVERSITY OF CAMBRIDGE | 570 | UK |
| 2 | 8 | THE UNIVERSITY OF OXFORD | 504 | UK |
| 3 | 9 | IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND MEDICINE | 490 | UK |
| 4 | 10 | EIDGENOESSISCHE TECHNISCHE HOCHSCHULE ZURICH | 442 | CH |
| 5 | 11 | KATHOLIEKE UNIVERSITEIT LEUVEN | 433 | BE |
| 6 | 12 | UNIVERSITY COLLEGE LONDON | 428 | UK |
| 7 | 13 | ECOLE POLYTECHNIQUE FEDERALE DE LAUSANNE | 413 | CH |
| 8 | 18 | DANMARKS TEKNISKE UNIVERSITET | 300 | DK |
| 9 | 19 | KOBENHAVNS UNIVERSITET | 297 | DK |
| 10 | 20 | THE UNIVERSITY OF EDINBURGH | 296 | UK |
| 11 | 21 | TECHNISCHE UNIVERSITEIT DELFT | 288 | NL |
| 12 | 22 | THE UNIVERSITY OF MANCHESTER | 278 | UK |
| 13 | 23 | Karlsruher Institut fuer Technologie | 269 | DE |
| 14 | 24 | KAROLINSKA INSTITUTET | 266 | SE |
| 15 | 27 | LUNDS UNIVERSITET | 254 | SE |
| 16 | 29 | KUNGLIGA TEKNISKA HOEGSKOLAN | 244 | SE |
| 17 | 30 | UNIVERSITY OF SOUTHAMPTON | 236 | UK |
| 18 | 31 | THE UNIVERSITY OF SHEFFIELD | 222 | UK |
| 19 | 33 | THE UNIVERSITY OF NOTTINGHAM | 221 | UK |
| 20 | 34 | UNIVERSITY OF LEEDS | 219 | UK |
| 21 | 36 | AARHUS UNIVERSITET | 214 | DK |
| 21 | 37 | CHALMERS TEKNISKA HOEGSKOLA AB | 214 | SE |
| 23 | 38 | UNIVERSITY OF BRISTOL | 212 | UK |
| 24 | 39 | THE UNIVERSITY OF BIRMINGHAM | 210 | UK |
| 25 | 40 | WAGENINGEN UNIVERSITY | 209 | NL |
| 26 | 41 | UNIVERSITEIT GENT | 208 | BE |
| 27 | 42 | UNIVERSITEIT UTRECHT | 201 | NL |
| 28 | 43 | STICHTING KATHOLIEKE UNIVERSITEIT | 199 | NL |
| 29 | 44 | KING'S COLLEGE LONDON | 198 | UK |
| 29 | 45 | UNIVERSIDAD POLITECNICA DE MADRID | 198 | ES |
| 30 | 46 | UNIVERSITY OF NEWCASTLE UPON TYNE | 197 | UK |
| 31 | 47 | TECHNISCHE UNIVERSITAET MUENCHEN | 194 | DE |
| 31 | 48 | ALMA MATER STUDIORUM-UNIVERSITA DI BOLOGNA | 194 | IT |
| 33 | 49 | THE HEBREW UNIVERSITY OF JERUSALEM. | 189 | IL |
| 34 | 50 | UNIVERSITAET ZUERICH | 186 | CH |
| 34 | 51 | VERENIGING VOOR CHRISTELIJK HOGER ONDERWIJS WETENSCHAPPELIJK ONDERZOEK EN PATIENTENZORG | 186 | NL |
| 36 | 53 | UNIVERSITE DE GENEVE | 184 | CH |
| 36 | 54 | HELSINGIN YLIOPISTO | 184 | FI |
| 37 | 55 | UNIVERSITAET STUTTGART | 183 | DE |
| 38 | 56 | UPPSALA UNIVERSITET | 182 | SE |
| 39 | 57 | RHEINISCH-WESTFAELISCHE TECHNISCHE HOCHSCHULE AACHEN | 179 | DE |
| 40 | 58 | POLITECNICO DI MILANO | 178 | IT |
| 41 | 60 | TECHNION - ISRAEL INSTITUTE OF TECHNOLOGY | 172 | IL |
| 42 | 61 | TECHNISCHE UNIVERSITAET WIEN | 171 | AT |
| 43 | 62 | LUDWIG-MAXIMILIANS-UNIVERSITAET MUENCHEN | 169 | DE |
| 44 | 63 | TECHNISCHE UNIVERSITAET DRESDEN | 167 | DE |
| 45 | 64 | TECHNISCHE UNIVERSITEIT EINDHOVEN | 164 | NL |
| 46 | 65 | UNIVERSITA DEGLI STUDI DI ROMA LA SAPIENZA | 163 | IT |
| 47 | 66 | TEL AVIV UNIVERSITY | 162 | IL |
| 48 | 67 | WEIZMANN INSTITUTE OF SCIENCE | 161 | IL |

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Table B5: Ranking of top 50 REC organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2012.

| REC Rank | Overall rank | Organisation | Participations | Country |
|----------|--------------|---|----------------|---------|
| 1 | 1 | CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE | 1189 | FR |
| 2 | 2 | FRAUNHOFER-GESELLSCHAFT | 889 | DE |
| 3 | 4 | CONSIGLIO NAZIONALE DELLE RICERCHE | 556 | IT |
| 4 | 5 | COMMISSARIAT A L ENERGIE ATOMIQUE ET AUX ENERGIES ALTERNATIVES | 550 | FR |
| 5 | 6 | MAX PLANCK GESELLSCHAFT ZUR FOERDERUNG DER WISSENSCHAFTEN E.V. | 540 | DE |
| 6 | 7 | AGENCIA ESTATAL CONSEJO SUPERIOR DE INVESTIGACIONES CIENTIFICAS | 528 | ES |
| 7 | 14 | TEKNOLOGIAN TUTKIMUSKESKUS VTT | 347 | FI |
| 8 | 15 | INSTITUT NATIONAL DE LA SANTE ET DE LA RECHERCHE MEDICALE (INSERM) | 332 | FR |
| 9 | 16 | DEUTSCHES ZENTRUM FUER LUFT - UND RAUMFAHRT EV | 327 | DE |
| 10 | 17 | NEDERLANDSE ORGANISATIE VOOR TOEGEPAST NATUURWETENSCHAPPELIJK ONDERZOEK - TNO | 303 | NL |
| 11 | 25 | JRC -JOINT RESEARCH CENTRE- EUROPEAN COMMISSION | 259 | EU |
| 12 | 26 | FUNDACION TECNALIA RESEARCH & INNOVATION | 258 | ES |
| 13 | 28 | STICHTING DIENST LANDBOUWKUNDIG ONDERZOEK | 250 | NL |
| 14 | 32 | INSTITUT NATIONAL DE LA RECHERCHE AGRONOMIQUE | 222 | FR |
| 15 | 35 | FOUNDATION FOR RESEARCH AND TECHNOLOGY HELLAS | 218 | EL |
| 16 | 52 | CENTRE FOR RESEARCH AND TECHNOLOGY HELLAS | 186 | EL |
| 17 | 59 | INSTITUT NATIONAL DE RECHERCHE EN INFORMATIQUE ET EN AUTOMATIQUE | 174 | FR |
| 18 | 74 | CENTRO RICERCA FIAT SCPA | 149 | IT |
| 19 | 75 | FORSCHUNGSZENTRUM JUELICH GMBH | 148 | DE |
| 20 | 76 | INTERUNIVERSITAIR MICRO-ELECTRONICA CENTRUM VZW | 147 | BE |
| 21 | 78 | EUROPEAN MOLECULAR BIOLOGY LABORATORY | 143 | DE |
| 22 | 85 | TURKIYE BILIMSEL VE TEKNOLOJIK ARASTIRMA KURUMU | 136 | TR |
| 23 | 86 | STIFTELSEN SINTEF | 135 | NO |
| 24 | 88 | MEDICAL RESEARCH COUNCIL | 131 | UK |
| 25 | 101 | NATURAL ENVIRONMENT RESEARCH COUNCIL | 121 | UK |
| 26 | 107 | AGENZIA NAZIONALE PER LE NUOVE TECNOLOGIE, L'ENERGIA E LO SVILUPPO ECONOMICO SOSTENIBILE | 116 | IT |
| 27 | 111 | INSTITUT JOZEF STEFAN | 114 | SI |
| 28 | 114 | AIT Austrian Institute of Technology GmbH | 113 | AT |
| 29 | 117 | INSTITUT PASTEUR | 110 | FR |
| 30 | 119 | NATIONAL CENTER FOR SCIENTIFIC RESEARCH "DEMOKRITOS" | 106 | EL |
| 31 | 123 | TWI LIMITED | 105 | UK |
| 32 | 124 | INSTITUTE OF COMMUNICATION AND COMPUTER SYSTEMS | 103 | EL |
| 33 | 135 | HELMHOLTZ ZENTRUM MUENCHEN DEUTSCHES FORSCHUNGSZENTRUM FUER GESUNDHEIT UND UMWELT GMBH | 95 | DE |
| 34 | 147 | EUROPEAN ORGANIZATION FOR NUCLEAR RESEARCH | 89 | CH |
| 34 | 148 | KONINKLIJKE NEDERLANDSE AKADEMIE VAN WETENSCHAPPEN - KNAW | 89 | NL |
| 36 | 153 | OFFICE NATIONAL D'ETUDES ET DE RECHERCHES AEROSPATIALES | 87 | FR |
| 37 | 167 | VLAAMSE INSTELLING VOOR TECHNOLOGISCH ONDERZOEK N.V. | 83 | BE |
| 38 | 169 | PAUL SCHERRER INSTITUT | 82 | CH |
| 39 | 170 | VIB | 81 | BE |
| 40 | 174 | SCIENCE AND TECHNOLOGY FACILITIES COUNCIL | 79 | UK |
| 41 | 182 | ASSOCIATION POUR LA RECHERCHE ET LE DEVELOPPEMENT DES METHODES ET PROCESSUS INDUSTRIELS - ARMINES | 78 | FR |
| 42 | 185 | AGENZIA PER LA PROMOZIONE DELLA RICERCA EUROPEA | 77 | IT |
| 43 | 186 | ISTITUTO NAZIONALE DI FISICA NUCLEARE | 76 | IT |
| 44 | 194 | CSEM CENTRE SUISSE D'ELECTRONIQUE ET DE MICROTECHNIQUE SA - RECHERCHE ET DEVELOPPEMENT | 72 | CH |
| 45 | 197 | INSTITUT FRANCAIS DE RECHERCHE POUR L'EXPLOITATION DE LA MER | 71 | FR |
| 45 | 198 | ISTITUTO SUPERIORE DI SANITA | 71 | IT |
| 45 | 199 | HELLENIC CENTRE FOR MARINE RESEARCH | 71 | EL |
| 48 | 204 | TOTALFORSVARETS FORSKNINGINSTITUT | 69 | SE |
| 49 | 210 | STICHTING ENERGIEONDERZOEK CENTRUM NEDERLAND | 67 | NL |
| 50 | 213 | FONDAZIONE ISTITUTO ITALIANO DI TECNOLOGIA | 66 | IT |

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Table B6: Ranking of top 50 PRC organisations in FP7 signed grant agreements in terms of counts of participations for the period 2007-2012.

| PRC RANK | OVERALL RANK | COMPANY NAME | PARTICIPATIONS | COUNTRY | SME STATUS |
|----------|--------------|--|----------------|---------|------------|
| 1 | 121 | SIEMENS AG | 105 | DE | N |
| 2 | 129 | ATOS SPAIN SA | 98 | ES | N |
| 3 | 142 | TELEFONICA INVESTIGACION Y DESARROLLO SA | 92 | ES | N |
| 4 | 145 | THALES COMMUNICATIONS & SECURITY SAS | 90 | FR | N |
| 5 | 149 | D'APPOLONIA SPA | 89 | IT | N |
| 6 | 155 | EADS DEUTSCHLAND GMBH | 87 | DE | N |
| 7 | 158 | SAP AG | 86 | DE | N |
| 8 | 177 | PHILIPS ELECTRONICS NEDERLAND B.V. | 78 | NL | N |
| 9 | 191 | ACCIONA INFRAESTRUCTURAS S.A. | 74 | ES | N |
| 10 | 201 | STMICROELECTRONICS SRL | 70 | IT | N |
| 11 | 250 | VOLVO TECHNOLOGY AB | 58 | SE | N |
| 11 | 252 | FRANCE TELECOM SA | 58 | FR | N |
| 13 | 263 | Selex Electronic Systems S.P.A. | 56 | IT | N |
| 13 | 264 | ELECTRICITE DE FRANCE S.A. | 56 | FR | N |
| 15 | 289 | CENTRE DE RECERCA I INNOVACIO DE CATALUNYA S.A. | 50 | ES | Y |
| 16 | 290 | IBM RESEARCH GMBH | 49 | CH | N |
| 17 | 299 | TELECOM ITALIA S.p.A | 47 | IT | N |
| 18 | 303 | IBM ISRAEL - SCIENCE AND TECHNOLOGY LTD | 46 | IL | N |
| 18 | 307 | INFINEON TECHNOLOGIES AG | 46 | DE | N |
| 20 | 310 | AIRBUS OPERATIONS SAS | 45 | FR | N |
| 20 | 311 | ARTTIC | 45 | FR | Y |
| 22 | 318 | THALES SA | 44 | FR | N |
| 23 | 336 | ROBERT BOSCH GMBH | 42 | DE | N |
| 24 | 344 | NEC EUROPE LTD | 41 | UK | N |
| 25 | 356 | ENGINEERING - INGEGNERIA INFORMATICA SPA | 40 | IT | N |
| 26 | 365 | VOLKSWAGEN AG | 39 | DE | N |
| 27 | 389 | ROLLS-ROYCE PLC | 37 | UK | N |
| 27 | 391 | ALENIA AERMACCHI SPA | 37 | IT | N |
| 29 | 414 | ALMA CONSULTING GROUP SAS | 36 | FR | N |
| 30 | 420 | EUROPEAN AERONAUTIC DEFENCE AND SPACE COMPANY EADS FRANCE SAS | 35 | FR | N |
| 31 | 440 | ASTRIUM SAS | 34 | FR | N |
| 32 | 446 | SNECMA SA | 33 | FR | N |
| 32 | 448 | ERICSSON AB | 33 | SE | N |
| 32 | 456 | BASF SE | 33 | DE | N |
| 35 | 468 | INRA TRANSFERT S.A. | 32 | FR | N |
| 35 | 475 | UJV REZ, a.s. | 32 | CZ | N |
| 37 | 478 | ALCATEL-LUCENT DEUTSCHLAND AG | 31 | DE | N |
| 37 | 485 | DASSAULT AVIATION SA | 31 | FR | N |
| 37 | 486 | SINGULARLOGIC ANONYMI ETAIRIA PLIROFORIAKON SISTIMATON KAI EFARMOGON PLIROFORIKIS | 31 | EL | N |
| 40 | 491 | EUROPEAN ROAD TRANSPORT TELEMATICS IMPLEMENTATION COORDINATION ORGANISATION S.C.R.L. | 30 | BE | Y |
| 40 | 496 | DAIMLER AG | 30 | DE | N |
| 40 | 498 | GABO: MI GESELLSCHAFT FUR ABLAUFORGANISATION: MILLIARIUM MBH & CO KG GAB O | 30 | DE | Y |
| 40 | 499 | PTV PLANUNG TRANSPORT VERKEHR AG. | 30 | DE | N |
| 44 | 509 | RENAULT s.a.s. represented by GIE REGIENOV | 29 | FR | N |
| 44 | 511 | GREEK RESEARCH AND TECHNOLOGY NETWORK S.A. | 29 | EL | N |
| 44 | 513 | LMS INTERNATIONAL NV | 29 | BE | N |
| 47 | 522 | SELEX SISTEMI INTEGRATI SPA | 28 | IT | N |
| 47 | 524 | INTEL PERFORMANCE LEARNING SOLUTIONS LIMITED | 28 | IE | N |
| 47 | 531 | NPL MANAGEMENT LIMITED | 28 | UK | N |
| 47 | 533 | INNOVACIO I RECERCA INDUSTRIAL I SOSTENIBLE SL | 28 | ES | Y |

E-CORDA extraction date: 2013/02/26
Report was created for 379 calls

Table B7: Numbers of applicants in retained proposals (in € million) and corresponding success rates for FP7 calls concluded in 2007 - 2012 by country

| COUNTRIES | | Applicants in retained proposals | | | | | | | Success rates of applicants | |
|-----------------------------|-----------------------------|----------------------------------|---------------|---------------|---------------|---------------|----------------|--------------|-----------------------------|-----------|
| | | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | Total | 2012 | 2007-2012 |
| MEMBER STATES | AT - Austria | 581 | 324 | 478 | 408 | 516 | 366 | 2.673 | 22,1% | 21,9% |
| | BE - Belgium | 976 | 573 | 808 | 708 | 842 | 646 | 4.553 | 25,1% | 26,2% |
| | BG - Bulgaria | 161 | 94 | 92 | 90 | 106 | 42 | 585 | 11,0% | 16,4% |
| | CY - Cyprus | 74 | 49 | 70 | 66 | 44 | 54 | 357 | 15,0% | 15,6% |
| | CZ - Czech Republic | 281 | 159 | 180 | 159 | 202 | 119 | 1.100 | 17,7% | 19,9% |
| | DE - Germany | 3.054 | 1.762 | 2.464 | 2.100 | 2.475 | 1.990 | 13.845 | 23,6% | 23,8% |
| | DK - Denmark | 447 | 285 | 368 | 301 | 427 | 304 | 2.132 | 23,2% | 24,2% |
| | EE - Estonia | 108 | 68 | 70 | 62 | 59 | 45 | 412 | 17,6% | 21,2% |
| | EL - Greece | 685 | 384 | 580 | 397 | 494 | 370 | 2.910 | 16,0% | 16,3% |
| | ES - Spain | 1.443 | 992 | 1.531 | 1.344 | 1.713 | 1.334 | 8.357 | 19,1% | 19,7% |
| | FI - Finland | 507 | 281 | 404 | 262 | 374 | 232 | 2.060 | 16,8% | 21,5% |
| | FR - France | 2.205 | 1.379 | 1.720 | 1.443 | 1.582 | 1.349 | 9.678 | 24,2% | 25,0% |
| | HU - Hungary | 309 | 191 | 213 | 200 | 203 | 144 | 1.260 | 20,4% | 20,3% |
| | IE - Ireland | 270 | 162 | 314 | 243 | 294 | 229 | 1.512 | 20,1% | 21,9% |
| | IT - Italy | 1.956 | 1.218 | 1.688 | 1.415 | 1.643 | 1.191 | 9.111 | 17,5% | 18,2% |
| | LT - Lithuania | 71 | 61 | 52 | 59 | 61 | 46 | 350 | 23,4% | 20,1% |
| | LU - Luxembourg | 31 | 17 | 27 | 24 | 25 | 24 | 148 | 20,5% | 19,2% |
| | LV - Latvia | 58 | 35 | 40 | 39 | 44 | 33 | 249 | 20,4% | 21,7% |
| | MT - Malta | 49 | 19 | 21 | 22 | 20 | 22 | 153 | 21,8% | 19,3% |
| | NL - Netherlands | 1.234 | 817 | 999 | 972 | 1.146 | 960 | 6.128 | 24,7% | 25,4% |
| | PL - Poland | 424 | 246 | 336 | 328 | 284 | 216 | 1.834 | 17,6% | 18,5% |
| | PT - Portugal | 329 | 242 | 336 | 249 | 342 | 249 | 1.747 | 16,3% | 18,7% |
| | RO - Romania | 234 | 132 | 138 | 120 | 144 | 94 | 862 | 13,7% | 14,6% |
| | SE - Sweden | 825 | 476 | 587 | 549 | 611 | 496 | 3.544 | 22,2% | 23,5% |
| SI - Slovenia | 179 | 95 | 123 | 96 | 131 | 93 | 717 | 15,4% | 15,9% | |
| SK - Slovakia | 105 | 61 | 72 | 57 | 67 | 39 | 401 | 12,7% | 18,3% | |
| UK - United Kingdom | 2.648 | 1.829 | 2.404 | 2.186 | 2.471 | 2.021 | 13.559 | 22,2% | 23,2% | |
| Subtotal | 19.244 | 11.951 | 16.115 | 13.899 | 16.320 | 12.708 | 90.237 | 20,9% | 21,7% | |
| CANDIDATE & ASSOCIATED | HR - Croatia | 68 | 39 | 40 | 76 | 63 | 31 | 317 | 12,2% | 17,1% |
| | IS - Iceland | 38 | 29 | 28 | 34 | 45 | 39 | 213 | 25,0% | 22,6% |
| | ME - Montenegro | 8 | 10 | 3 | 9 | 5 | 5 | 40 | 29,4% | 23,5% |
| | MK - FYROM | 20 | 17 | 10 | 13 | 18 | 4 | 82 | 8,7% | 16,4% |
| | TR - Turkey | 142 | 118 | 180 | 205 | 199 | 121 | 965 | 11,8% | 13,9% |
| | AL - Albania | 7 | 6 | 10 | 7 | 2 | 2 | 34 | 11,8% | 13,9% |
| | BA - Bosnia and Herzegovina | 7 | 5 | 6 | 8 | 4 | 7 | 37 | 19,4% | 11,8% |
| | CH - Switzerland | 703 | 523 | 686 | 522 | 598 | 477 | 3.509 | 23,7% | 25,0% |
| | FO - Faroe Islands | 3 | 1 | 1 | 1 | 6 | 2 | 14 | 50,0% | 48,3% |
| | IL - Israel | 281 | 217 | 308 | 244 | 274 | 240 | 1.564 | 21,9% | 21,4% |
| | LI - Liechtenstein | 1 | 2 | 1 | 2 | - | 2 | 8 | 66,7% | 13,6% |
| | MD - Moldova | 3 | 10 | 5 | 6 | 6 | 6 | 36 | 13,6% | 17,1% |
| | NO - Norway | 333 | 241 | 342 | 303 | 290 | 236 | 1.745 | 24,3% | 24,2% |
| | RS - Serbia | 50 | 31 | 35 | 51 | 49 | 44 | 260 | 15,9% | 16,5% |
| Subtotal | 1.664 | 1.249 | 1.655 | 1.481 | 1.559 | 1.216 | 8.824 | 19,5% | 21,2% | |
| THIRD (WITH S&T AGREEMENTS) | AR - Argentina | 33 | 26 | 33 | 30 | 31 | 32 | 185 | 29,9% | 26,4% |
| | AU - Australia | 46 | 44 | 63 | 36 | 44 | 43 | 276 | 23,1% | 29,1% |
| | BR - Brazil | 32 | 55 | 87 | 65 | 74 | 61 | 374 | 29,3% | 23,3% |
| | CA - Canada | 49 | 33 | 58 | 39 | 55 | 35 | 269 | 21,0% | 27,2% |
| | CL - Chile | 14 | 13 | 22 | 19 | 18 | 15 | 101 | 28,8% | 22,0% |
| | CN - China | 77 | 54 | 125 | 136 | 92 | 77 | 561 | 33,5% | 26,2% |
| | EG - Egypt | 11 | 22 | 42 | 34 | 19 | 14 | 142 | 14,6% | 17,3% |
| | IN - India | 90 | 46 | 69 | 45 | 46 | 32 | 328 | 25,0% | 22,1% |
| | JO - Jordan | 7 | 3 | 15 | 10 | 14 | 6 | 55 | 17,1% | 22,1% |
| | JP - Japan | 19 | 10 | 32 | 20 | 35 | 22 | 138 | 34,9% | 30,3% |
| | KR - Republic of Korea | 11 | 10 | 14 | 2 | 10 | 6 | 53 | 15,0% | 25,1% |
| | MA - Morocco | 22 | 21 | 31 | 22 | 17 | 21 | 134 | 31,3% | 23,0% |
| | MX - Mexico | 17 | 14 | 58 | 28 | 27 | 19 | 163 | 24,4% | 23,9% |
| | NZ - New Zealand | 11 | 21 | 24 | 17 | 17 | 25 | 115 | 52,1% | 39,1% |
| | RU - Russian Federation | 121 | 128 | 115 | 109 | 84 | 63 | 620 | 27,4% | 23,0% |
| | TN - Tunisia | 13 | 15 | 24 | 24 | 15 | 6 | 97 | 9,5% | 18,5% |
| | UA - Ukraine | 38 | 41 | 37 | 44 | 42 | 24 | 226 | 17,4% | 19,8% |
| US - United States | 196 | 167 | 280 | 200 | 259 | 242 | 1.344 | 24,8% | 26,5% | |
| ZA - South Africa | 52 | 33 | 69 | 61 | 29 | 32 | 276 | 32,0% | 27,2% | |
| Subtotal | 859 | 756 | 1.198 | 941 | 928 | 775 | 5.457 | 25,7% | 24,7% | |
| THIRD (OTHER) | 310 | 156 | 297 | 306 | 200 | 122 | 1.391 | 18,8% | 20,0% | |
| ALL COUNTRIES | 22.077 | 14.112 | 19.265 | 16.627 | 19.007 | 14.821 | 105.909 | 21,2% | 21,8% | |

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Table B8: Numbers of requested EU financial contribution in retained proposals (in € million) and corresponding success rates for FP7 calls concluded in 2007 - 2012 by country

| COUNTRIES | | EC contribution to retained proposals | | | | | | | Success rates in EC contribution | | |
|-----------------------------|-------------------------|---------------------------------------|----------------|----------------|----------------|----------------|----------------|-----------------|----------------------------------|--------------|--------------|
| | | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | Total | 2012 | 2007-2012 | |
| MEMBER STATES | AT - Austria | 178,8 | 105,2 | 149,5 | 131,1 | 169,3 | 125,0 | 859,0 | 19,1% | 20,5% | |
| | BE - Belgium | 306,4 | 172,3 | 228,2 | 212,6 | 258,7 | 203,4 | 1.381,7 | 20,7% | 23,2% | |
| | BG - Bulgaria | 18,7 | 11,8 | 14,8 | 13,2 | 13,3 | 10,6 | 82,5 | 7,7% | 10,3% | |
| | CY - Cyprus | 8,9 | 7,9 | 13,8 | 8,9 | 10,3 | 13,0 | 62,7 | 10,1% | 10,6% | |
| | CZ - Czech Republic | 51,7 | 24,7 | 33,2 | 32,1 | 34,8 | 22,9 | 199,5 | 10,4% | 14,7% | |
| | DE - Germany | 1.162,5 | 692,9 | 966,2 | 895,2 | 973,2 | 831,8 | 5.521,8 | 20,3% | 23,1% | |
| | DK - Denmark | 144,2 | 110,2 | 129,7 | 108,6 | 163,1 | 116,1 | 772,0 | 20,9% | 22,6% | |
| | EE - Estonia | 19,5 | 10,5 | 11,3 | 10,2 | 6,7 | 9,5 | 67,8 | 13,3% | 15,4% | |
| | EL - Greece | 178,9 | 92,1 | 163,3 | 98,6 | 127,6 | 113,2 | 773,6 | 12,3% | 13,3% | |
| | ES - Spain | 383,3 | 256,1 | 397,3 | 397,0 | 505,7 | 394,6 | 2.333,9 | 12,9% | 16,4% | |
| | FI - Finland | 182,4 | 132,9 | 117,1 | 99,7 | 109,6 | 95,3 | 737,1 | 11,2% | 17,2% | |
| | FR - France | 770,6 | 512,5 | 634,8 | 551,5 | 589,9 | 500,8 | 3.560,2 | 19,0% | 24,1% | |
| | HU - Hungary | 47,1 | 30,9 | 38,4 | 34,7 | 36,8 | 32,5 | 220,3 | 15,7% | 14,7% | |
| | IE - Ireland | 68,5 | 31,5 | 92,8 | 73,7 | 90,5 | 68,0 | 424,9 | 16,9% | 17,8% | |
| | IT - Italy | 589,0 | 384,3 | 459,6 | 440,0 | 489,7 | 415,8 | 2.778,2 | 11,9% | 15,1% | |
| | LT - Lithuania | 9,2 | 9,2 | 8,1 | 5,0 | 6,1 | 10,5 | 48,2 | 20,5% | 14,8% | |
| | LU - Luxembourg | 7,9 | 1,6 | 3,9 | 3,9 | 5,1 | 4,8 | 27,2 | 14,8% | 12,5% | |
| | LV - Latvia | 7,8 | 3,1 | 3,3 | 6,6 | 4,5 | 4,4 | 29,7 | 8,4% | 11,6% | |
| | MT - Malta | 4,0 | 1,9 | 2,7 | 1,4 | 2,5 | 1,1 | 13,7 | 5,7% | 10,3% | |
| | NL - Netherlands | 414,8 | 311,3 | 367,2 | 394,6 | 438,7 | 420,9 | 2.347,5 | 22,9% | 23,5% | |
| | PL - Poland | 80,6 | 40,9 | 67,8 | 63,5 | 47,7 | 43,2 | 343,8 | 8,8% | 12,1% | |
| | PT - Portugal | 67,1 | 47,3 | 66,4 | 55,0 | 80,8 | 56,7 | 373,3 | 8,7% | 13,6% | |
| | RO - Romania | 30,3 | 18,0 | 23,5 | 15,5 | 19,0 | 13,1 | 119,3 | 6,8% | 8,5% | |
| | SE - Sweden | 277,1 | 163,7 | 204,6 | 198,9 | 229,9 | 196,9 | 1.271,1 | 17,1% | 19,8% | |
| | SI - Slovenia | 33,5 | 11,8 | 18,6 | 19,6 | 23,2 | 24,7 | 131,4 | 14,3% | 11,4% | |
| | SK - Slovakia | 14,9 | 7,1 | 9,4 | 8,1 | 15,7 | 6,4 | 61,6 | 5,8% | 11,8% | |
| | UK - United Kingdom | 838,5 | 723,1 | 754,7 | 825,5 | 876,9 | 733,2 | 4.751,9 | 16,6% | 20,2% | |
| | | Subtotal | 5.896,3 | 3.914,8 | 4.980,1 | 4.704,8 | 5.329,5 | 4.468,2 | 29.293,8 | 16,2% | 19,3% |
| | CANDIDATE & ASSOCIATED | HR - Croatia | 9,1 | 8,3 | 7,1 | 12,3 | 11,0 | 10,7 | 58,6 | 9,0% | 10,5% |
| | | IS - Iceland | 8,8 | 6,8 | 2,6 | 7,7 | 12,8 | 10,9 | 49,5 | 23,9% | 17,6% |
| | | ME - Montenegro | 0,4 | 0,5 | 1,3 | 0,3 | 0,1 | 0,3 | 2,9 | 6,8% | 10,9% |
| MK - FYROM | | 2,4 | 3,4 | 1,4 | 0,6 | 1,9 | 0,3 | 10,0 | 2,1% | 8,1% | |
| RS - Serbia | | 11,3 | 4,4 | 10,2 | 5,8 | 4,2 | 5,0 | 40,9 | 4,3% | 7,3% | |
| TR - Turkey | | 25,4 | 15,9 | 23,6 | 21,3 | 29,8 | 24,1 | 140,1 | 11,3% | 6,9% | |
| AL - Albania | | 0,4 | 0,2 | 0,6 | 0,2 | 0,2 | 0,1 | 1,7 | 4,1% | 7,3% | |
| BA - Bosnia and Herzegovina | | 0,6 | 0,2 | 0,3 | 0,6 | 0,7 | 0,2 | 2,5 | 1,7% | 5,2% | |
| CH - Switzerland | | 250,7 | 232,9 | 288,5 | 217,0 | 241,9 | 216,9 | 1.448,0 | 21,9% | 25,0% | |
| FO - Faroe Islands | | 0,2 | 0,1 | 0,4 | 0,2 | 0,9 | 0,6 | 2,4 | 85,1% | 50,2% | |
| IL - Israel | | 88,3 | 91,9 | 121,4 | 105,4 | 111,5 | 83,3 | 601,7 | 13,6% | 16,5% | |
| LI - Liechtenstein | | 0,4 | 0,4 | 0,5 | 0,8 | - | 0,8 | 2,9 | 69,3% | 19,1% | |
| MD - Moldova | | 0,5 | 0,4 | 0,1 | 0,3 | 0,6 | 0,4 | 2,3 | 3,2% | 7,6% | |
| NO - Norway | | 97,4 | 77,8 | 113,2 | 112,0 | 92,9 | 94,5 | 587,8 | 16,9% | 19,3% | |
| | | Subtotal | 495,8 | 443,2 | 571,2 | 484,6 | 508,5 | 448,1 | 2951,4 | 16,6% | 18,5% |
| THIRD (WITH S&T AGREEMENTS) | | AR - Argentina | 3,5 | 2,8 | 0,8 | 2,0 | 2,9 | 1,6 | 13,5 | 19,8% | 17,8% |
| | | AU - Australia | 1,2 | 1,3 | 1,5 | 0,3 | 3,9 | 1,3 | 9,6 | 20,2% | 23,2% |
| | BR - Brazil | 4,0 | 5,8 | 5,4 | 7,1 | 4,5 | 2,6 | 29,4 | 15,5% | 14,7% | |
| | CA - Canada | 1,8 | 1,2 | 2,4 | 1,2 | 3,5 | 0,9 | 10,9 | 14,6% | 23,8% | |
| | CL - Chile | 1,5 | 0,6 | 0,6 | 1,1 | 1,8 | 0,9 | 6,5 | 20,9% | 12,2% | |
| | CN - China | 10,4 | 4,4 | 6,3 | 5,7 | 4,3 | 1,7 | 32,7 | 9,9% | 14,7% | |
| | EG - Egypt | 0,7 | 0,5 | 4,2 | 4,7 | 2,1 | 0,8 | 13,0 | 1,0% | 6,9% | |
| | IN - India | 11,4 | 5,5 | 8,1 | 4,3 | 5,6 | 1,2 | 35,9 | 8,4% | 19,2% | |
| | JO - Jordan | 0,3 | 0,1 | 1,3 | 1,1 | 1,9 | 0,8 | 5,5 | 16,9% | 17,8% | |
| | JP - Japan | 1,4 | 0,4 | 1,4 | 1,3 | 1,2 | 1,1 | 6,7 | 32,8% | 25,3% | |
| | KR - Republic of Korea | 0,7 | 0,9 | 0,6 | - | 0,1 | 0,1 | 2,4 | 7,9% | 20,7% | |
| | MA - Morocco | 2,4 | 0,5 | 3,0 | 2,0 | 1,7 | 1,8 | 11,6 | 4,6% | 11,9% | |
| | MX - Mexico | 1,8 | 1,0 | 1,7 | 3,0 | 3,5 | 1,3 | 12,3 | 17,9% | 14,8% | |
| | NZ - New Zealand | 1,1 | 0,1 | 1,0 | 0,3 | 1,0 | 0,4 | 3,9 | 9,9% | 19,2% | |
| | RU - Russian Federation | 19,4 | 10,2 | 13,9 | 9,9 | 6,3 | 4,8 | 64,5 | 15,9% | 16,8% | |
| | TN - Tunisia | 1,8 | 0,2 | 3,5 | 2,5 | 1,3 | 0,9 | 10,3 | 9,9% | 15,9% | |
| | UA - Ukraine | 4,1 | 2,6 | 1,7 | 2,7 | 2,9 | 1,6 | 15,6 | 14,5% | 12,8% | |
| | US - United States | 8,9 | 7,2 | 10,4 | 10,6 | 13,4 | 19,9 | 70,3 | 33,1% | 24,2% | |
| | ZA - South Africa | 7,1 | 4,0 | 7,1 | 9,7 | 2,7 | 2,6 | 33,2 | 15,8% | 19,3% | |
| | | Subtotal | 83,3 | 49,3 | 74,9 | 69,5 | 64,4 | 46,4 | 387,8 | 13,5% | 16,7% |
| | THIRD (OTHER) | 39,7 | 24,5 | 32,3 | 48,2 | 21,1 | 22,1 | 187,7 | 17,2% | 18,6% | |
| | ALL COUNTRIES | 6.515,1 | 4.431,8 | 5.658,4 | 5.307,1 | 5.923,5 | 4.984,8 | 32.820,7 | 16,2% | 19,2% | |

E-CORDA extraction date: 2013/02/26
Report was created for 379 calls

Table B9: Proposals, applicants, EU contribution success rates by Specific Programme for FP7 calls concluded in 2007 – 2012

| | | Period | COOP | CAPAC | PEOPLE | IDEAS | Euratom | Total FP7 | Total FP7 (excl. IDEAS) | Total FP7 (excl. IDEAS & PEOPLE) | |
|--|---|---------------------|---------|--------|--------|--------|---------|-----------|-------------------------|----------------------------------|------|
| Submitted proposals | Number of proposals | Total | 32.106 | 8.590 | 37.548 | 25.396 | 254 | 103.894 | 78.498 | 40.950 | |
| | | 2012 | 4.402 | 470 | 9.360 | 3.104 | 38 | 17.374 | 14.270 | 4.910 | |
| | Number of applicants | Total | 308.913 | 62.437 | 80.455 | 30.432 | 2.913 | 485.150 | 454.718 | 374.263 | |
| | | 2012 | 43.251 | 2.635 | 19.155 | 4.492 | 526 | 70.059 | 65.567 | 46.412 | |
| | Requested EC funding (EUR million) | Total | 108.886 | 14.666 | 70 | 46.864 | 688 | 171.174 | 124.310 | 124.241 | |
| | | 2012 | 18.498 | 1.256 | 15 | 10.865 | 148 | 30.783 | 19.918 | 19.903 | |
| | Nb of applicants per submitted proposal | Total | 9,6 | 7,3 | 2,1 | 1,2 | 11,5 | 4,7 | 5,8 | 9,1 | |
| | | 2012 | 9,8 | 5,6 | 2,0 | 1,4 | 13,8 | 4,0 | 4,6 | 9,5 | |
| | EC contribution per proposal (EUR million) | Total | 3,39 | 1,71 | - | 1,85 | 2,71 | 1,65 | 1,58 | 3,03 | |
| | | 2012 | 4,20 | 2,67 | - | 3,50 | 3,91 | 1,77 | 1,40 | 4,05 | |
| | EC contribution per applicant (EUR million) | Total | 0,35 | 0,23 | - | 1,54 | 0,24 | 0,35 | 0,27 | 0,33 | |
| | | 2012 | 0,43 | 0,48 | - | 2,42 | 0,28 | 0,44 | 0,30 | 0,43 | |
| | Retained proposals | Number of proposals | Total | 6.068 | 1.627 | 9.102 | 3.284 | 109 | 20.190 | 16.906 | 7804 |
| | | | 2012 | 898 | 69 | 1.736 | 373 | 13 | 3.089 | 2.716 | 980 |
| Number of applicants | | Total | 67.100 | 15.496 | 18.210 | 3.626 | 1.477 | 105.909 | 102.283 | 84073 | |
| | | 2012 | 9.863 | 604 | 3.719 | 448 | 187 | 14.821 | 14.373 | 10654 | |
| Requested EC funding (EUR million) | | Total | 23.047 | 3.494 | 41 | 5.905 | 334 | 32.821 | 26.916 | 26874 | |
| | | 2012 | 3.900 | 187 | 8 | 836 | 53 | 4.985 | 4.149 | 4140 | |
| Nb of applicants per submitted proposal | | Total | 11,1 | 9,5 | 2,0 | 1,1 | 13,6 | 5,2 | 6,1 | 10,8 | |
| | | 2012 | 11,0 | 8,8 | 2,1 | 1,2 | 14,4 | 4,8 | 5,3 | 10,9 | |
| EC contribution per proposal (EUR million) | | Total | 3,80 | 2,15 | - | 1,80 | 3,06 | 1,63 | 1,59 | 3,44 | |
| | | 2012 | 4,34 | 2,70 | - | 2,24 | 4,10 | 1,61 | 1,53 | 4,22 | |
| EC contribution per applicant (EUR million) | Total | 0,34 | 0,23 | - | 1,63 | 0,23 | 0,31 | 0,26 | 0,32 | | |
| | 2012 | 0,40 | 0,31 | - | 1,87 | 0,29 | 0,34 | 0,29 | 0,39 | | |
| Success rate | Success rate (proposals) | Total | 19% | 19% | 24% | 13% | 43% | 19% | 22% | 19% | |
| | | 2012 | 20% | 15% | 19% | 12% | 34% | 18% | 19% | 20% | |
| | Success rate (applicants) ³ | Total | 22% | 25% | 23% | 12% | 51% | 22% | 22% | 22% | |
| | | 2012 | 23% | 23% | 19% | 10% | 36% | 21% | 22% | 23% | |
| Success rate (EC funding) ⁴ | Total | 21% | 24% | - | 13% | 48% | 19% | 22% | 22% | | |
| | 2012 | 21% | 15% | - | 8% | 36% | 16% | 21% | 21% | | |
| Signed grants | Number of signed grant agreements | Total | 5.606 | 1.577 | 7.801 | 3.297 | 113 | 18.394 | 15.097 | 7.296 | |
| | | 2012 | 608 | 38 | 755 | 181 | 12 | 1.594 | 1.413 | 658 | |
| | Number of grant holders | Total | 64.410 | 15.071 | 14.500 | 3.776 | 1.589 | 99.346 | 95.570 | 81.070 | |
| | | 2012 | 6.085 | 196 | 2.263 | 193 | 181 | 8.918 | 8.725 | 6.462 | |
| | Granted EC funding (EUR million) | Total | 20.567 | 3.002 | 3.371 | 5.289 | 293 | 32.523 | 27.234 | 23.863 | |
| | | 2012 | 2.343 | 98 | 595 | 324 | 49 | 3.409 | 3.085 | 2.490 | |
| | Nb of participants per grant | Total | 11,5 | 9,6 | 1,9 | 1,1 | 14,1 | 5,4 | 6,3 | 11,1 | |
| | | 2012 | 10,0 | 5,2 | 3,0 | 1,1 | 15,1 | 5,6 | 6,2 | 9,8 | |
| | EC contribution per grant (EUR million) | Total | 3,67 | 1,90 | 0,43 | 1,60 | 2,60 | 1,77 | 1,80 | 3,27 | |
| | | 2012 | 3,85 | 2,57 | 0,79 | 1,79 | 4,06 | 2,14 | 2,18 | 3,78 | |
| EC contribution per grant holder (EUR million) | Total | 0,32 | 0,20 | 0,23 | 1,40 | 0,18 | 0,33 | 0,28 | 0,29 | | |
| | 2012 | 0,39 | 0,50 | 0,26 | 1,68 | 0,27 | 0,38 | 0,35 | 0,39 | | |

¹Reference date 26/02/2013 Report was created for 379 calls

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

Figures for 2012: Proposals figures are based on the calls concluded in 2012, while signed grant agreement figures are based on the grants signed in 2012.

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

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

Table B10: Proposals, applicants, EU contribution success rates by Funding Instruments for FP7 calls concluded in 2007 – 2012

| | | Period | CP & CP- CSA | CSA | NoE | ERC | MCA | BSG | Total FP7 | Total FP7 (excl. ERC) | Total FP7 (excl. ERC & MCA) |
|--|--|--------|-----------------|--------|-------|--------|--------|--------|-----------|--------------------------|-----------------------------------|
| Submitted proposals | Number of proposals | Total | 29.505 | 7.789 | 181 | 25.362 | 37.030 | 4.027 | 103.894 | 78.532 | 41.502 |
| | | 2012 | 4.091 | 936 | 12 | 3.086 | 9.249 | | 17.374 | 14.288 | 5.039 |
| | Number of applicants | Total | 289.777 | 49.788 | 2.575 | 78.334 | 30.348 | 34.328 | 485.150 | 406.816 | 376.468 |
| | | 2012 | 40.746 | 5.954 | 176 | 4.460 | 18.723 | | 70.059 | 65.599 | 46.876 |
| | Requested EC funding (EUR million) | Total | 108.898 | 9.569 | 932 | 46.854 | | 4.921 | 171.174 | 124.321 | 124.321 |
| | | 2012 | 18.247 | 1.627 | 46 | 10.863 | | | 30.783 | 19.920 | 19.920 |
| | Nb of applicants per submitted proposal | Total | 9,8 | 6,4 | 14,2 | 3,1 | ,8 | 8,5 | 4,7 | 5,2 | 9,1 |
| | | 2012 | 10,0 | 6,4 | 14,7 | 1,4 | 2,0 | - | 4,0 | 4,6 | 9,3 |
| | EC contribution per proposal (EUR million) | Total | 3,69 | 1,23 | 5,15 | 1,85 | | 1,22 | 1,65 | 1,58 | 3,00 |
| | | 2012 | 4,46 | 1,74 | 3,82 | 3,52 | | - | 1,77 | 1,39 | 3,95 |
| EC contribution per applicant (EUR million) | Total | 0,38 | 0,19 | 0,36 | 0,60 | 0,00 | 0,14 | 0,35 | 0,31 | 0,33 | |
| | 2012 | 0,45 | 0,27 | 0,26 | 2,44 | 0,00 | - | 0,44 | 0,30 | 0,42 | |
| Retained proposals | Number of proposals | Total | 5.323 | 1.956 | 58 | 3.274 | 8.839 | 740 | 20.190 | 16.916 | 8.077 |
| | | 2012 | 773 | 268 | 2 | 367 | 1.679 | | 3.089 | 2.722 | 1.043 |
| | Number of applicants | Total | 61.229 | 16.578 | 971 | 3.598 | 16.931 | 6.602 | 105.909 | 102.311 | 85.380 |
| | | 2012 | 8.727 | 2.158 | 22 | 435 | 3.479 | | 14.821 | 14.386 | 10.907 |
| | Requested EC funding (EUR million) | Total | 23.459 | 2.167 | 339 | 5.902 | | 954 | 32.821 | 26.919 | 26.919 |
| | | 2012 | 3.799 | 343 | 7 | 835 | | | 4.985 | 4.149 | 4.149 |
| | Nb of applicants per submitted proposal | Total | 11,5 | 8,5 | 16,7 | 1,1 | 1,9 | 8,9 | 5,2 | 6,0 | 10,6 |
| | | 2012 | 11,3 | 8,1 | 11,0 | 1,2 | 2,1 | - | 4,8 | 5,3 | 10,5 |
| | EC contribution per proposal (EUR million) | Total | 4,41 | 1,11 | 5,85 | 1,80 | 0,00 | 1,29 | 1,63 | 1,59 | 3,33 |
| | | 2012 | 4,91 | 1,28 | 3,64 | 2,28 | 0,00 | - | 1,61 | 1,52 | 3,98 |
| EC contribution per applicant (EUR million) | Total | 0,38 | 0,13 | 0,35 | 1,64 | 0,00 | 0,14 | 0,31 | 0,26 | 0,32 | |
| | 2012 | 0,44 | 0,16 | 0,33 | 1,92 | 0,00 | - | 0,34 | 0,29 | 0,38 | |
| Success rate | Success rate (proposals) | Total | 18% | 25% | 32% | 13% | 24% | 18% | 19% | 22% | 19% |
| | | 2012 | 19% | 29% | 17% | 12% | 18% | - | 18% | 19% | 21% |
| | Success rate (applicants) ³ | Total | 21% | 33% | 38% | 5% | 56% | 19% | 22% | 25% | 23% |
| | | 2012 | 21% | 36% | 13% | 10% | 19% | - | 21% | 22% | 23% |
| Success rate (EC funding) ⁴ | Total | 22% | 23% | 36% | 13% | | 19% | 19% | 22% | 22% | |
| | 2012 | 21% | 21% | 16% | 8% | | - | 16% | 21% | 21% | |
| Signed grants | Number of signed grant agreements | Total | 4.924 | 1.944 | 54 | 3.207 | 7.521 | 744 | 18.394 | 15.187 | 7.666 |
| | | 2012 | 529 | 219 | 2 | 146 | 698 | | 1.594 | 1.448 | 750 |
| | Number of grant holders | Total | 58.969 | 15.676 | 1.036 | 3.669 | 13.236 | 6.760 | 99.346 | 95.677 | 82.441 |
| | | 2012 | 5.474 | 1.245 | 22 | 155 | 2.022 | | 8.918 | 8.763 | 6.741 |
| | Granted EC funding (EUR million) | Total | 20.546 | 2.145 | 298 | 5.275 | 3.340 | 919 | 32.523 | 27.248 | 23.908 |
| | | 2012 | 2.260 | 234 | 6 | 319 | 590 | | 3.409 | 3.090 | 2.500 |
| | Nb of participants per grant | Total | 12,0 | 8,1 | 19,2 | 1,1 | 1,8 | 9,1 | 5,4 | 6,3 | 10,8 |
| | | 2012 | 10,3 | 5,7 | 11,0 | 1,1 | 2,9 | - | 5,6 | 6,1 | 9,0 |
| | EC contribution per grant (EUR million) | Total | 4,17 | 1,10 | 5,52 | 1,64 | 0,44 | 1,24 | 1,77 | 1,79 | 3,12 |
| | | 2012 | 4,27 | 1,07 | 2,96 | 2,18 | 0,84 | - | 2,14 | 2,13 | 3,33 |
| EC contribution per grant holder (EUR million) | Total | 0,35 | 0,14 | 0,29 | 1,44 | 0,25 | 0,14 | 0,33 | 0,28 | 0,29 | |
| | 2012 | 0,41 | 0,19 | 0,27 | 2,06 | 0,29 | - | 0,38 | 0,35 | 0,37 | |

¹Reference date 26/02/2013 Report was created for 379 calls

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

Figures for 2012: Proposals figures are based on the calls concluded in 2012, while signed grant agreement figures are based on the grants signed in 2012.

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

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

Table B11: Proposals, applicants, EU contribution success rates by Organisations for FP7 calls concluded in 2007 – 2012

| | | Period | HES - Higher or secondary education | PRC - Private for profit (excl. Education) | PUB - Public body (excl. Research and Education) | REC - Research organisation | OTH - Other | ERC / not applicable | Total FP7 | Total FP7 excl. ERC | Nb of which SME (%) | |
|---------------------|--|--------|-------------------------------------|--|--|-----------------------------|-------------|----------------------|-----------|---------------------|---------------------|-----|
| Submitted proposals | Number of applicants | Total | 185.737 | 129.165 | 18.689 | 94.646 | 26.565 | 30.348 | 485.150 | 454.802 | 117.946 | 24% |
| | | 2012 | 28.344 | 18.897 | 2.214 | 12.779 | 3.365 | 4.460 | 70.059 | 65.599 | 12.804 | 18% |
| | Requested EC funding (EUR million) | Total | 48.663 | 35.933 | 3.836 | 29.821 | 6.068 | 46.854 | 171.174 | 124.321 | 30.670 | 18% |
| | | 2012 | 7.562 | 5.929 | 529 | 4.855 | 1.044 | 10.863 | 30.783 | 19.920 | 3.907 | 13% |
| Retained proposals | EC contribution per applicant (EUR million) | Total | 0,26 | 0,28 | 0,21 | 0,32 | 0,23 | 1,54 | 0,35 | 0,27 | 0,26 | - |
| | | 2012 | 0,27 | 0,31 | 0,24 | 0,38 | 0,31 | 2,44 | 0,44 | 0,30 | 0,31 | - |
| | Number of applicants | Total | 38.108 | 28.840 | 5.614 | 24.076 | 5.673 | 3.598 | 105.909 | 102.311 | 23.389 | 22% |
| | | 2012 | 5.752 | 4.294 | 609 | 2.983 | 748 | 435 | 14.821 | 14.386 | 2.694 | 18% |
| Success rates | Requested EC funding (EUR million) | Total | 9.150 | 8.296 | 1.010 | 7.249 | 1.214 | 5.902 | 32.821 | 26.919 | 5.927 | 18% |
| | | 2012 | 1.444 | 1.397 | 135 | 983 | 190 | 835 | 4.985 | 4.149 | 898 | 18% |
| | EC contribution per applicant (EUR million) | Total | 0,24 | 0,29 | 0,18 | 0,30 | 0,21 | 1,64 | 0,31 | 0,26 | 0,25 | - |
| | | 2012 | 0,25 | 0,33 | 0,22 | 0,33 | 0,25 | 1,92 | 0,34 | 0,29 | 0,33 | - |
| Signed grants | Success rate (applicants) | Total | 21% | 22% | 30% | 25% | 21% | 12% | 22% | 22% | 20% | - |
| | | 2012 | 20% | 23% | 28% | 23% | 22% | 10% | 21% | 22% | 21% | - |
| | Success rate (EC funding) | Total | 19% | 23% | 26% | 24% | 20% | 13% | 19% | 22% | 19% | - |
| | | 2012 | 19% | 24% | 26% | 20% | 18% | 8% | 16% | 21% | 23% | - |
| Signed grants | Number of grant holders | Total | 37.958 | 28.399 | 4.718 | 25.350 | 2.921 | - | 99.346 | - | 17.895 | 18% |
| | | 2012 | 3.905 | 2.435 | 358 | 1.972 | 248 | - | 8.918 | - | 1.552 | 17% |
| | Granted EC funding (EUR million) | Total | 14.320 | 7.675 | 826 | 8.988 | 714 | - | 32.523 | - | 4.606 | 14% |
| | | 2012 | 1.664 | 794 | 84 | 819 | 48 | - | 3.409 | - | 539 | 16% |
| Signed grants | EC contribution per grant holder (EUR million) | Total | 0,38 | 0,27 | 0,18 | 0,35 | 0,24 | - | 0,33 | - | 0,26 | - |
| | | 2012 | 0,43 | 0,33 | 0,23 | 0,42 | 0,20 | - | 0,38 | - | 0,35 | - |

Table B12: Proposals, applicants, EU contribution success rates by Country types for FP7 calls concluded in 2007 – 2012

| | | Period | EU-27 | Associated countries | Candidate countries | Third countries | All countries |
|---------------------|--|--------|---------|----------------------|---------------------|-----------------|---------------|
| Submitted proposals | Number of applicants | Total | 415.655 | 29.417 | 11.051 | 29.024 | 485.147 |
| | | 2012 | 60.728 | 4.180 | 1.490 | 3.661 | 70.059 |
| | Requested EC funding (EUR million) | Total | 151.654 | 12.605 | 3.590 | 3.325 | 171.174 |
| | | 2012 | 27.608 | 2.189 | 513 | 473 | 30.783 |
| Retained proposals | EC contribution per applicant (EUR million) | Total | 0,36 | 0,43 | 0,32 | 0,11 | 0,35 |
| | | 2012 | 0,45 | 0,52 | 0,34 | 0,13 | 0,44 |
| | Number of applicants | Total | 90.237 | 6.947 | 1.877 | 6.848 | 105.909 |
| | | 2012 | 12.708 | 972 | 244 | 897 | 14.821 |
| Success rates | Requested EC funding (EUR million) | Total | 29.294 | 2.649 | 302 | 576 | 32.821 |
| | | 2012 | 4.468 | 397 | 51 | 68 | 4.985 |
| | EC contribution per applicant (EUR million) | Total | 0,32 | 0,38 | 0,16 | 0,08 | 0,31 |
| | | 2012 | 0,35 | 0,41 | 0,21 | 0,08 | 0,34 |
| Signed grants | Success rate (applicants) | Total | 21,7% | 23,6% | 17,0% | 23,6% | 21,8% |
| | | 2012 | 20,9% | 23,3% | 16,4% | 24,5% | 21,2% |
| | Success rate (EC funding) | Total | 19,3% | 21,0% | 8,4% | 17,3% | 19,2% |
| | | 2012 | 16,2% | 18,1% | 10,0% | 14,5% | 16,2% |
| Signed grants | Number of grant holders | Total | 86.626 | 6.623 | 1.768 | 4.329 | 99.346 |
| | | 2012 | 7.913 | 643 | 140 | 222 | 8.918 |
| | Granted EC funding (EUR million) | Total | 29.003 | 2.669 | 305 | 546 | 32.523 |
| | | 2012 | 3.029 | 296 | 32 | 52 | 3.409 |
| Signed grants | EC contribution per grant holder (EUR million) | Total | 0,33 | 0,40 | 0,17 | 0,13 | 0,33 |
| | | 2012 | 0,38 | 0,46 | 0,23 | 0,23 | 0,38 |

Tables B10 and B11 - 'Reference date 26/02/2013 Report was created for 379 calls

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

Figures for 2012: Proposals figures are based on the calls concluded in 2012, while signed grant agreement figures are based on the grants signed in 2012.

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

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

ANNEX C: STATISTICAL RESULTS OF NCP SURVEY ON FP7 PROMOTION AND IMPLEMENTATION IN 2012

Response statistics of the NCP survey for the FP7 2012 Monitoring Report.

| Start date : 2013-05-02 | | End date : 2013-05-24 | |
|--|-------------------|-----------------------|--|
| There are 175 records in the current set of data. | | | |
| A. Information on responding NCP | | | |
| A.3 Please indicate the country of your NCP. | | | |
| | Number of records | % of total records | |
| Austria | 9 | 5,14% | |
| Belgium | 5 | 2,86% | |
| Bulgaria | 8 | 4,57% | |
| Cyprus | 5 | 2,86% | |
| Czech Republic | 11 | 6,29% | |
| Denmark | 1 | 0,57% | |
| Estonia | 2 | 1,14% | |
| Finland | 6 | 3,43% | |
| France | 3 | 1,71% | |
| Germany | 15 | 8,57% | |
| Greece | 5 | 2,86% | |
| Hungary | 4 | 2,29% | |
| Ireland | 6 | 3,43% | |
| Italy | 7 | 4,00% | |
| Latvia | 2 | 1,14% | |
| Lithuania | 1 | 0,57% | |
| Luxembourg | 2 | 1,14% | |
| Malta | 2 | 1,14% | |
| Poland | 3 | 1,71% | |
| Portugal | 4 | 2,29% | |
| Romania | 4 | 2,29% | |
| Slovakia | 8 | 4,57% | |
| Slovenia | 8 | 4,57% | |
| Spain | 9 | 5,14% | |
| Sweden | 1 | 0,57% | |
| The Netherlands | 3 | 1,71% | |
| United Kingdom | 12 | 6,86% | |
| Total Member States | 146 | 83% | |
| Albania | 1 | 0,57% | |
| Bosnia & Herzegovina | 2 | 1,14% | |
| Croatia | 3 | 1,71% | |
| Faroe Islands | 1 | 0,57% | |
| FYR of Macedonia | 4 | 2,29% | |
| Israel | 2 | 1,14% | |
| Montenegro | 5 | 2,86% | |
| Moldova | 3 | 1,71% | |
| Norway | 1 | 0,57% | |
| Serbia | 2 | 1,14% | |
| Switzerland | 2 | 1,14% | |
| Turkey | 3 | 1,71% | |
| Total Associated countries | 29 | 17% | |
| TOTAL ALL COUNTRIES | 175 | 100% | |
| B1. FP7 promotion in 2012 - your views | | | |
| B.1.1 Promotion of FP7 - information days 2012: Please, indicate the total number of FP7 information days organised by your NCP in 2012. | | | |
| 0 | 6 | 3,43% | |
| 1 - 3 | 60 | 34,29% | |
| 4 - 7 | 44 | 25,14% | |
| > 7 | 60 | 34,29% | |
| Don't know | 2 | 1,14% | |
| Not applicable | 3 | 1,71% | |

| | | |
|---|-----|--------|
| B.1.2 Promotion of FP7 - attendees at 2012 information days: Please, indicate an estimate of the total number of all attendees at all these 2012 information days. | | |
| < 10 | 5 | 2,86% |
| 11 - 50 | 12 | 6,86% |
| 51 - 100 | 35 | 20,00% |
| > 100 | 113 | 64,57% |
| Don't know | 3 | 1,71% |
| Not applicable | 7 | 4,00% |
| B2. FP7 implementation in 2012 - your views | | |
| B.2.1 FP7 Implementation 2012 - available information: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2012, the information available on FP7 calls? | | |
| 5 (= excellent) | 29 | 16,57% |
| 4 (= good) | 112 | 64,00% |
| 3 (= satisfactory) | 30 | 17,14% |
| 2 (= poor) | 3 | 1,71% |
| 1 (= very poor) | 0 | 0,00% |
| No opinion | 1 | 0,57% |
| B.2.2 FP7 Implementation 2012 - proposal evaluation procedures: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2012, the procedures for the evaluation of proposals submitted under FP7? | | |
| 5 (= excellent) | 8 | 4,57% |
| 4 (= good) | 90 | 51,43% |
| 3 (= satisfactory) | 61 | 34,86% |
| 2 (= poor) | 9 | 5,14% |
| 1 (= very poor) | 1 | 0,57% |
| No opinion | 4 | 2,29% |
| Not applicable | 2 | 1,14% |
| B.2.3 FP7 Implementation 2012 - redress procedures: Based on your own observation and the feedback received from researchers and stakeholders in your country, how would you rate, for 2012, the procedures for redress? | | |
| 5 (= excellent) | 2 | 1,14% |
| 4 (= good) | 30 | 17,14% |
| 3 (= satisfactory) | 44 | 25,14% |
| 2 (= poor) | 23 | 13,14% |
| 1 (= very poor) | 3 | 1,71% |
| No opinion | 56 | 32,00% |
| Not applicable | 17 | 9,71% |
| B.2.4 FP7 Implementation 2012 - 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 2012, the procedures for ethics reviews and screenings in FP7? | | |
| 5 (= excellent) | 17 | 9,71% |
| 4 (= good) | 57 | 32,57% |
| 3 (= satisfactory) | 35 | 20,00% |
| 2 (= poor) | 2 | 1,14% |
| 1 (= very poor) | 1 | 0,57% |
| No opinion | 52 | 29,71% |
| Not applicable | 11 | 6,29% |
| B.2.5 FP7 Implementation 2012 - grant negotiations: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2012, the handling of FP7 grant negotiations by Commission Services? | | |
| 5 (= excellent) | 8 | 4,57% |
| 4 (= good) | 96 | 54,86% |
| 3 (= satisfactory) | 49 | 28,00% |
| 2 (= poor) | 6 | 3,43% |
| 1 (= very poor) | 1 | 0,57% |
| No opinion | 13 | 7,43% |
| Not applicable | 2 | 1,14% |
| B.2.7 FP7 Implementation 2012 - dissemination of project findings: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2012, the communication and dissemination of FP7 project findings: | | |
| By project consortia: | | |
| 5 (= excellent) | 5 | 2,86% |
| 4 (= good) | 55 | 31,43% |
| 3 (= satisfactory) | 66 | 37,71% |
| 2 (= poor) | 27 | 15,43% |
| 1 (= very poor) | 1 | 0,57% |
| No opinion | 19 | 10,86% |
| Not applicable | 2 | 1,14% |

| By the European Commission Research web site on EUROPA | | |
|--|----|--------|
| 5 (= excellent) | 11 | 6,29% |
| 4 (= good) | 70 | 40,00% |
| 3 (= satisfactory) | 56 | 32,00% |
| 2 (= poor) | 15 | 8,57% |
| 1 (= very poor) | 2 | 1,14% |
| No opinion | 20 | 11,43% |
| Not applicable | 1 | 0,57% |
| By the Community Research and Development Information Service CORDIS | | |
| 5 (= excellent) | 13 | 7,43% |
| 4 (= good) | 58 | 33,14% |
| 3 (= satisfactory) | 68 | 38,86% |
| 2 (= poor) | 20 | 11,43% |
| 1 (= very poor) | 2 | 1,14% |
| No opinion | 12 | 6,86% |
| Not applicable | 2 | 1,14% |
| B.2.8 FP7 Implementation 2012 - simplification (1): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2012, the ease of the use of FP7 for the following administrative and financial aspects or procedures in absolute terms? | | |
| Finding information on FP7: | | |
| 5 (= excellent) | 40 | 22,86% |
| 4 (= good) | 90 | 51,43% |
| 3 (= satisfactory) | 36 | 20,57% |
| 2 (= poor) | 7 | 4,00% |
| 1 (= very poor) | 1 | 0,57% |
| No opinion | 1 | 0,57% |
| Not applicable | 0 | 0,00% |
| Finding information on FP7 open calls: | | |
| 5 (= excellent) | 59 | 33,71% |
| 4 (= good) | 81 | 46,29% |
| 3 (= satisfactory) | 31 | 17,71% |
| 2 (= poor) | 3 | 1,71% |
| 1 (= very poor) | 0 | 0,00% |
| No opinion | 1 | 0,57% |
| Not applicable | 0 | 0,00% |
| FP7 application procedures (proposal submission): | | |
| 4 (= good) | 92 | 52,57% |
| 3 (= satisfactory) | 61 | 34,86% |
| 2 (= poor) | 3 | 1,71% |
| 1 (= very poor) | 0 | 0,00% |
| No opinion | 2 | 1,14% |
| Not applicable | 0 | 0,00% |
| FP7 grant negotiations: | | |
| 5 (= excellent) | 4 | 2,29% |
| 4 (= good) | 71 | 40,57% |
| 3 (= satisfactory) | 76 | 43,43% |
| 2 (= poor) | 11 | 6,29% |
| 1 (= very poor) | 0 | 0,00% |
| No opinion | 10 | 5,71% |
| Not applicable | 3 | 1,71% |
| FP7 project management (in general): | | |
| 5 (= excellent) | 6 | 3,43% |
| 4 (= good) | 77 | 44,00% |
| 3 (= satisfactory) | 74 | 42,29% |
| 2 (= poor) | 7 | 4,00% |
| 1 (= very poor) | 0 | 0,00% |
| No opinion | 11 | 6,29% |
| Not applicable | 0 | 0,00% |
| FP7 project management - financial aspects and requirements: | | |
| 5 (= excellent) | 6 | 3,43% |
| 4 (= good) | 68 | 38,86% |
| 3 (= satisfactory) | 72 | 41,14% |
| 2 (= poor) | 17 | 9,71% |
| 1 (= very poor) | 2 | 1,14% |
| No opinion | 10 | 5,71% |
| Not applicable | 0 | 0,00% |
| FP7 project reporting and project reviews: | | |
| 5 (= excellent) | 5 | 2,86% |

| | | |
|---|----|--------|
| 4 (= good) | 66 | 37,71% |
| 3 (= satisfactory) | 83 | 47,43% |
| 2 (= poor) | 9 | 5,14% |
| 1 (= very poor) | 1 | 0,57% |
| No opinion | 10 | 5,71% |
| Not applicable | 1 | 0,57% |
| FP7 IT tools (e.g. NEF): | | |
| 5 (= excellent) | 14 | 8,00% |
| 4 (= good) | 58 | 33,14% |
| 3 (= satisfactory) | 66 | 37,71% |
| 2 (= poor) | 14 | 8,00% |
| 1 (= very poor) | 3 | 1,71% |
| No opinion | 17 | 9,71% |
| Not applicable | 3 | 1,71% |
| Communication with Commission Services (e.g. Project Officer, Financial Officer): | | |
| 5 (= excellent) | 24 | 13,71% |
| 4 (= good) | 64 | 36,57% |
| 3 (= satisfactory) | 64 | 36,57% |
| 2 (= poor) | 7 | 4,00% |
| 1 (= very poor) | 1 | 0,57% |
| No opinion | 12 | 6,86% |
| Not applicable | 3 | 1,71% |
| B.2.9 FP7 Simplification (2): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2012, the effectiveness of the following FP7 simplification measures? | | |
| Certification of costs (fewer audit certificates) | | |
| 5 (= very high) | 13 | 7,43% |
| 4 (= high) | 85 | 48,57% |
| 3 (= average) | 34 | 19,43% |
| 2 (= low) | 7 | 4,00% |
| 1 (= very low) | 2 | 1,14% |
| No opinion | 34 | 19,43% |
| Participants Guarantee Fund (fewer ex-ante financial checks) | | |
| 5 (= very high) | 16 | 9,14% |
| 4 (= high) | 65 | 37,14% |
| 3 (= average) | 37 | 21,14% |
| 2 (= low) | 6 | 3,43% |
| 1 (= very low) | 0 | 0,00% |
| No opinion | 51 | 29,14% |
| Unique Registration Facility (URF) | | |
| 5 (= very high) | 30 | 17,14% |
| 4 (= high) | 76 | 43,43% |
| 3 (= average) | 36 | 20,57% |
| 2 (= low) | 4 | 2,29% |
| 1 (= very low) | 1 | 0,57% |
| No opinion | 28 | 16,00% |
| Certification of methodology | | |
| 5 (= very high) | 8 | 4,57% |
| 4 (= high) | 37 | 21,14% |
| 3 (= average) | 48 | 27,43% |
| 2 (= low) | 9 | 5,14% |
| 1 (= very low) | 9 | 5,14% |
| No opinion | 64 | 36,57% |
| Web-based electronic system for negotiations (NEF) | | |
| 5 (= very high) | 19 | 10,86% |
| 4 (= high) | 71 | 40,57% |
| 3 (= average) | 46 | 26,29% |
| 2 (= low) | 4 | 2,29% |
| 1 (= very low) | 3 | 1,71% |
| No opinion | 32 | 18,29% |
| Project reporting - streamlined guidelines and structure of reports | | |
| 5 (= very high) | 20 | 11,43% |
| 4 (= high) | 70 | 40,00% |
| 3 (= average) | 55 | 31,43% |
| 2 (= low) | 5 | 2,86% |
| 1 (= very low) | 1 | 0,57% |
| No opinion | 24 | 13,71% |
| Grant amendments - streamlined rules and procedures | | |

| | | |
|--|----|--------|
| 5 (= very high) | 14 | 8,00% |
| 4 (= high) | 61 | 34,86% |
| 3 (= average) | 50 | 28,57% |
| 2 (= low) | 9 | 5,14% |
| 1 (= very low) | 0 | 0,00% |
| No opinion | 41 | 23,43% |
| Research Participant Portal | | |
| 5 (= very high) | 36 | 20,57% |
| 4 (= high) | 79 | 45,14% |
| 3 (= average) | 47 | 26,86% |
| 2 (= low) | 1 | 0,57% |
| 1 (= very low) | 2 | 1,14% |
| No opinion | 10 | 5,71% |
| Simplification of recovery process (flat rate corrections) | | |
| 5 (= very high) | 15 | 8,57% |
| 4 (= high) | 46 | 26,29% |
| 3 (= average) | 34 | 19,43% |
| 2 (= low) | 6 | 3,43% |
| 1 (= very low) | 1 | 0,57% |
| No opinion | 73 | 41,71% |
| Wider acceptance of average personnel costs | | |
| 5 (= very high) | 23 | 13,14% |
| 4 (= high) | 61 | 34,86% |
| 3 (= average) | 36 | 20,57% |
| 2 (= low) | 9 | 5,14% |
| 1 (= very low) | 4 | 2,29% |
| No opinion | 42 | 24,00% |
| Flat rate system for SME owners and natural persons without salary | | |
| 5 (= very high) | 26 | 14,86% |
| 4 (= high) | 67 | 38,29% |
| 3 (= average) | 25 | 14,29% |
| 2 (= low) | 0 | 0,00% |
| 1 (= very low) | 2 | 1,14% |
| No opinion | 55 | 31,43% |
| B.3 FP7 Implementation in 2012 - General Aspects | | |
| B.3.1 Role of FP7 in global context : Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that FP7 ... | | |
| ... comprises an effective balance between academic, industrial (including SMEs), and research organisation sectors? | | |
| 5 (= strongly agree) | 19 | 10,86% |
| 4 (= agree) | 75 | 42,86% |
| 3 (= average) | 53 | 30,29% |
| 2 (= disagree) | 19 | 10,86% |
| 1 (= strongly disagree) | 2 | 1,14% |
| No opinion | 3 | 1,71% |
| ... adequately stimulates the participation of industry? | | |
| 5 (= strongly agree) | 12 | 6,86% |
| 4 (= agree) | 63 | 36,00% |
| 3 (= average) | 68 | 38,86% |
| 2 (= disagree) | 17 | 9,71% |
| 1 (= strongly disagree) | 4 | 2,29% |
| No opinion | 7 | 4,00% |
| ... adequately stimulates the participation of women? | | |
| 5 (= strongly agree) | 18 | 10,29% |
| 4 (= agree) | 64 | 36,57% |
| 3 (= average) | 51 | 29,14% |
| 2 (= disagree) | 17 | 9,71% |
| 1 (= strongly disagree) | 3 | 1,71% |
| No opinion | 16 | 9,14% |
| ... adequately stimulates the participation of young researchers? | | |
| 5 (= strongly agree) | 18 | 10,29% |
| 4 (= agree) | 54 | 30,86% |
| 3 (= average) | 63 | 36,00% |
| 2 (= disagree) | 18 | 10,29% |
| 1 (= strongly disagree) | 4 | 2,29% |
| No opinion | 14 | 8,00% |
| ... provides sufficient opportunity for the wide participation of all Member States? | | |
| 5 (= strongly agree) | 21 | 12,00% |

| | | |
|--|----|--------|
| 4 (= agree) | 69 | 39,43% |
| 3 (= average) | 37 | 21,14% |
| 2 (= disagree) | 28 | 16,00% |
| 1 (= strongly disagree) | 9 | 5,14% |
| No opinion | 6 | 3,43% |
| ... provides sufficient opportunity for international STI cooperation? | | |
| 5 (= strongly agree) | 22 | 12,57% |
| 4 (= agree) | 79 | 45,14% |
| 3 (= average) | 47 | 26,86% |
| 2 (= disagree) | 6 | 3,43% |
| 1 (= strongly disagree) | 1 | 0,57% |
| No opinion | 13 | 7,43% |
| C. EUROPEAN RESEARCH AREA (ERA) | | |
| C.1. Based on your own observations and inputs received from researchers and stakeholders in your country, how would you rate the urgency of promoting policy action in the following ERA priorities? | | |
| Optimal levels of transnational co-operation and competition | | |
| Very urgent | 25 | 14,29% |
| Urgent | 89 | 50,86% |
| Not urgent | 23 | 13,14% |
| No opinion | 16 | 9,14% |
| A more open labour market for researchers | | |
| Very urgent | 55 | 31,43% |
| Urgent | 73 | 41,71% |
| Not urgent | 16 | 9,14% |
| No opinion | 10 | 5,71% |
| Gender equality and gender mainstreaming in research | | |
| Very urgent | 24 | 13,71% |
| Urgent | 50 | 28,57% |
| Not urgent | 60 | 34,29% |
| No opinion | 19 | 10,86% |
| Optimal circulation and transfer of scientific knowledge, including through digital ERA | | |
| Very urgent | 51 | 29,14% |
| Urgent | 77 | 44,00% |
| Not urgent | 17 | 9,71% |
| No opinion | 7 | 4,00% |
| No opinion | 7 | 4,00% |

ANNEX D: GLOSSARY

| | |
|--------------|--|
| AAL | – Ambient Assisted Living Joint Programme |
| AC | – Associated Countries |
| AdG | – ERC Advanced Grants |
| AENEAS | – Association for European Nanoelectronics Activities |
| AER | – Annual Evaluation Review |
| AIP | – Annual Implementation Plan |
| ARTEMIS | – Embedded Computing Systems Joint Technology Initiative |
| ARTEMIS-ETP | – ARTEMIS European Technology Platform |
| ARTEMIS-ITEA | – ARTEMIS Information Technology for European Advancement |
| BILATs | – Projects supporting the coordination for the enhancement and development of S&T Partnerships |
| BONUS | – Joint Baltic Sea Research and Development Programme |
| BSG | – Research for the Benefit of Specific Groups |
| CATRENE | – Cluster for Application and Technology Research in Europe on NanoElectronics |
| CDT | – Central Design Team |
| Clean Sky | – Aeronautics and Air Transport Joint Technology Initiative |
| COFUND | – Marie Curie Co-funding of Regional, National and International Programmes |
| CORDA | – Common Research Data Warehouse |
| E-CORDA | – CORDA External |
| CORDIS | – Community Research and Development Information Service for Science |
| CP | – Collaborative Project |
| CP/CP-CSA | – Combination of Collaborative Project & Coordination and Support Action |
| CPM | – Contract and Project Management |
| CS-JU | – Clean Sky (Joint Undertaking) |
| CSA | – Coordination and Support Action |
| DG CONNECT | – Directorate General for Communications Networks, Content & Technology. |
| DG EAC | – Directorate-General for Education and Culture |
| DG ENTR | – Directorate-General for Enterprise and Industry |
| DG RTD | – Directorate-General for Research & Innovation |
| DIGIT | – Directorate-General for Informatics |
| DIS | – Dedicated Implementation Structure |
| EC | – European Commission |
| ECSEL | – Electronic Components and Systems for European Leadership |
| EDCTP | – Article 185 initiative for European and Developing Countries Clinical Trials Partnership |
| EFDA | – European Fusion Development Agreement |
| EFPIA | – European Federation of Pharmaceutical Industries and Associations |
| EIB | – European Investment Bank |
| EID | – European Industrial Doctorates |
| EMRP | – European Metrology Joint Research Programme |
| ENIAC | – Nanoelectronics Technologies 2020 Joint Technology Initiative |

| | |
|---------------|--|
| ENV | – Environment (including Climate Change) |
| EPO | – European Patent Office |
| EPSS | – Electronic Proposal Submission System |
| ERA | – European Research Area |
| ERAB | – European Research Area Board |
| ERA-NETs plus | – European Research Area Networks |
| ERC | – European Research Council |
| ERCEA | – European Research Council Executive Agency |
| ESFRI | – European Strategy Forum on Research Infrastructures |
| ESR | – Evaluation Summary Report |
| EU SDS | – EU renewed Sustainable Development Strategy |
| EURAB | – European Advisory Board |
| EURAXESS | – Researchers in Motion |
| EUROSTARS | – European Joint Programme dedicated to the R&D performing SMEs |
| EUROSTAT | – The Statistical Office of the European Union |
| F4E | – Fusion for Energy European Joint Undertaking |
| FCH | – Fuel Cells and Hydrogen Joint Technology Initiative |
| FET | – Future & Emerging Technologies |
| FP | – Framework Programme for Research and Technological Development |
| FPP | – Full Project Proposals |
| FTB | – Flying Test Bed |
| GISCO | – Geographic Information System of European Commission |
| HES | – Higher or Secondary Education Organisation |
| IAPP | – Marie Curie Industry-Academia Pathways and Partnerships |
| ICT | – Information and Communication Technologies |
| IGD-TP | – Implementing Geological Disposal Technology Platform |
| IIF | – International Incoming Fellowships |
| IMI | – Innovative Medicines Initiative Joint Technology Initiative |
| INCO | – Activities of International Cooperation |
| INCO-NETS | – Activities of International Cooperation - Networks |
| INFRA | – Research Infrastructures |
| IPR | – Intellectual Property Rights |
| ITD | – Integrated Technology Demonstrator |
| ITER | – International Thermonuclear Experimental Reactor |
| ITN | – Marie Curie Initial Training Networks |
| JET | – Joint European Torus |
| JRC | – Joint Research Centre |
| JTI | – Joint Technology Initiative |
| JU | – Joint Undertaking |
| KBBE | – Knowledge Based Bio-Economy |
| KET | – Key Enabling Technology |
| KPI | – Key Performance Indicator |
| LS | – Life Sciences |

| | |
|----------|---|
| MASP | – Multi-Annual Strategic Plan |
| MCA | – Marie Curie Action |
| MSCA | – Marie Skłodowska-Curie Action |
| MP | – Management Plan |
| MYRRHA | – A fast spectrum irradiation facility within ESFRI |
| NCP | – National Contact Point |
| NEF | – Negotiation Form Facility |
| NERIS-TP | – Nuclear and Radiological Emergency Response and Recovery |
| NMP | – Nanosciences, Nanotechnologies, Materials and new Production Technologies |
| NoE | – Network of Excellence |
| NUSHARE | – Project for Sharing & Growing Nuclear Safety |
| NUTS | – Nomenclature of Units for Territorial Statistics |
| OTH | – Other |
| PIC | – Participant Identification Code |
| PPP | – Public Private Partnership |
| PRC | – Private for Profit Organisation |
| PoC | – Proof of Concept |
| PUB | – Public Body |
| R&D | – Research and Development |
| REA | – Research Executive Agency |
| REC | – Research Organisation |
| RESPIR | – SESAM Research Performance and Impact Reporting tool |
| RSFF | – Risk Sharing Financial Facility |
| RSI | – Risk Sharing Instrument |
| SESAR-JU | – Single European Sky ATM Research programme |
| S&T | – Science and Technology |
| SET-Plan | – Strategy Energy Technology Plan |
| SFIC | – Strategic Forum for International Cooperation |
| SIS | – Science in Society |
| SCK-CEN | – Belgian Nuclear Research Centre |
| SJR | – Journal Rank Indicator |
| SLA | – Service Level Agreement |
| SME | – Small and Medium Enterprise |
| SNETP | – Sustainable Nuclear Energy Technology Platform |
| SRA | – Strategic Research Agenda |
| SRIA | – Strategic Research & Innovation Agenda |
| SSH | – Socio-economic Sciences and Humanities |
| StG | – ERC Starting Grants |
| SWG | – Simplification Working Group |
| TFEU | – Treaty on the Functioning of the European Union |
| TTG | – Time-to-grant |
| TTP | – Time-to-pay |
| URF | – Unique Registration Facility |

ANNEX E: KEY REFERENCES

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