

STATISTICAL OVERVIEW OF FP7 IMPLEMENTATION IN 2009

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0 Introduction

The legislative basis for FP7 states that "the overriding aim of the Seventh Framework Programme is to contribute to the Union becoming the world's leading research area. This requires the Framework Programme to be strongly focused on promoting and investing in world-class state-of-the-art research, based primarily upon the principle of excellence in research [...] The objectives [...] should be chosen with a view to building upon the achievements of the Sixth Framework Programme towards the creation of the European Research Area and carrying them further towards the development of a knowledge-based economy and society in Europe which will meet the goals of the Lisbon strategy in Community policies."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. JRC 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 thematic priorities such as health, energy, transport etc.
- § The specific programme *Ideas* provides project funding for individuals and their teams engaged in frontier research. This programme is managed by the European Research Council (ERC).
- § The specific programme *People* funds actions to improve the training, career development, and mobility of researchers between sectors and countries world wide. It is managed under the Marie Curie programme.
- § The specific programme *Capacities* funds actions that are designed to improve Europe's research infrastructure and the research capacity of SMEs. It also hosts smaller programmes relating to *Science in Society*, *Regions of Knowledge*, *Research Potential*, *International Cooperation*, and the *Coherent Development of Research Policies*.

This structure of FP7 is illustrated in table 1. 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.²

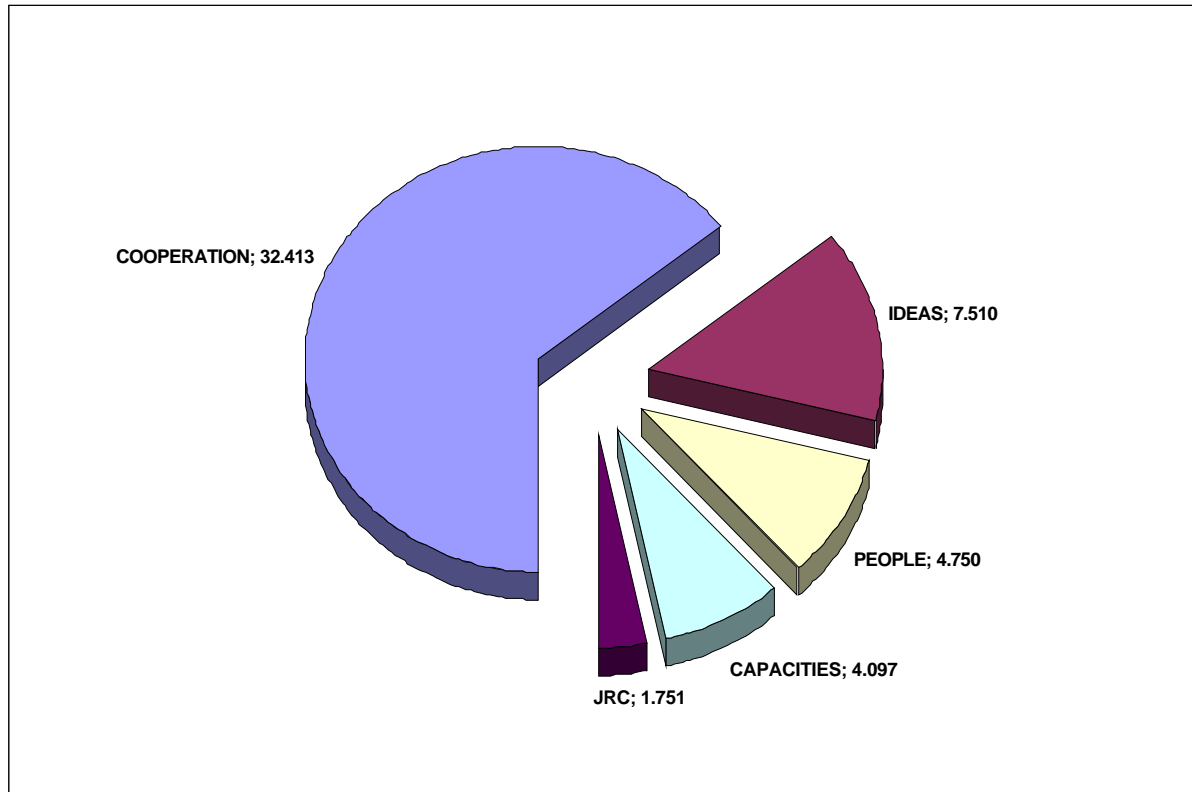
¹ Decision No 1982/2006/EC of the European Parliament and of the Council of 18 December 2006 concerning the Seventh Framework Programme of the European Community for research, technological development and demonstration activities (2007-2013).

² http://ec.europa.eu/research/reports/2009/pdf/first_fp7_monitoring_en.pdf#view=fit&pagemode=none

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

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

Figure 1: FP7 budget breakdown in € million.*



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

1 Participation patterns

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

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

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

This report is based on statistical data on calls for proposals with closure dates in 2007, 2008 and 2009, which have been concluded by April 2010. The reported numbers of concluded calls are not final, especially for the last year, and are likely to rise in the course of FP7 as more calls are concluded and recorded in the CORDA database. For this reason the reported statistical data for past years are always retrospectively updated in subsequent Monitoring Reports; this is also applied in this report to the data for 2007 and 2008, which have been

updated according to the latest available information. It is, therefore, important to keep in mind the preliminary nature of the 2009 data included in this report, as later updates are likely to affect the analysis.

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

Box 1: Data issues and methodology

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

In FP7 the problem of the existence of multiple entries on participants is addressed by the introduction of a 'Unique Registration Facility' (URF) for participants.

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

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

The following limitations in the availability of financial data in "Ideas" and "People" proposals need to be carefully considered when drawing conclusions on the basis of reported statistics: Applicants' data in proposals submitted under the Ideas (ERC) and People (Marie Curie Actions) specific programmes generally refer to hosting organisations rather than to individual applicants. In proposals submitted under Ideas no activity types are specified for the hosting organisations. In proposals submitted under People data on total cost and requested EC contribution are generally not provided; the only exception is a limited number of People related calls for proposals for Coordination and Support Actions (CSA), which contain data on total cost and requested EC contribution both at proposal and applicant level.

1.1 Overall participation

1.1.1 Calls, proposals, applicants and corresponding success rates

The 54 calls for proposals with call closure date in 2009 recorded in CORDA by April 2010 attracted in total 13.654 applications for funding. The large majority of the 2009 applications (12.800) was submitted to 47 one-stage calls (see also table A1 in annex A).

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

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

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

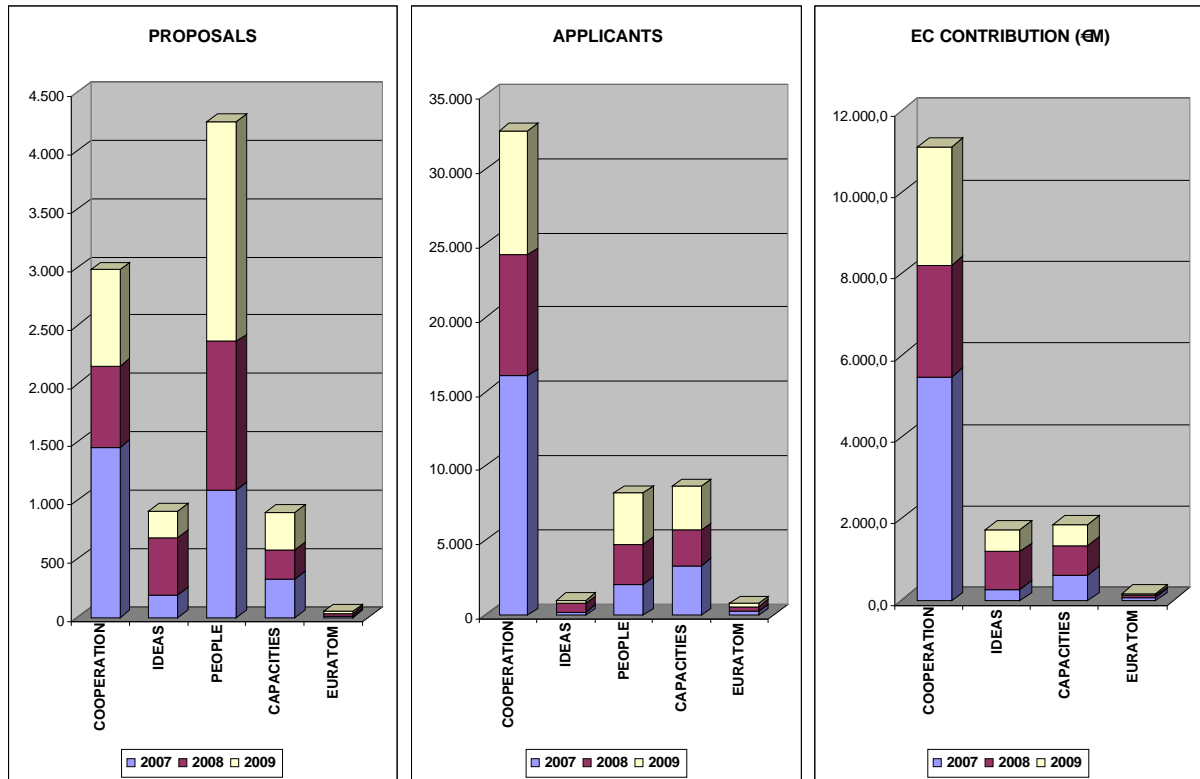
1.1.2 Project costs, requested contributions and corresponding success rates

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

The aggregate project cost of the retained proposals from 2007 to 2009 is €20,6 billion and the corresponding Community financial contribution is € 14,9 billion with a corresponding average success rate of 20%.

For more detailed statistics on the numbers of included and retained proposals, applicants, budgets and the corresponding success rates see also figure 2 below as well as table A2 in annex A.

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



1.1.2.1 Specific programme Cooperation

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

The aggregate figures for FP7 subscription and participation under *Cooperation* in 2009 in terms of numbers of proposals, applicants and amounts of budgets as recorded in *CORDA* at the time of data extraction (April 2010) are higher (and expected to become even higher) than those in 2008, both in terms of included and retained proposals, while success rates are comparable to those in past years (see table A2 in annex A).

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

1.1.2.2 Specific programme People (Marie Curie Actions)

In 2009 Marie Curie Actions received 5.282 included and 1.889 retained proposals (or 41,1% and 57,5% of the total respectively) with 13,3% and 22,6% of all applicants respectively.

The success rates were 35,8% at the level of proposals and 41,5% at the level of applicants – significantly higher than in previous years (see figure 4).

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

1.1.2.3 Specific programme Ideas (European Research Council)

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

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

1.1.2.4 Specific programme Capacities

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

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

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

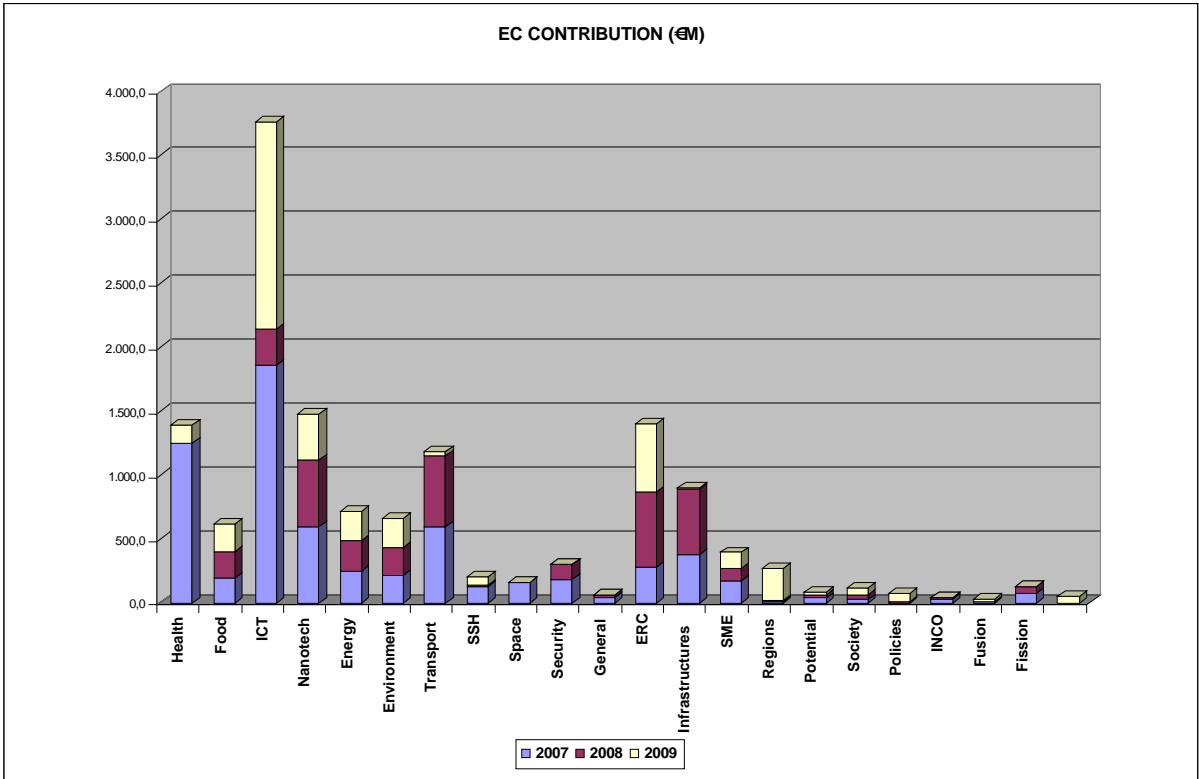
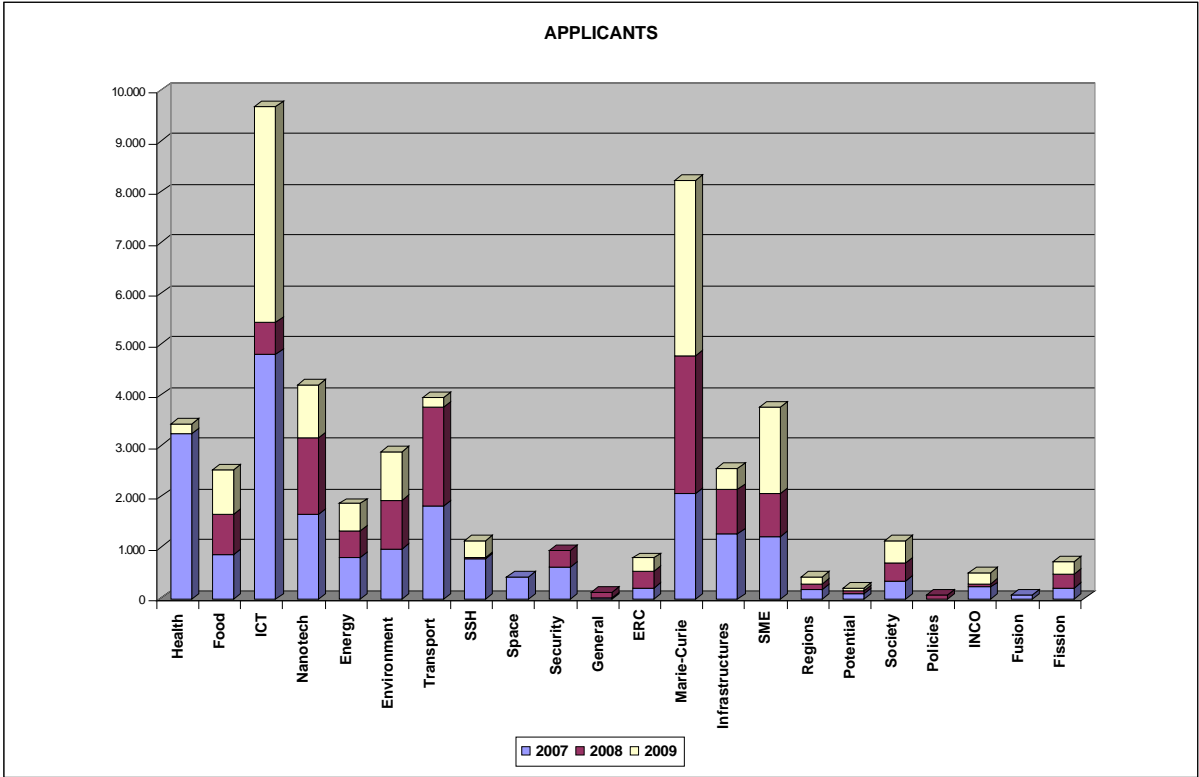
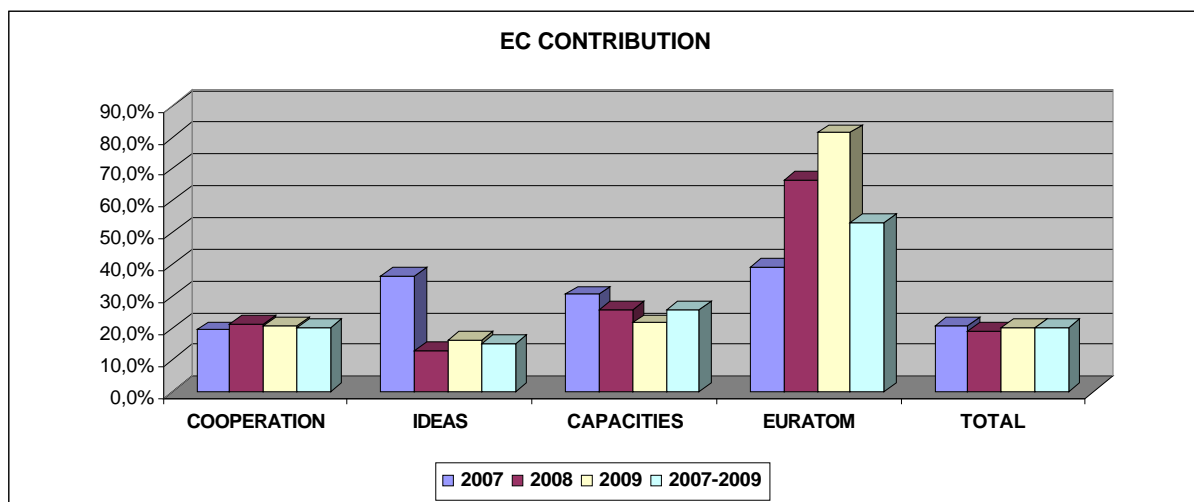
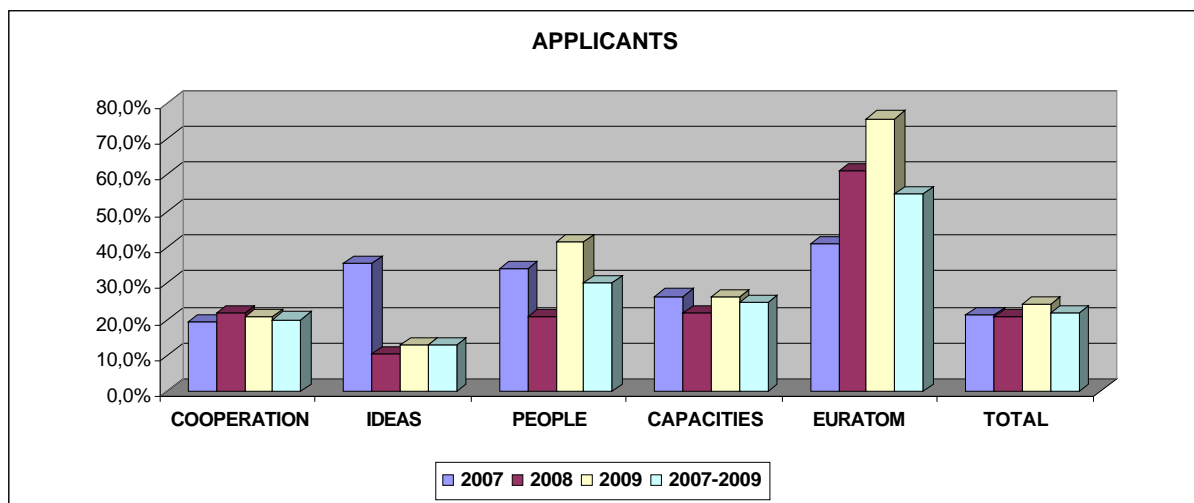
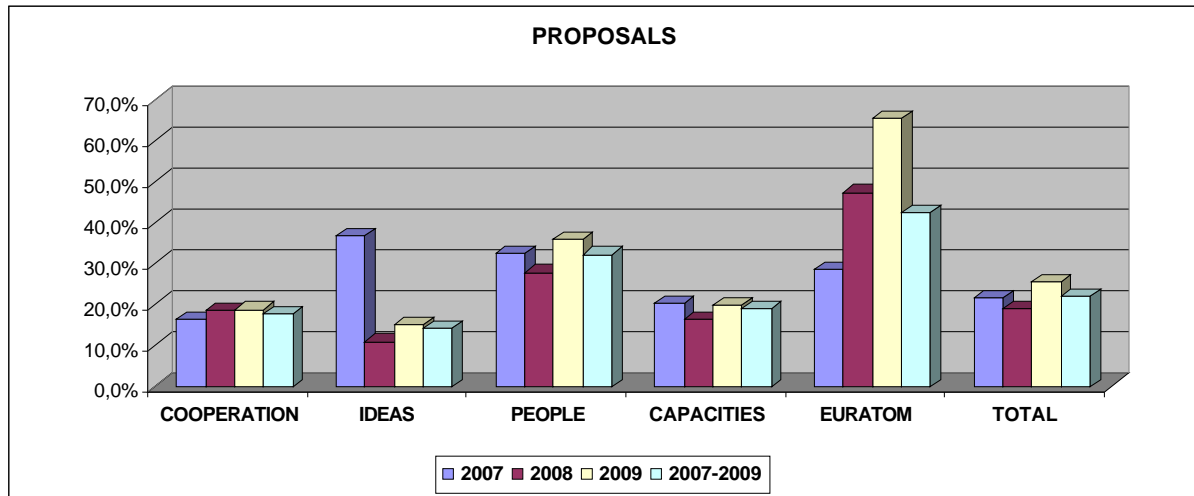


Figure 4: Success rates in proposals, applicants and requested Community financial contribution for FP7 calls concluded in 2007, 2008 and 2009 by specific programme.

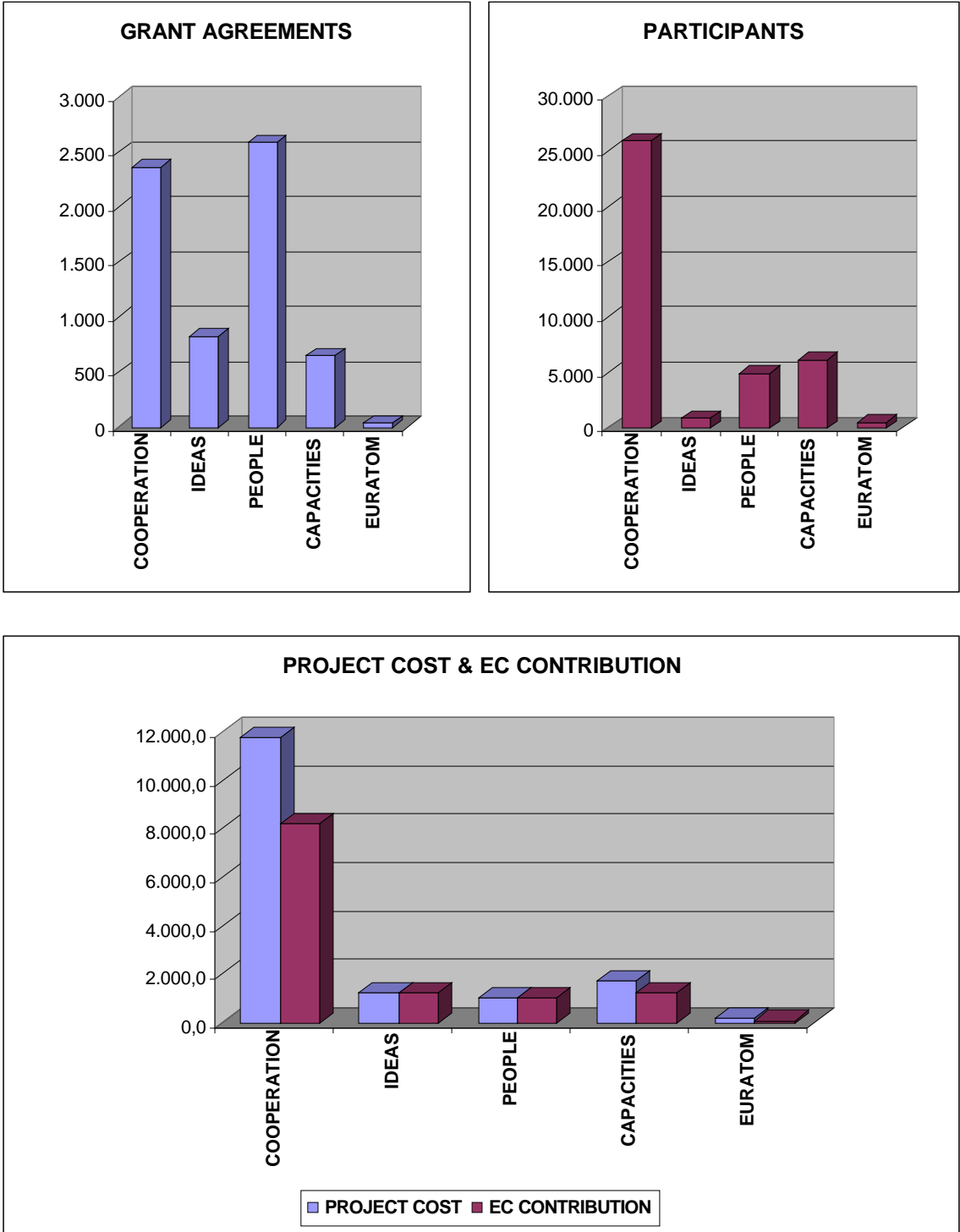


1.1.3 Signed grant agreements

As it is explained in the introductory paragraph of this section, given the volatile picture of the statistics on grant agreements due the continuous update of the database, it is deemed more informative to examine the cumulative situation, as presented in figure 5 (see also table A4 in annex A).

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

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



1.2 Participation by funding scheme

Data on FP7 participation are conventionally aggregated in the CORDA database according to the following groups of funding schemes:³

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

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

³ It should be noted that this conventional grouping is slightly different from that followed in the previous years in that ERC related actions are grouped now together with MC and BSG actions.

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

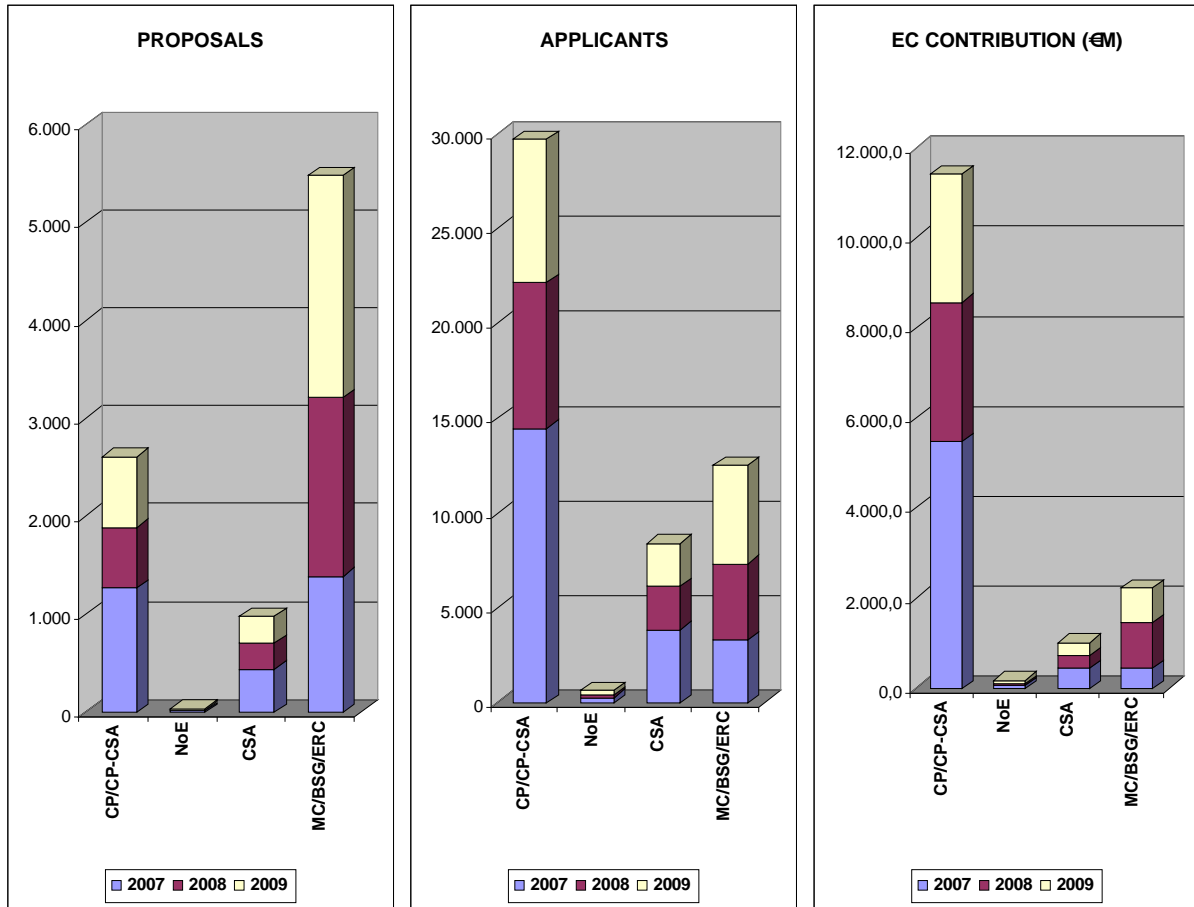
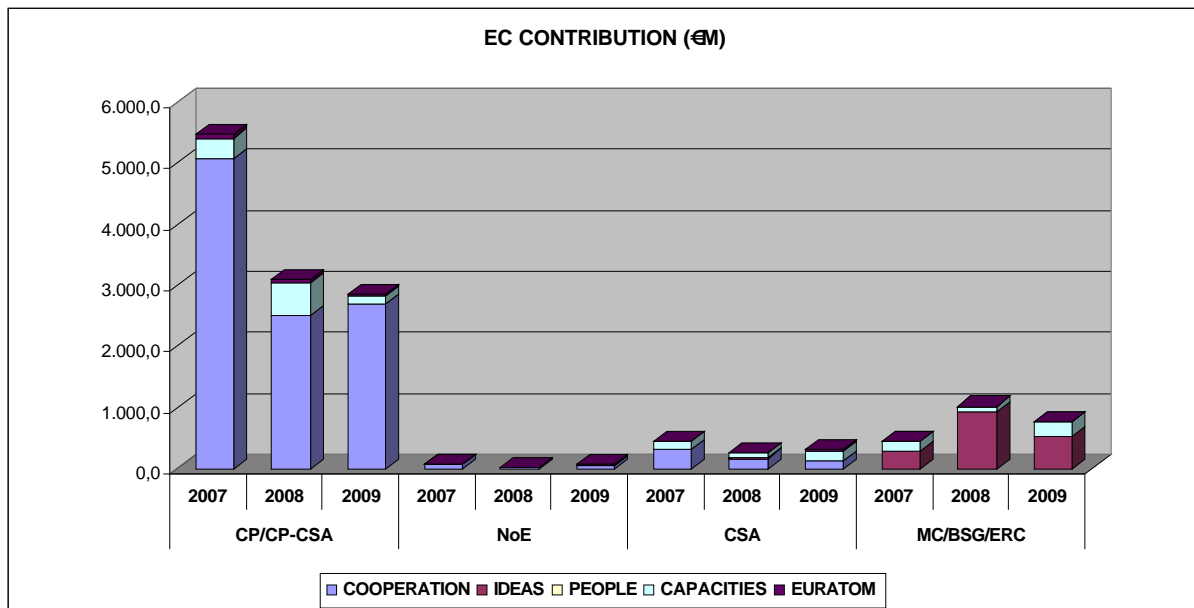
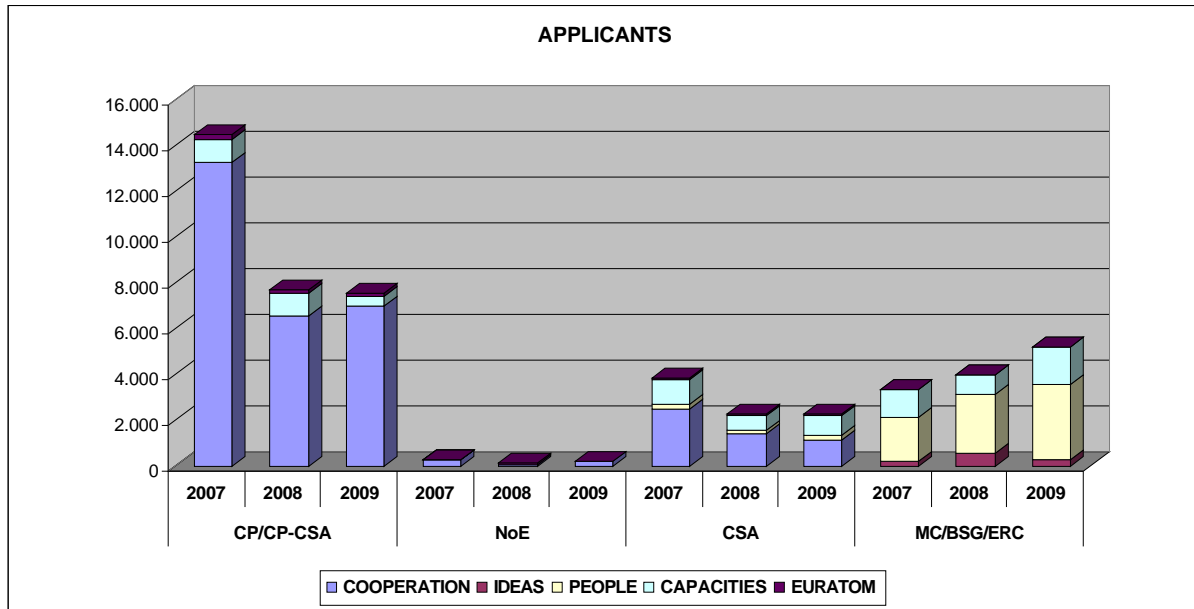


Figure 7 presents a breakdown of the numbers of applicants and amounts of requested Community contribution (in € million) in retained proposals in 2007, 2008 and 2009 by specific programme and funding scheme.

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



1.3 Participation by type of organisation

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

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

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

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

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

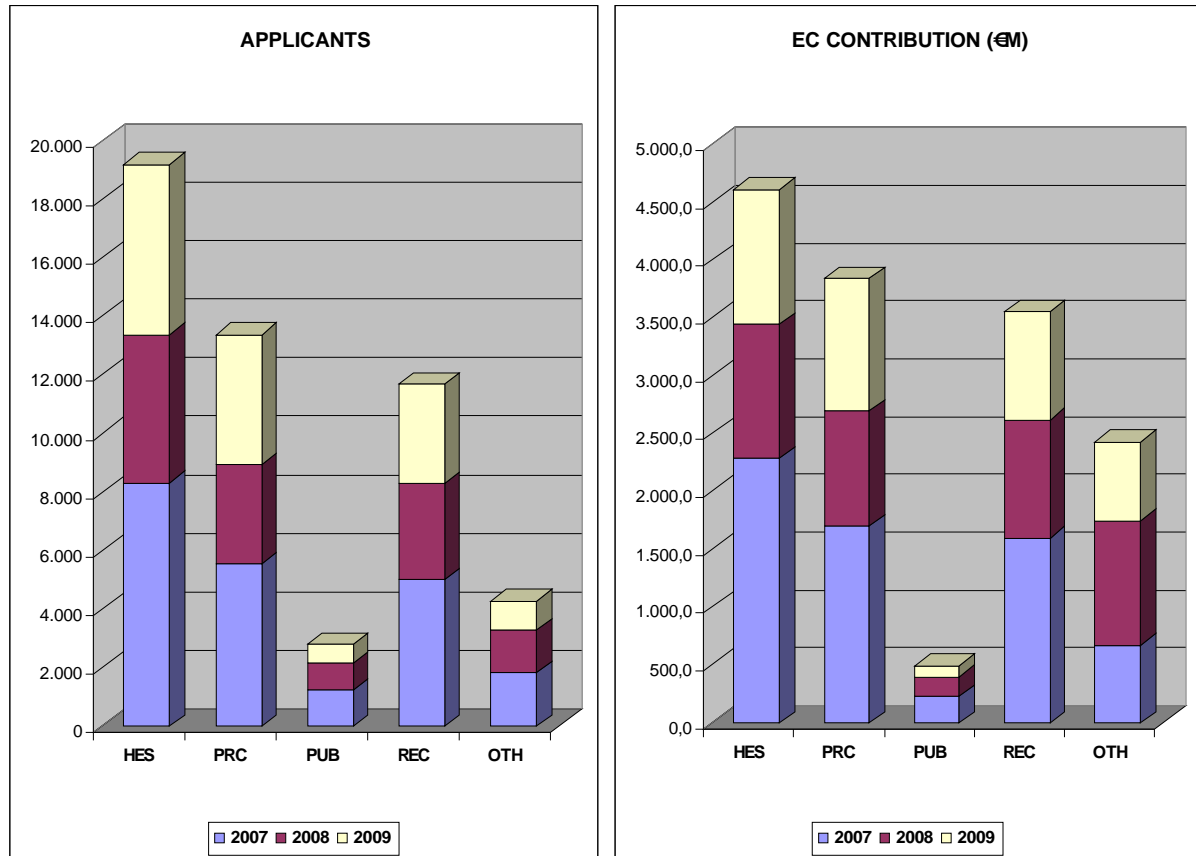


Figure 9 presents a breakdown by type of organisation and by specific programme of the numbers of applicants and amounts of requested Community contribution (in € million) in retained proposals in 2007, 2008 and 2009.

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

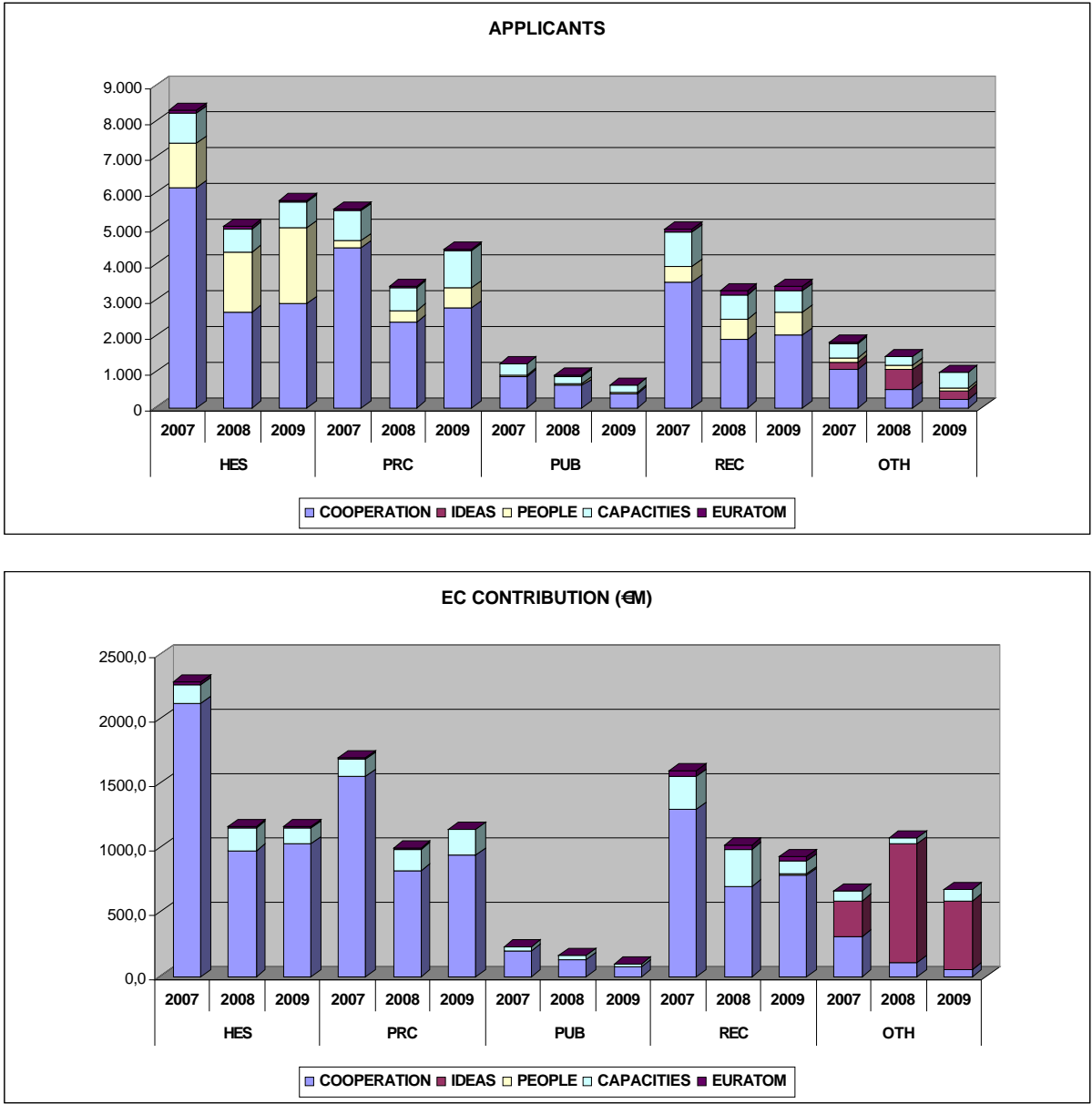
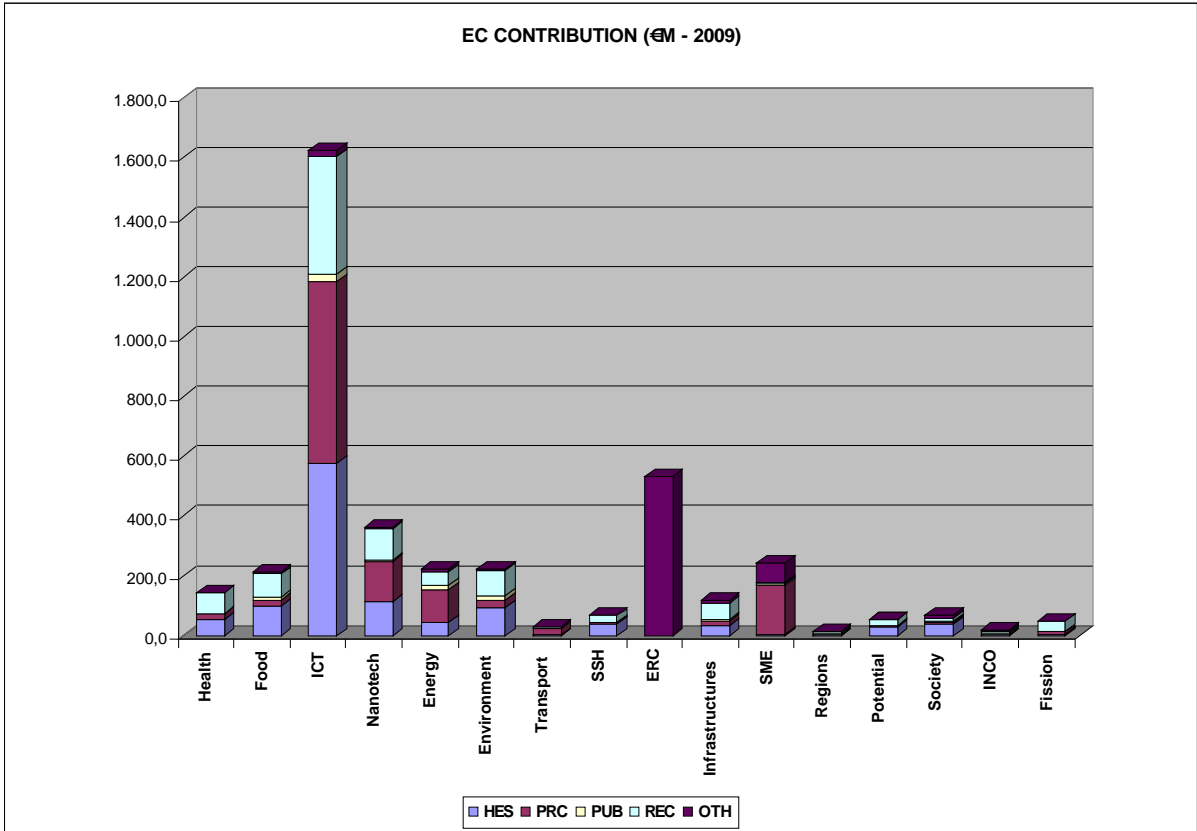
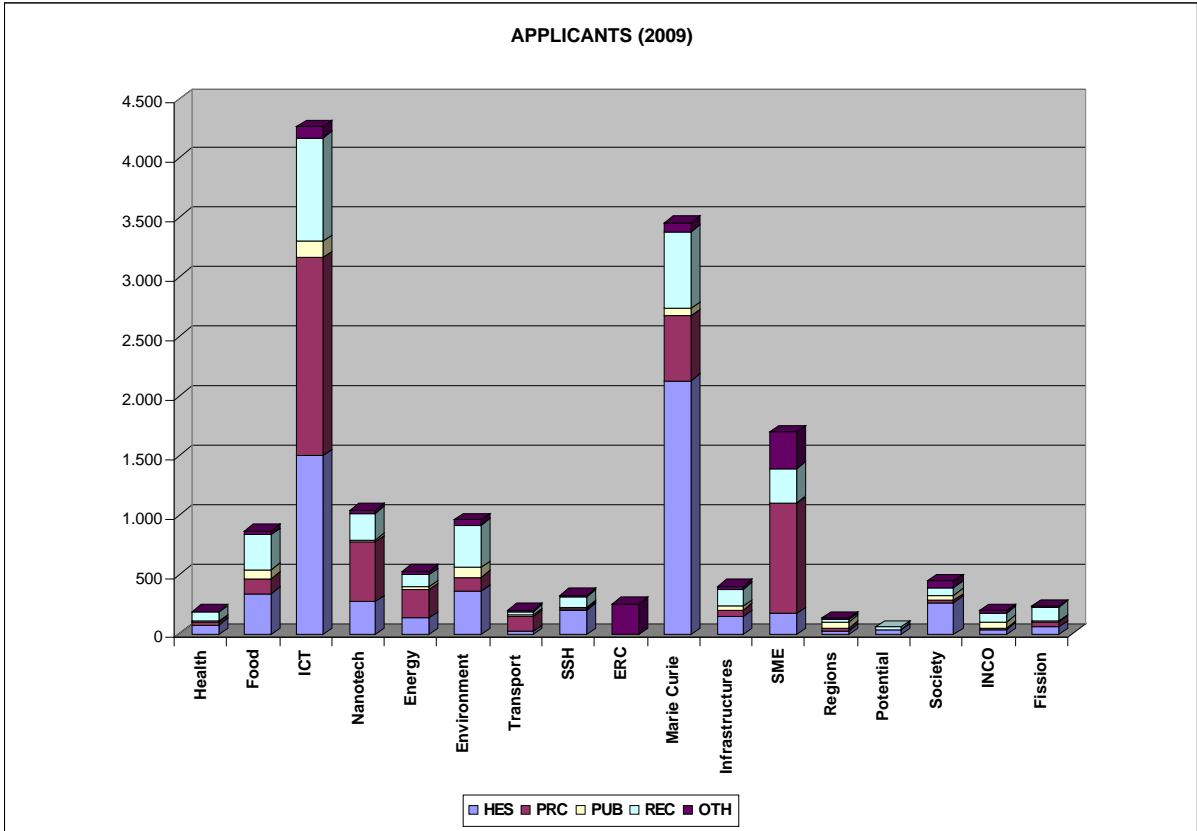


Figure 10 shows the breakdown by type of organisation and by thematic area of the numbers of applicants and amounts of requested Community contribution (in € million) in retained proposals in 2009.

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



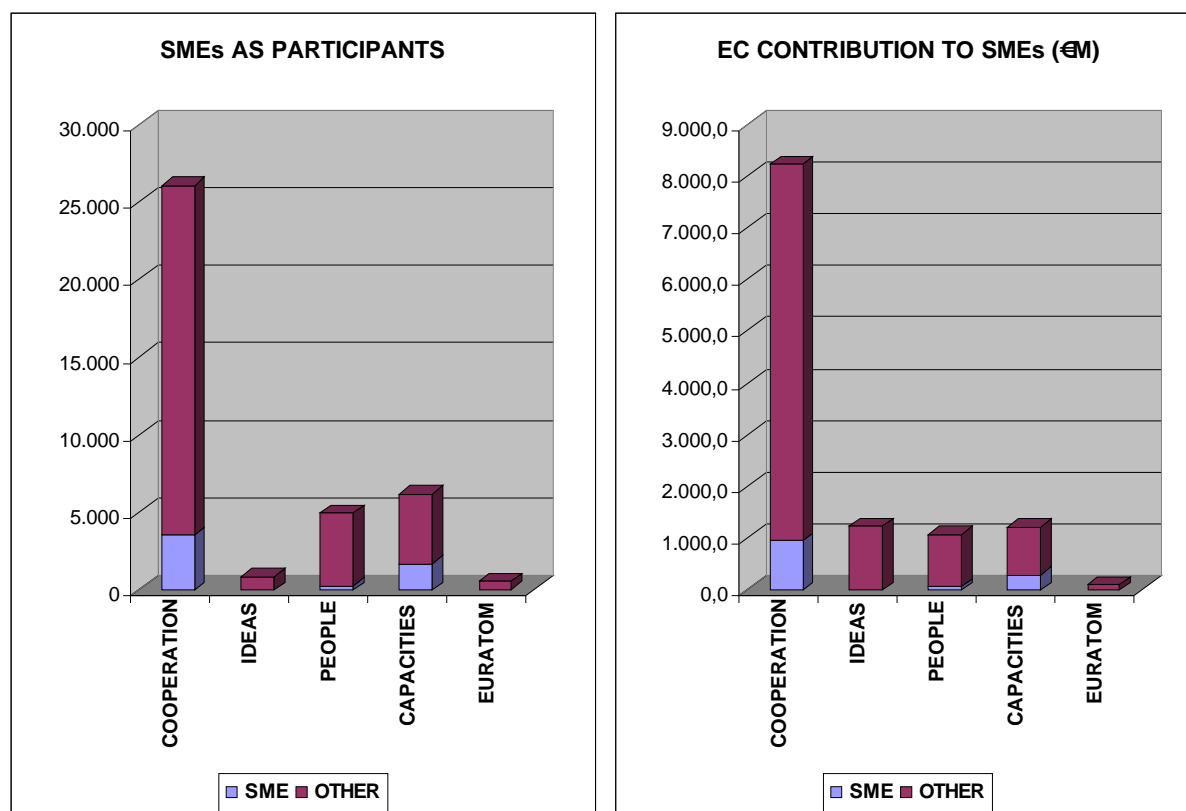
1.3.1.1 SME participation

Due to the well-known limitations of the statistical data on SMEs in submitted, included and retained proposals, the figures provided in this report are drawn from data on signed grant agreements corresponding to concluded calls with call closure date from 2007 to 2009 as recorded in CORDA at the time of the last data extraction in April 2010.

During the first three years of FP7 implementation SMEs represented 14,5% of all participants in signed grant agreements, and their share of total project costs and requested Community contribution was 11% (€ 1,8 billion) and 11,3% (€ 1,3 billion) respectively. SMEs represent 13,7% of participants and receive 11,7% of Community funding in the specific programme Cooperation (see figure 11 below and table A5 in annex A).

About two thirds (63,6%) of all SMEs that participate in signed grant agreements are under the specific programme Cooperation, and more than a quarter (27,4%) of them under the specific programme Capacities. Their presence in the specific programmes Ideas, People and Euratom is negligible.

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



1.4 Participation by country

The Framework Programme by conception is a collaborative programme with global outreach open to all researchers and research organisations irrespective of their country of origin. During its first three years of implementation FP7 has attained unprecedented levels of international participation by involving researchers in retained proposals from as many as 162 countries from all continents.

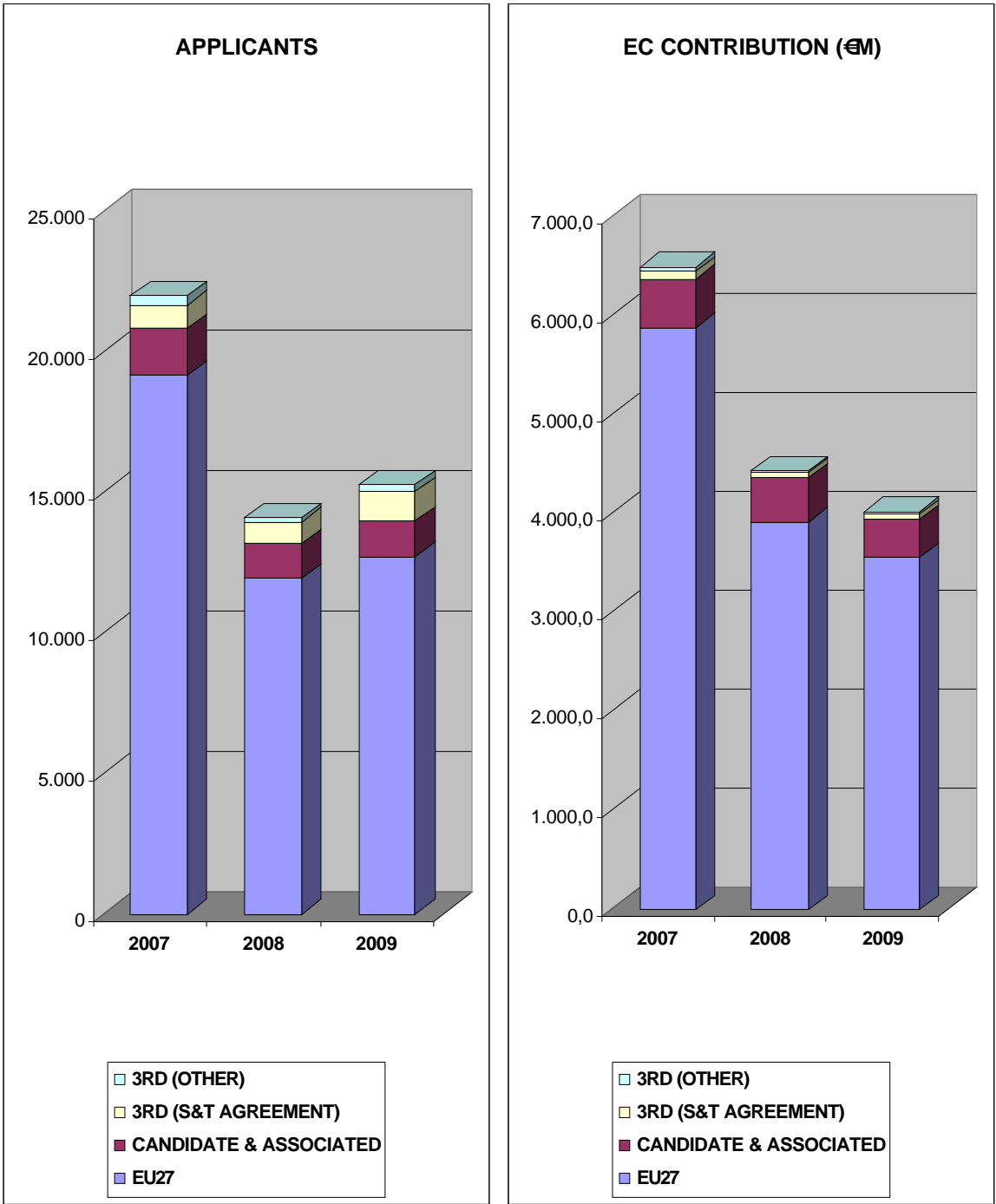
For analytical and comparative purposes participating countries are conventionally grouped in this section in four groups, namely EU member states, candidate and associated countries,

third countries with S&T agreements, and other third countries. It should be emphasised that these groups are largely heterogeneous in terms of the socio-economic characteristics and the scientific and technological capacities of their members, as well as in terms of their FP7 participation levels and performance.

For detailed statistical figures on participation by country or group of countries see table B3 in annex A.

Figure 12 shows the shares of applicants and of requested Community financial contribution of each of the above groups of countries.

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



1.4.1 EU member states

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

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

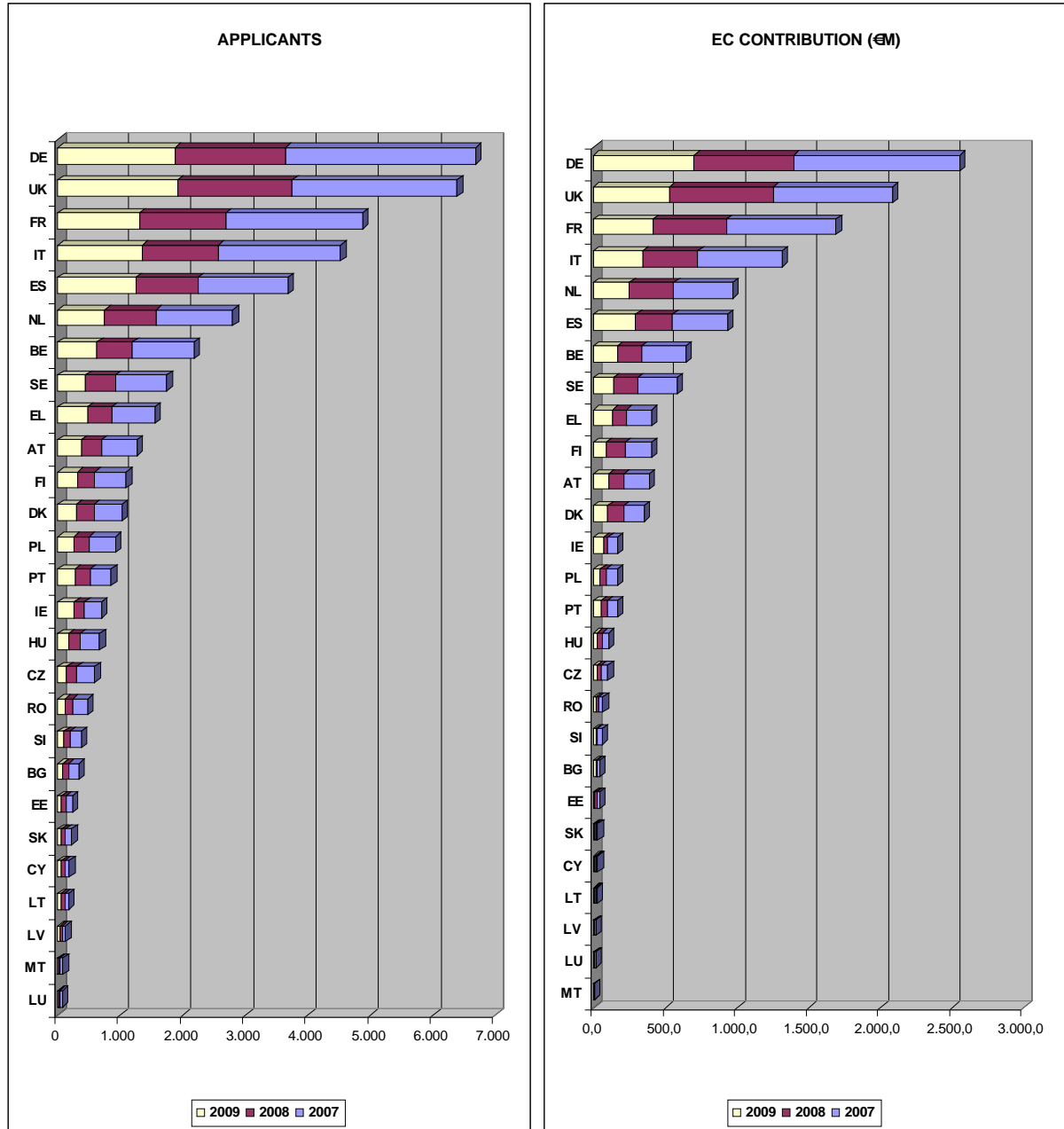


Figure 14: Success rates of EU27 applicants and requested Community financial contribution for FP7 calls concluded in 2007, 2008 and 2009 by EU member state.

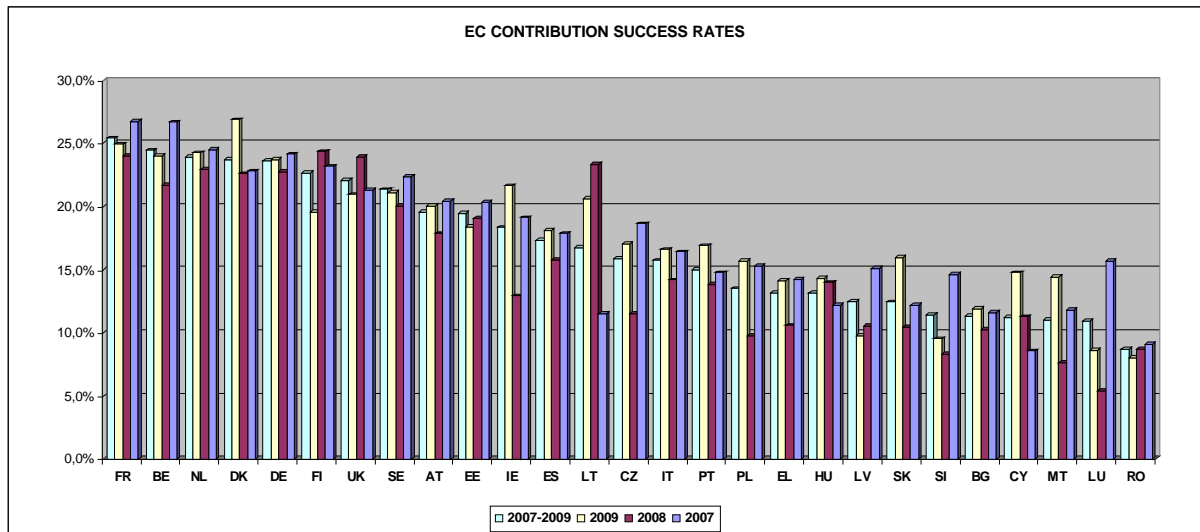
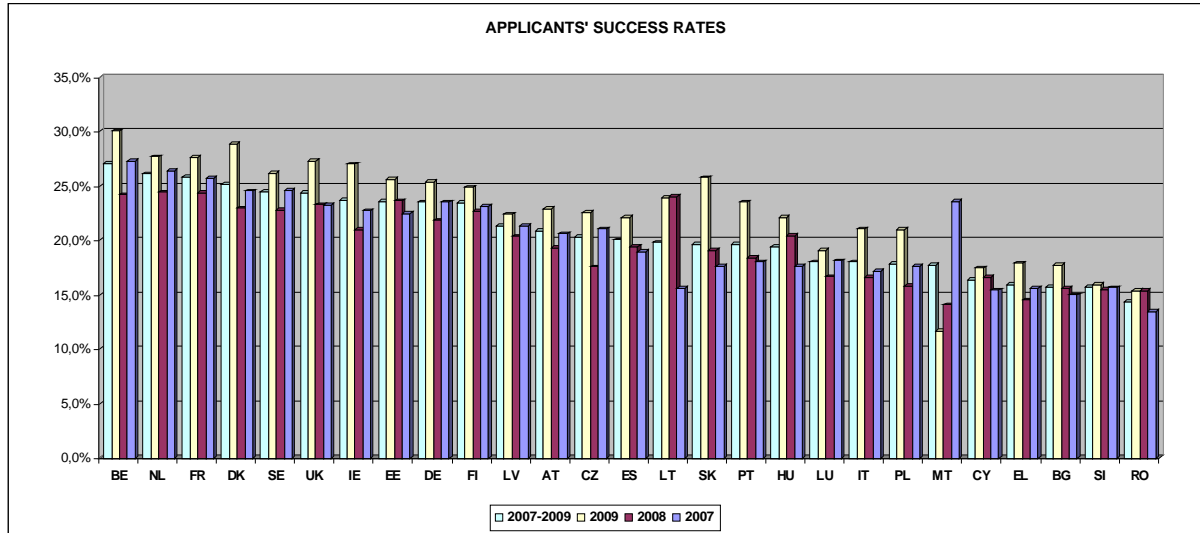
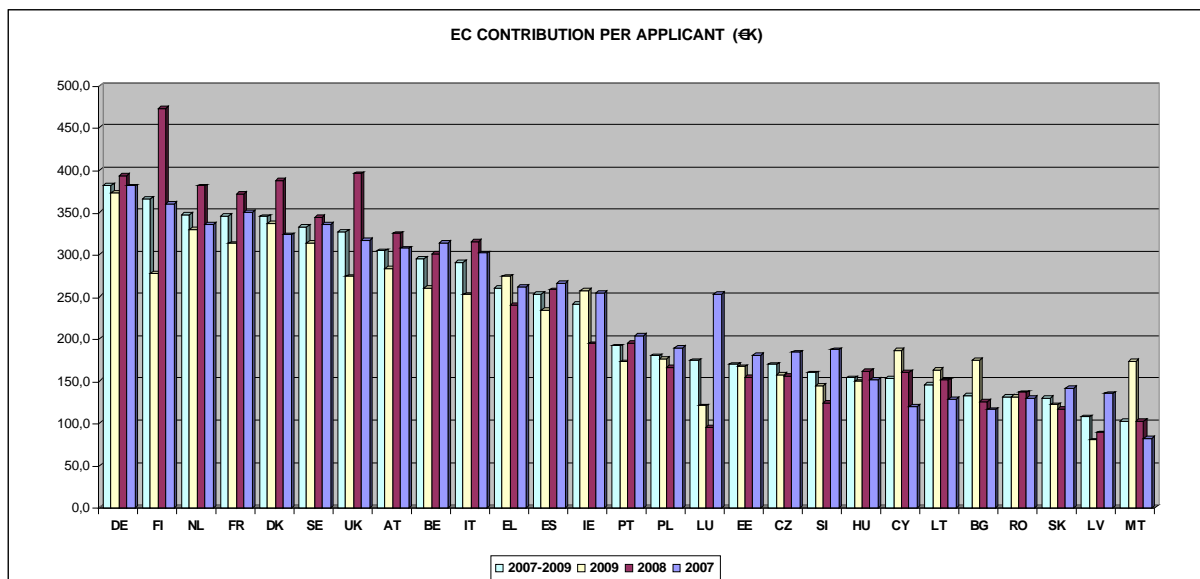


Figure 15: Requested Community financial contribution per applicant (in € thousand) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 by EU member state.

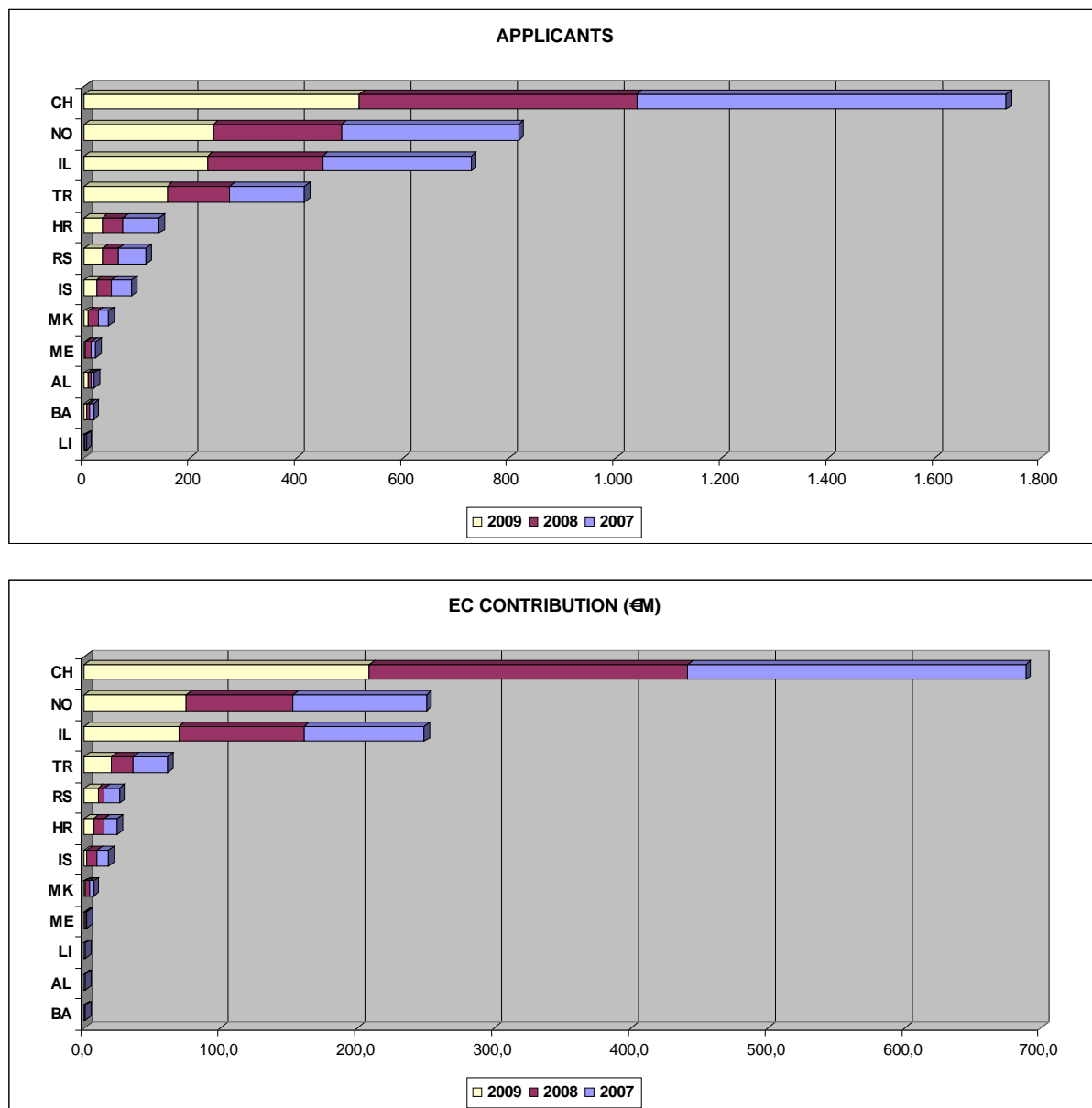


1.4.2 Candidate and associated countries

Candidate and associated Countries constitute a heterogeneous group,⁴ which in 2009 accounted for 8,3% of total applicants in retained proposals and 9,9% of requested Community financial contribution with success rates 23,6% and 18,7% respectively.

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

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



⁴ The candidate and associated countries are Albania (AL), Bosnia-Herzegovina (BA), Croatia (HR), Former Yugoslav Republic of Macedonia (MK), Iceland (IS), Israel (IL), Liechtenstein (LI), Montenegro (ME), Norway (NO), Serbia (RS), Switzerland (CH), and Turkey (TR).

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

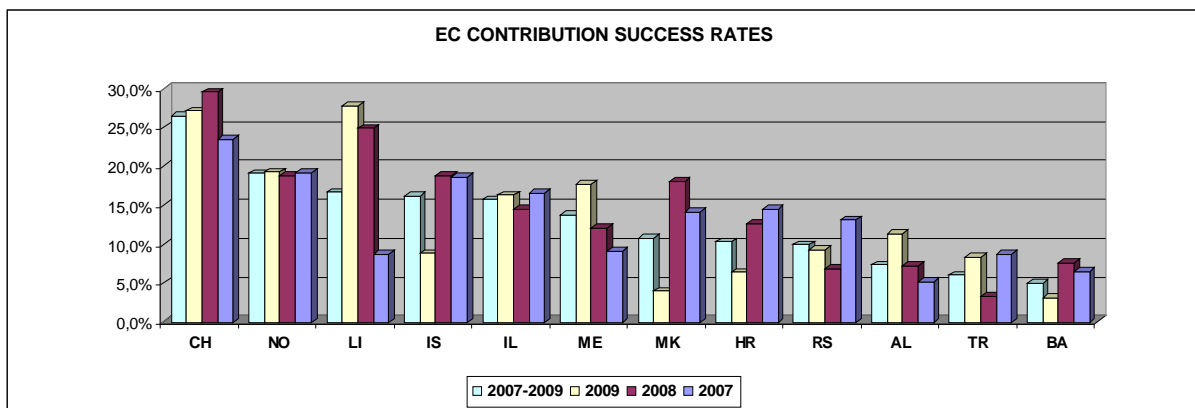
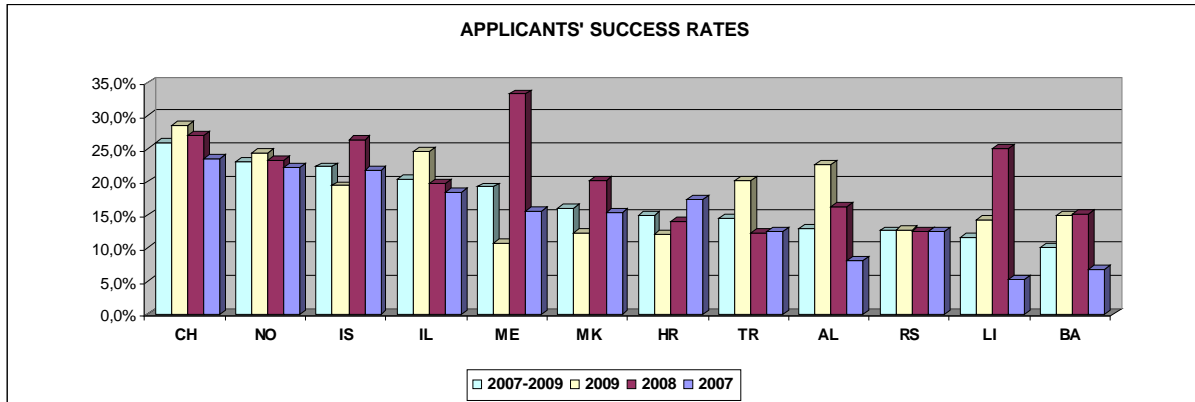
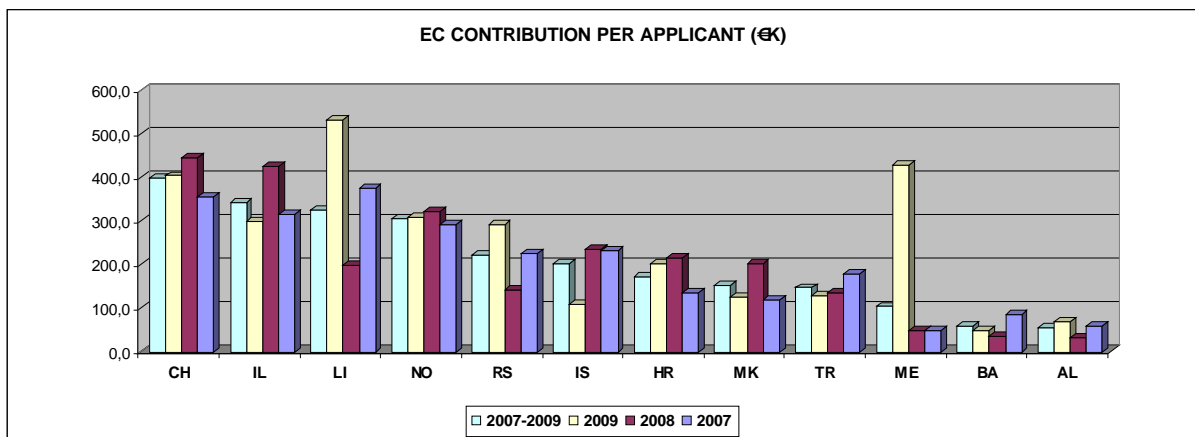


Figure 18: Requested Community financial contribution per applicant (in € thousand) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 for candidate and associated countries.



1.4.3 Third countries

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

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

The sub-group of third countries with S&T agreements, which now consists of 19 members,⁵ accounted in 2009 for 80% of the total number of third country applicants and for 70,4% of the total requested Community contribution to third countries in retained proposals, with success rates of 28,4% and 16,1% respectively.

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

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

⁵ Argentina (AR), Australia (AU), Brazil (BR), Canada (CA), Chile (CL), China (CN), Egypt (EG), India (IN), Japan (JP), Jordan (JO), Mexico (MX), Morocco (MA), New Zealand (NZ), Russia (RU), South Africa (ZA), South Korea (KR), Tunisia (TN), Ukraine (UA), USA (US).

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

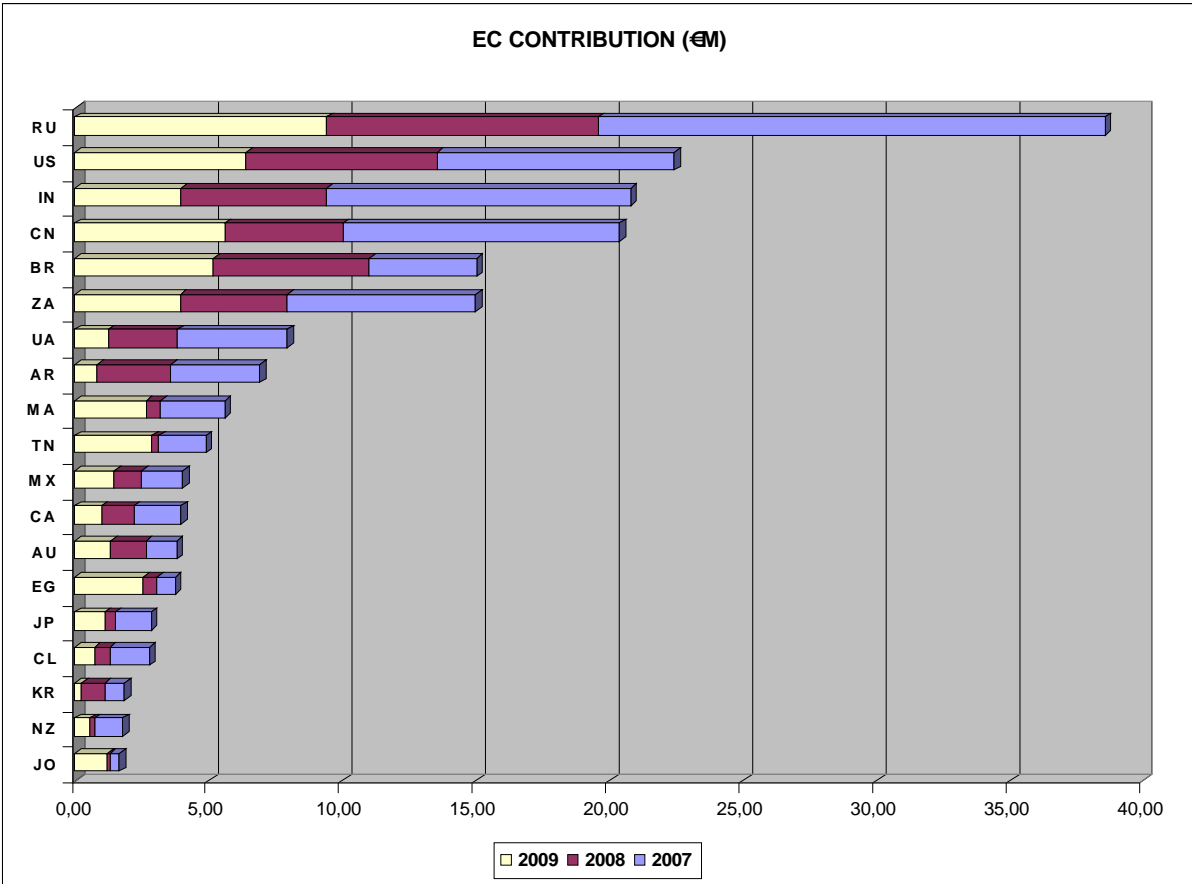
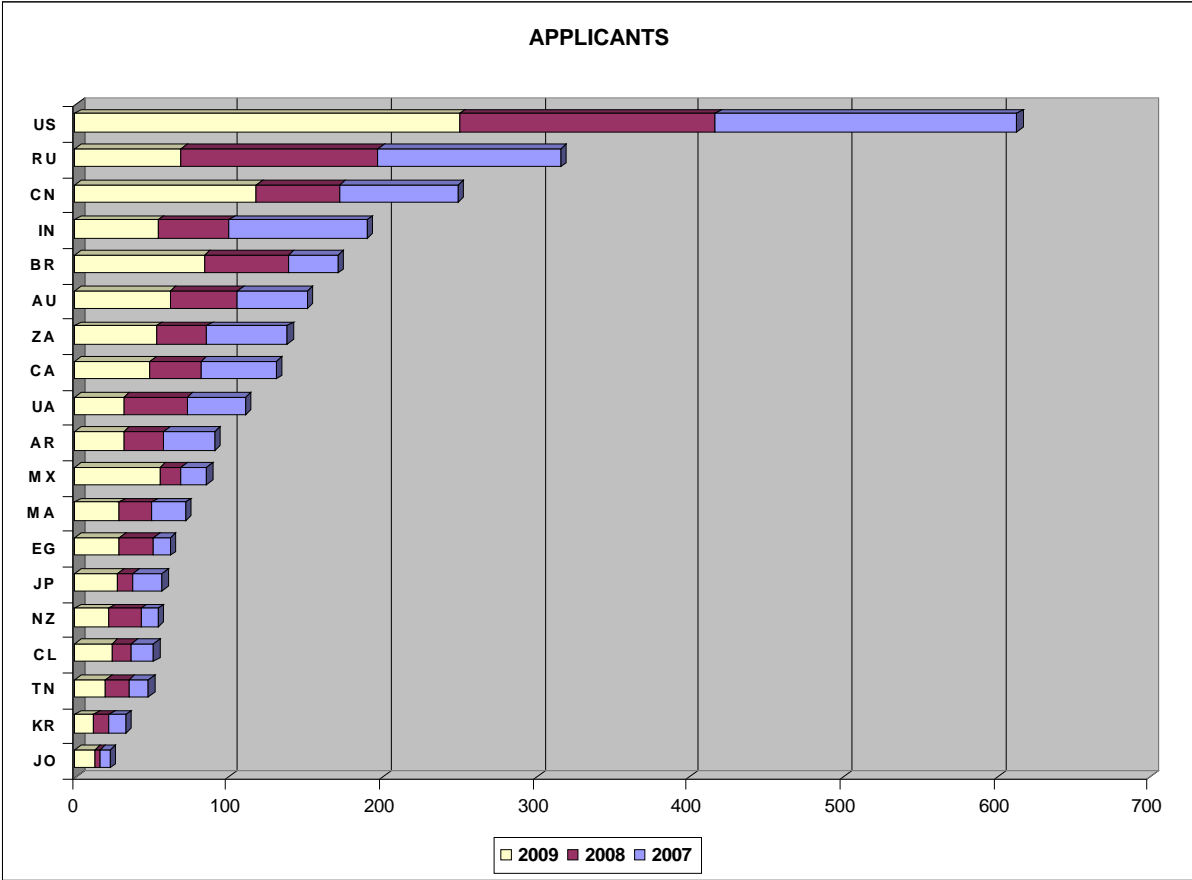


Figure 20: Success rates of applicants and requested Community financial contribution for FP7 calls concluded in 2007, 2008 and 2009 for third countries with S&T agreements.

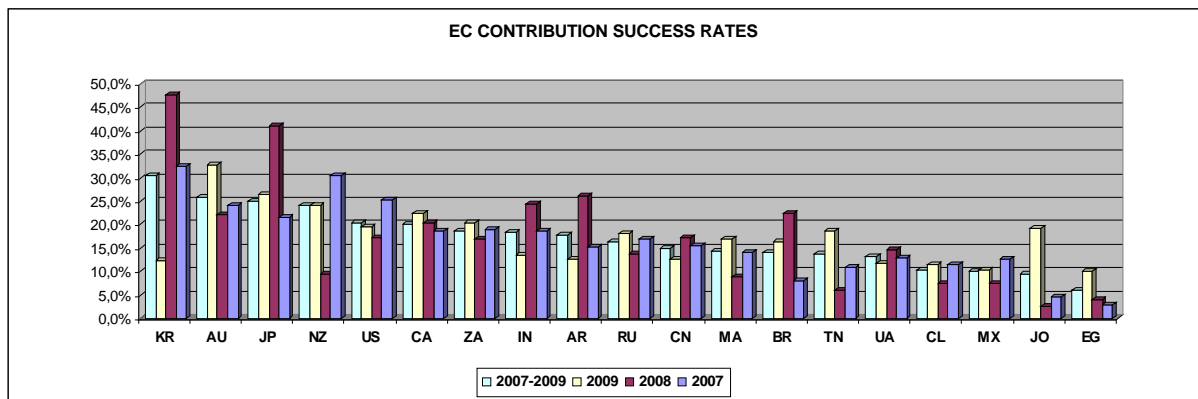
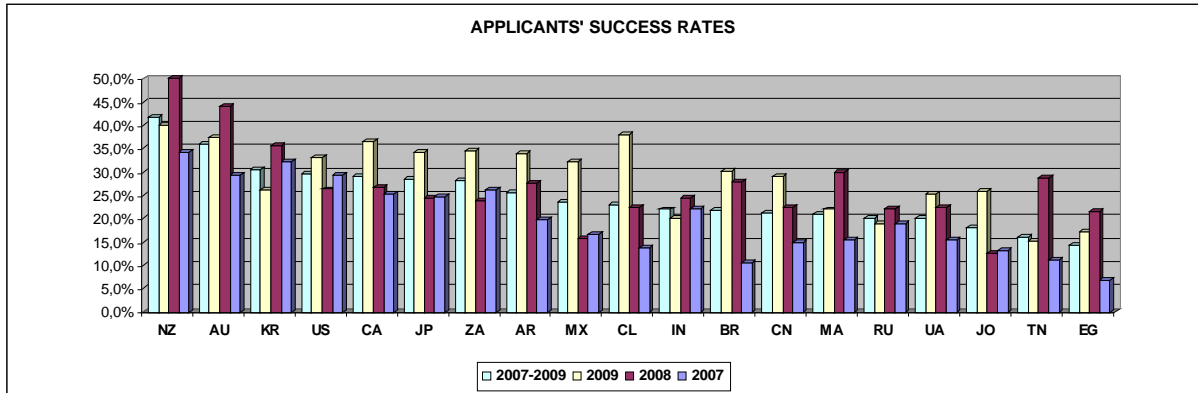
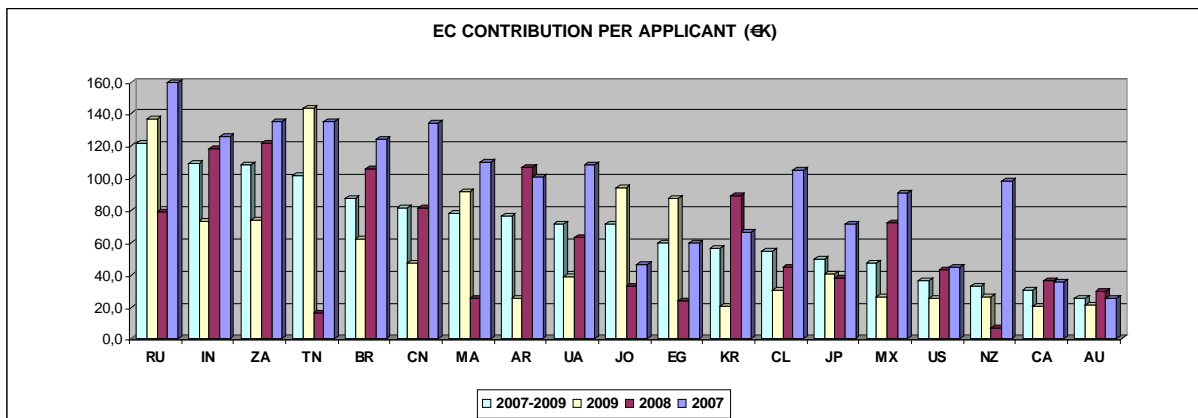


Figure 21: Requested Community financial contribution per applicant (in € thousand) in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 for third countries with S&T agreements.



2 Gender equality and FP7

In 1999, early in FP5, the Commission adopted a Communication in which it undertook the commitment to develop a coherent approach towards promoting women in research financed

by the European Communities.⁶ The Commission's stated aim was to achieve at least a 40% representation of women in Marie Curie scholarships, Advisory Groups, Assessment Panels and Monitoring Panels of FP5. This target was subsequently expanded to include all groups, panels, committees and projects involved in the Framework Programmes. The 40% target remained in place for FP6 and is currently also valid for FP7.

2.1 Patterns of women participation as contact persons in FP7 projects

The CORDA database contains data on individuals with assigned *contact person* roles for each of the organisations which participate in FP7 funded projects, for which grant agreements have already been signed. This data includes gender identity. Data of this type in the thematic area Information and Communication Technologies are not included in the CORDA database.⁷

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

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

Tables 2 below and A6 in annex A present a detailed breakdown of this data.

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

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

⁶ European Commission (1999): Communication "Women and Science: Mobilising women to enrich European research", COM(1999)76. Brussels.

⁷ This is due to differences in the reporting format of the contract management systems used by the different Commission services: DG RTD and DG ENTR use the Contract and Project Management (CPM) Module, while DG INFSO uses the Phoenix Contract Management Application.

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

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

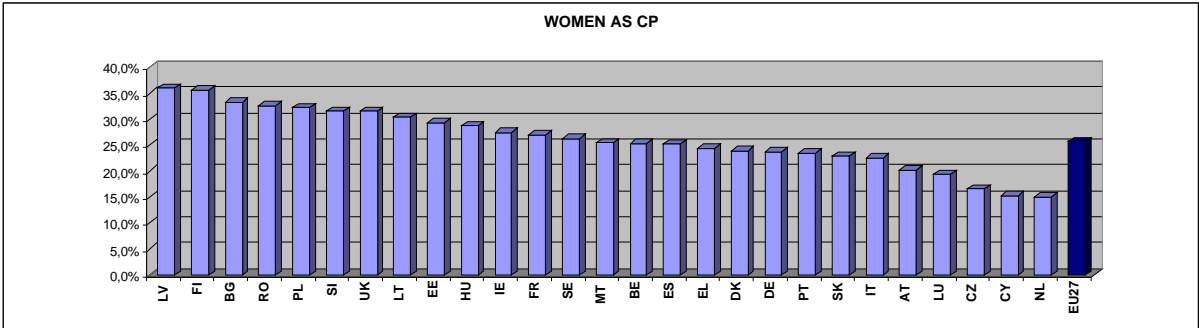


Figure 23: Participation share of women in contact person for scientific aspects, fellow and principal investigator roles in FP7 signed grant agreements by country in EU27.

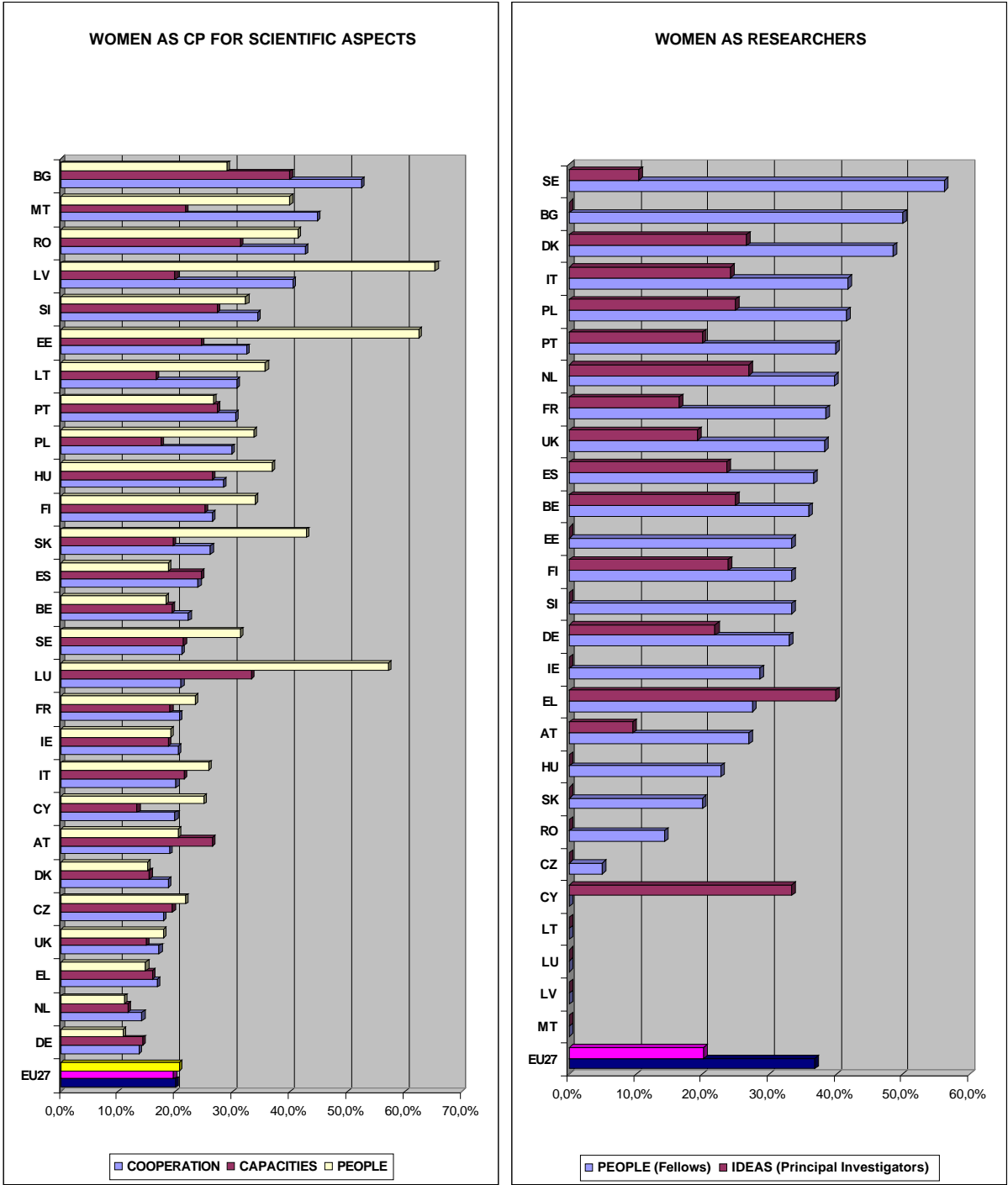
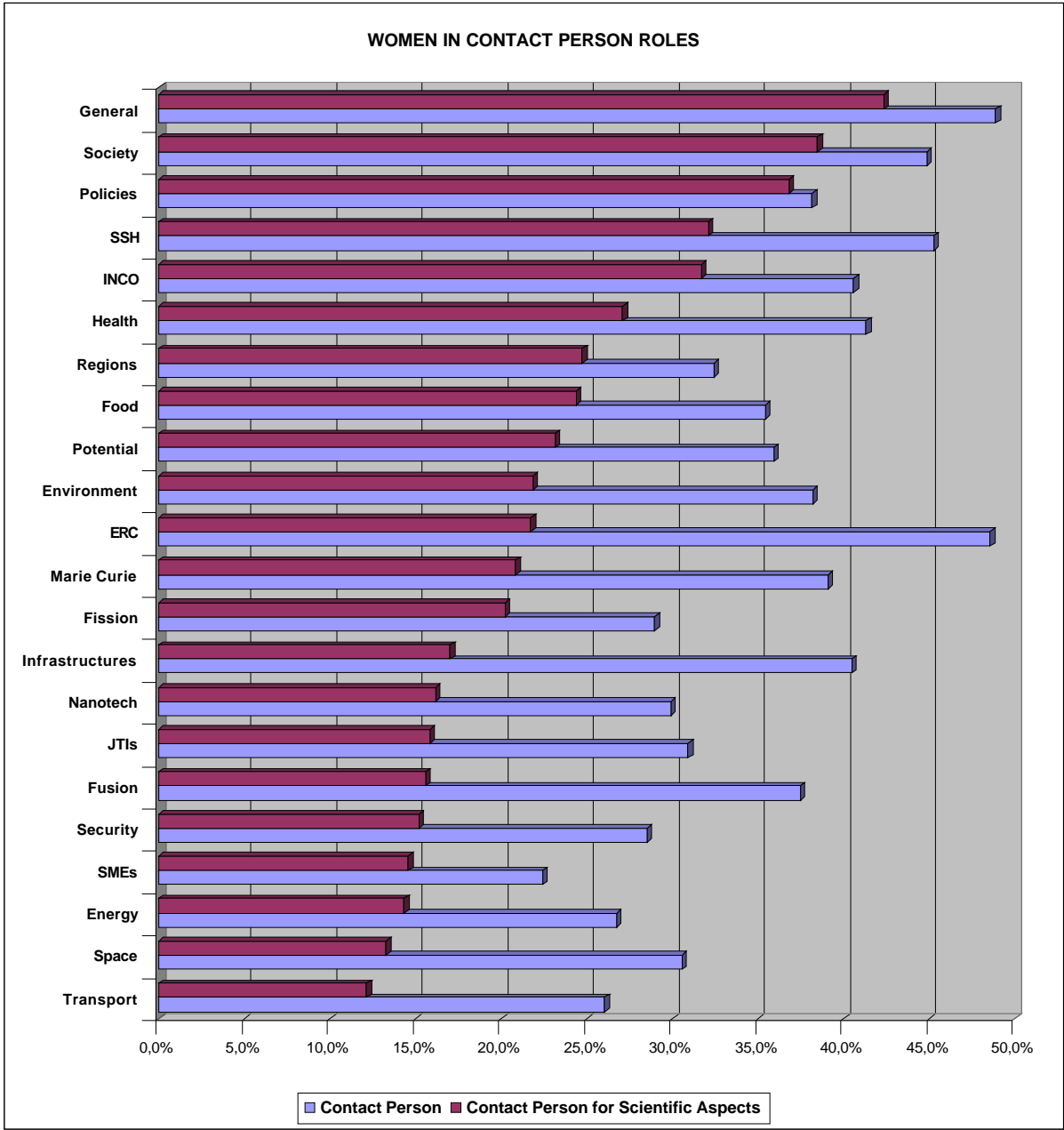


Figure 24 presents the participation share of women in contact person roles in FP7 funded projects (in signed grant agreements from 2007 to 2009) by thematic area. It is interesting to observe the considerable variation of female participation shares among different thematic areas, which ranges from more than a third of the total in areas like Science in Society, Support for the coherent development of research policies, and Socio-economic sciences and Humanities, to less than a fifth in Euratom activities, Nanosciences, Nanotechnologies, Materials and new Production Technologies, Energy, Space and Transport.

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



2.2 Women participation in FP7 advisory groups, panels and committees

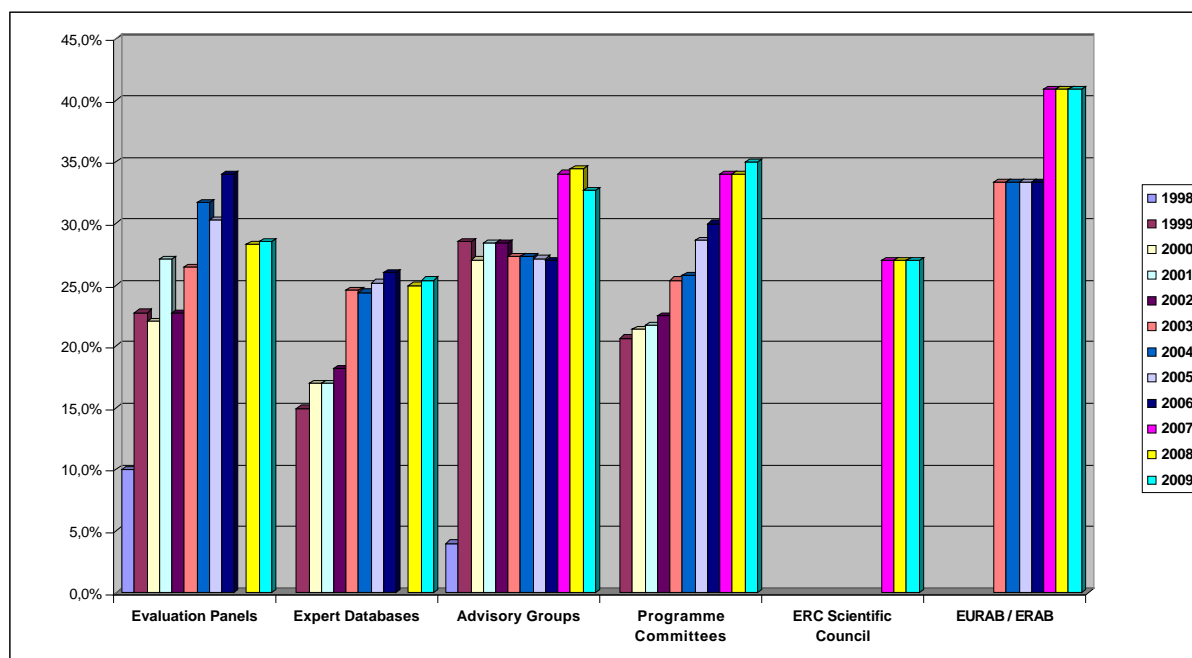
By the end of 2009, 25,4% of the evaluation experts registered in the FP7 experts' database (or 19.377 out of a total 76.218 entries), and 28,5% of the registered FP7 evaluation experts with at least one participation in evaluation panels (or 3.556 out of 12.467) were women. The share of women participation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

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

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

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

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



3 Quality assessment of proposal evaluation

In order to receive the independent experts' opinion on the quality of the proposal evaluation process and the procedures applied, an anonymous on-line survey of all experts who participated in the evaluation of proposals during the third year of FP7 was carried out. Similar surveys had already been conducted in 2007 and 2008. The data collected for the third year of FP7 confirm the positive picture of the quality of the evaluation process. Key figures are presented in table 3 below.

Table 3: Key figures of evaluators' survey 2009.

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

The results demonstrate that the high quality of the evaluations has been maintained. Evaluators were very satisfied with the way in which the evaluations were conducted with

respect to impartiality, confidentiality and fairness. In particular the level of efficiency of the evaluation task has been rated as excellent, good or satisfactory by 96,6% of the respondents.

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

- § *Available time*: Still a large majority of the respondents (79%) believe there was sufficient time for the reading and the individual evaluation of proposals. However, similarly to previous years, a significant minority of the experts (18,5%) thought they had too little or totally insufficient time for this part of the evaluation, which is slightly more than what was recorded in 2007 and 2008.
- § *Evaluation criteria*: A frequently recurrent comment is that more weight should be given to the S/T quality criterion compared to the other two criteria. The 'impact' criterion is still found to be the most difficult to apply. Among experts evaluating Collaborative Projects, 47% thought this was the most difficult to apply, which represents an increase compared to previous years (2007: 31%; 2008: 43%).
- § *Conflicts of interest*: 25% of the evaluators answered 'yes' when asked if they were aware of any possible conflicts of interest. However, as in previous years, an overwhelming majority of these, 92% (same as in 2008) believed that these possible conflicts of interest were thought to be handled correctly.
- § *Logistical aspects*: There has been a continuous improvement of the logistical aspects over the years. An overwhelming majority of the experts (97%) rated the overall organisation of the evaluation positively. A significant part of these respondents (47%) rated it as 'excellent' (2008: 43,9%; 2007: 29,9 %).

4 Redress procedure

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

In line with these requirements, a redress procedure has been set up that aims to be both efficient and consistent with the principles of transparency and equal treatment that underpin all Commission evaluations.

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

- § The redress committee meets in various configurations according to the different calls for proposals. Directorates nominate officials for jury service.
- § The configurations work independently, and deliver their advice to the responsible directors. They may take account of possible comments from the director, and from the redress office (see below).
- § A redress office (RO), located in unit RTD A1, is responsible for registering and tracking redress requests, supporting the committee configurations, and ensuring that policy is coherent and consistent over time, based on case histories.

These guidelines have since been endorsed by the Legal Service, and some of the most salient guidelines have been incorporated into the evaluation rules.⁸

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

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

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

* Due to the fact that the proposal failed anyway for other reasons or because the identified problem was minor and not crucial to the experts' evaluation.

Problems leading to a re-evaluation were, for example, related to the eligibility of proposals (scope, number of participants), or to serious factual errors, or to insufficient specialist expertise on the part of the experts.

In 2007, the ERC put in place redress procedures, following the model established for FP7, but with a separate Ideas configuration of the redress committee. The ERC now has its own formal procedure, including its own redress committee and guidelines. Information on 2007-2009 cases can be found in section 2.1.3.

5 The FP7 ethics framework - ethics reviews and ethics audits

The Commission has included in FP7 procedures a thorough ethics review process for all proposals that raise ethical questions and are likely to receive Community funding. The ethics review process safeguards the protection of fundamental rights and the respect of ethical principles. It guarantees that no funding is allocated to research that does not comply with the relevant EU and national legislation and the ethical considerations specified in the Framework Programme. The ethics review process is described in detail in annex A (Ethical Review Procedures) of the "Rules for submission of proposals, and the related evaluation, selection and award procedures" (*Version 3, 21 August 2008, COM (2008)4617*).

5.1 Ethics review process

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

⁸ 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

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

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

The organisation of the ethics review process involves the appointment of the members of the ethics review panels and the procedural coordination of the entire evaluation process. The requirements put forward by the ethics review experts become contractual obligations and are part of the terms of the FP7 grant agreement between the Commission and the researchers.

5.2 Ethics audit

Proposals that undergo an ethics screening and an ethics review can be flagged by the reviewers as requiring an ethics audit. The objective of the audit procedure is to assist the researchers to deal with the ethics issues that are raised by their work and if necessary take corrective measures.

5.3 Impact assessment procedure

In 2010, the Ethics Review Sector of DG RTD will organise specialised workshops and undertake all necessary activities and initiatives so as to assess the impact of the ethics review and audit procedures upon the FP7 scientific community, the host institution structures and the competent national authorities and relevant ethics committees. Selected FP7 projects might be asked to participate on a voluntary basis. The objective of this procedure is to improve the ethics review process, maximise the positive impact of the FP7 ethics framework on the research community and contribute to the positive societal image of research.

5.4 Ethics review helpdesk

All FP7 funded projects can request specific assistance on ethics issues from the Ethics Review Helpdesk, accessible through the "get support function" of the CORDIS site.

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

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

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

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

The project proposals that were reviewed cover a broad variety of issues under different thematic areas and specific programmes. In 2009 *People* is the area with the highest number

of ethics reviews, followed by the *ERC*, *Health* and *Food* themes. Table 9 provides more details.

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

ETHICS REVIEWS IN 2009 BY FP7 THEMATIC AREAS	
Environment	5
Food, Agriculture and Fisheries, Biotechnology	35
Health	39
ICT (Information and Communication Technologies)	21
Nanosciences, Nanotechnologies, Materials and new Production Technologies	13
Security	11
SMEs (Small and medium enterprises)	4
Transport	4
Ideas (ERC)	48
People (Marie Curie Activities)	52
Total	232

6 Dissemination activities

6.1 Internet

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

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

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

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

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

Table 8: CORDIS usage statistics.

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

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

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

6.2 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.⁹ These guidelines address the network architecture, the nomination and recognition process and the operational modalities.

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

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

⁹ 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).

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

7 Time to grant

Time to grant (TTG) is defined as the time elapsed from the deadline of the call for submission of proposals until the signature of the grant agreement. Signed grant agreement is defined as signed by means of its status (grant indicated as signed) or by the pre-financing information (grant not indicated as signed but potentially signed).

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

Time-to-grant statistics capture a cumulative and volatile picture which is continuously updated with an upward trend as more proposal negotiations are gradually concluded. The grant agreements included in this sample correspond to approximately 72% of the total number of retained proposals for concluded FP7 calls so far and, therefore, they provide a reasonably good approximation of the final time-to-grant figures.

Taking into account the above limitations, the average time to grant for the whole FP7 is 350 days (median 335). Unsurprisingly this figure is higher than those reported in the previous Monitoring Reports: in 2008 the average TTG was 333 days (median 318); in 2007 the average TTG was 291 days (median 287). The upward trend in TTG statistics does not necessarily imply a deterioration of time-to-grant performance from one year to another but rather it reflects the fact that at the time of reporting in previous Monitoring Reports several lengthier grant agreement negotiations had not been concluded and, therefore, had not been included in the sample on which time-to-grant statistics were based.

For more detailed information on time-to-grant statistics see table A7 in annex A.

8 Timeliness of experts reimbursements

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

Reimbursement procedures for evaluators are being dealt with by PMO.¹⁰ Here, 73,4% of payments in 2009 were on-time. This represents a major improvement compared to the 42,9% of on-time payments in 2008, the second year that PMO was responsible for these payments.

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

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

9 Independent assessment of FP7 implementation by NCP

Similarly to previous years a survey was conducted among National Contact Points (NCP) to collect their views, comments and suggestions with regard to the promotion and implementation of FP7 during 2009. This year the questionnaire was dispatched to 949 FP7 National Coordinators and FP7 Coordinators for Specific Fields from the 39 EU member states and associated countries; as a result, 211 responses were received from 36 different countries (a response rate of 22,2%). The complete results of the NCP survey are presented in annex B.

The questionnaire, in addition to gathering information on the promotion of FP7 at the national level (see section 1.7.2) and opinions on the simplification of FP7 (see section 3.2), posed questions on FP7 implementation, each covering a different phase of the project cycle. Figure 26 below summarises the results of this specific part of the survey (see also table B1 in annex B for more detailed statistics).

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

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

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

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

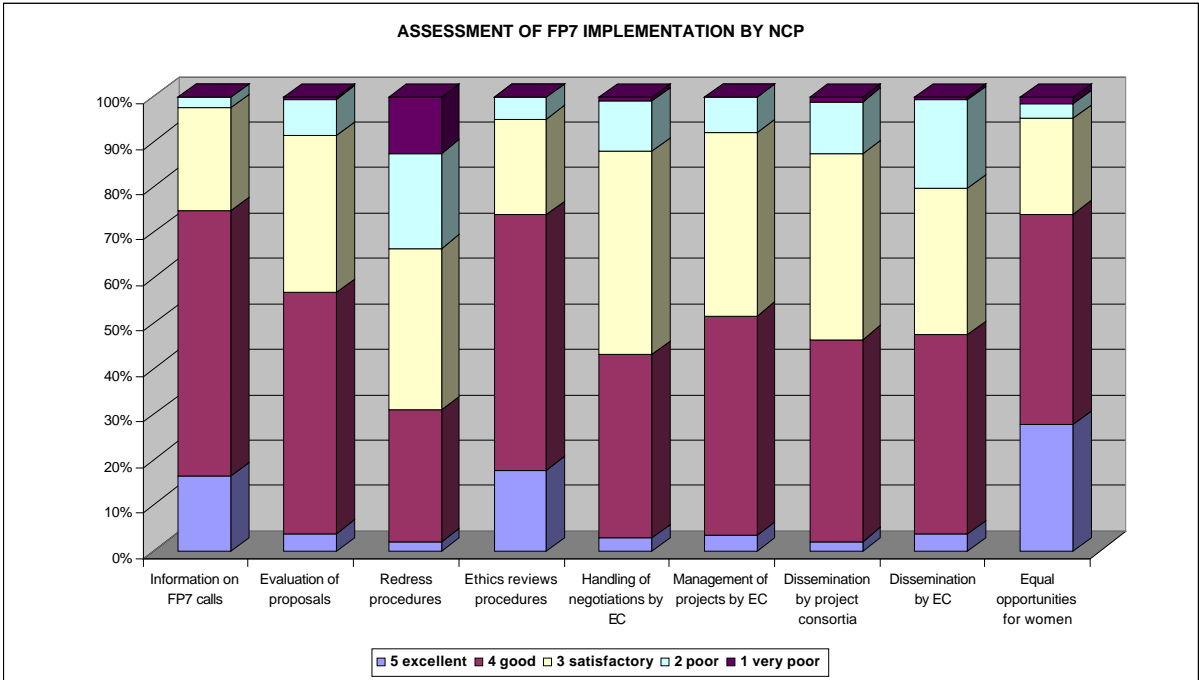
The *negotiation procedures* handled by Commission services were deemed as 'good' or 'very good' by nearly 40% of the respondents, the main criticism here being the length of the time to grant.

¹⁰ Office for Administration and Payment of Individual Entitlements

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

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

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



ANNEX A: Statistical tables on participation patterns

Table A1: Calls and submitted proposals under FP7 in 2007, 2008 and 2009.

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

Table A2: Included and retained proposals, applicants, budgets of projects (in million euro) and corresponding success rates for FP7 calls concluded in 2007, 2008 and 2009.

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

Table A3: Numbers of EU27 applicants and requested Community financial contribution in retained proposals for FP7 calls concluded in 2007, 2008 and 2009 by country.

COUNTRY	APPLICANTS						EC CONTRIBUTION						EC CONTRIBUTION PER APPLICANT (€K)			
	No.			Success rate			€M			Success rate						
	2007	2008	2009	2007	2008	2009	2007	2008	2009	2007	2008	2009	2007	2008	2009	
EU MEMBER STATES	AT - Austria	577	324	373	20,6%	19,3%	22,9%	177,1	105,2	105,5	20,4%	17,9%	20,1%	307,0	324,6	282,9
	BE - Belgium	974	573	629	27,2%	24,2%	30,0%	305,8	172,3	163,5	26,7%	21,7%	24,0%	314,0	300,7	260,0
	BG - Bulgaria	161	94	80	15,0%	15,6%	17,7%	18,7	11,8	14,0	11,6%	10,3%	11,9%	116,4	125,5	174,6
	CY - Cyprus	74	49	61	15,4%	16,6%	17,4%	8,9	7,9	11,3	8,6%	11,3%	14,7%	120,2	160,2	186,0
	CZ - Czech Republic	281	159	147	21,0%	17,6%	22,6%	51,7	24,7	23,1	18,6%	11,5%	17,0%	184,0	155,5	157,4
	DE - Germany	3.037	1.761	1.879	23,5%	21,8%	25,3%	1.157,2	692,9	700,0	24,2%	22,7%	23,7%	381,0	393,5	372,6
	DK - Denmark	446	285	292	24,5%	22,9%	28,8%	144,0	110,3	98,3	22,8%	22,6%	26,9%	322,9	387,0	336,8
	EE - Estonia	108	68	65	22,5%	23,6%	25,6%	19,5	10,5	10,8	20,3%	19,1%	18,4%	180,8	154,7	166,7
	EL - Greece	685	383	485	15,6%	14,5%	17,9%	178,9	92,1	132,8	14,3%	10,6%	14,2%	261,2	240,3	273,9
	ES - Spain	1.439	992	1.253	18,9%	19,4%	22,1%	382,2	256,1	293,7	17,9%	15,8%	18,1%	265,6	258,1	234,4
	FI - Finland	505	281	312	23,1%	22,7%	24,9%	181,6	132,9	86,6	23,2%	24,3%	19,5%	359,7	473,1	277,7
	FR - France	2.194	1.379	1.310	25,7%	24,3%	27,6%	766,4	512,5	410,2	26,7%	24,0%	24,9%	349,3	371,6	313,1
	HU - Hungary	307	191	172	17,6%	20,4%	22,1%	46,6	30,9	25,7	12,2%	14,0%	14,3%	151,8	161,7	149,2
	IE - Ireland	269	162	266	22,7%	21,0%	27,0%	68,3	31,5	68,5	19,1%	12,9%	21,6%	253,9	194,2	257,5
	IT - Italy	1.950	1.218	1.353	17,2%	16,6%	21,0%	587,2	384,3	341,1	16,4%	14,2%	16,6%	301,1	315,5	252,1
	LT - Lithuania	70	61	49	15,6%	24,0%	23,9%	9,0	9,2	8,0	11,5%	23,3%	20,6%	128,5	151,1	163,1
	LU - Luxembourg	31	17	21	18,1%	16,7%	19,1%	7,9	1,6	2,5	15,7%	5,4%	8,6%	253,2	95,5	120,4
	LV - Latvia	58	35	34	21,3%	20,3%	22,4%	7,8	3,1	2,7	15,1%	10,6%	9,7%	135,1	88,6	80,1
	MT - Malta	49	19	14	23,6%	14,1%	11,7%	4,0	1,9	2,4	11,8%	7,6%	14,4%	82,3	102,5	173,5
	NL - Netherlands	1.231	817	753	26,4%	24,4%	27,7%	413,2	311,3	248,1	24,5%	22,9%	24,2%	335,6	381,0	329,4
	PL - Poland	423	246	256	17,6%	15,8%	21,0%	80,2	40,9	45,1	15,3%	9,8%	15,7%	189,6	166,4	176,3
	PT - Portugal	329	242	282	18,0%	18,4%	23,5%	67,1	47,3	48,7	14,8%	13,8%	16,9%	204,0	195,4	172,8
	RO - Romania	234	132	110	13,4%	15,3%	15,3%	30,3	18,0	14,4	9,1%	8,7%	8,0%	129,5	136,2	131,1
	SE - Sweden	824	476	448	24,6%	22,8%	26,2%	276,7	163,7	140,4	22,4%	20,0%	21,1%	335,8	343,8	313,4
	SI - Slovenia	179	95	104	15,6%	15,5%	16,0%	33,5	11,8	15,0	14,6%	8,3%	9,5%	187,1	124,5	144,5
	SK - Slovakia	105	61	60	17,6%	19,1%	25,8%	14,9	7,1	7,3	12,2%	10,5%	16,0%	141,8	116,9	121,9
	UK - United Kingdom	2.637	1.829	1.923	23,2%	23,3%	27,3%	835,2	723,1	527,1	21,3%	23,9%	21,0%	316,7	395,4	274,1
	Total	19.177	11.949	12.731	21,4%	20,7%	24,2%	5.874,0	3.914,9	3.547,2	20,9%	19,4%	20,4%	306,3	327,6	278,6
CANDIDATE & ASSOCIATED COUNTRIES	AL - Albania	7	6	7	8,2%	16,2%	22,6%	0,4	0,2	0,5	5,2%	7,2%	11,3%	58,7	33,0	69,5
	BA - Bosnia - Herzegovina	7	5	6	6,8%	15,2%	15,0%	0,6	0,2	0,3	6,5%	7,7%	3,1%	84,2	33,9	49,4
	CH - Switzerland	695	523	517	23,5%	27,1%	28,6%	247,5	232,9	208,5	23,6%	29,6%	27,2%	356,1	445,3	403,2
	HR - Croatia	68	39	34	17,4%	14,1%	12,1%	9,1	8,3	6,8	14,5%	12,7%	6,4%	134,0	214,0	201,4
	IL - Israel	279	217	232	18,5%	19,9%	24,6%	87,6	91,9	69,1	16,7%	14,6%	16,3%	314,0	423,4	297,8
	IS - Iceland	38	29	23	21,7%	26,4%	19,5%	8,8	6,8	2,5	18,7%	18,8%	8,8%	230,6	235,8	108,9
	LI - Liechtenstein	1	2	1	5,3%	25,0%	14,3%	0,4	0,4	0,5	8,7%	24,9%	27,8%	375,6	198,1	530,5
	ME - Montenegro	8	10	3	15,7%	33,3%	10,7%	0,4	0,5	1,3	9,1%	12,1%	17,6%	49,9	48,9	428,1
	MK - FYROM	20	17	9	15,5%	20,2%	12,3%	2,4	3,4	1,1	14,1%	18,1%	3,9%	119,0	201,5	123,9
	NO - Norway	333	241	243	22,2%	23,3%	24,4%	97,4	77,8	75,1	19,2%	18,8%	19,3%	292,4	322,8	309,1
	RS - Serbia	50	31	35	12,6%	12,6%	12,9%	11,3	4,4	10,2	13,1%	6,9%	9,2%	225,1	141,7	292,4
	TR - Turkey	141	118	156	12,6%	12,3%	20,3%	25,2	15,9	19,9	8,8%	3,3%	8,3%	178,4	135,0	127,6
	Total	1.647	1.238	1.266	19,5%	21,2%	23,6%	490,9	442,7	395,9	18,8%	17,6%	18,7%	298,1	357,6	312,7
THIRD COUNTRIES WITH S&T AGREEMENTS	AR - Argentina	33	26	32	19,8%	27,7%	34,0%	3,34	2,77	0,83	15,3%	26,2%	12,7%	101,2	106,4	25,9
	AU - Australia	45	44	62	29,4%	44,0%	37,3%	1,15	1,32	1,33	24,2%	22,2%	32,9%	25,6	30,1	21,5
	BR - Brazil	32	55	84	10,5%	27,8%	30,2%	3,99	5,83	5,21	8,1%	22,5%	16,5%	124,7	106,0	62,0
	CA - Canada	49	33	49	25,3%	26,6%	36,6%	1,76	1,20	1,00	18,6%	20,5%	22,6%	36,0	36,2	20,4
	CL - Chile	14	13	24	13,7%	22,4%	38,1%	1,47	0,58	0,73	11,4%	7,5%	11,5%	104,7	44,7	30,5
	CN - China	77	54	118	14,9%	22,3%	29,0%	10,37	4,43	5,60	15,6%	17,1%	12,7%	134,6	82,1	47,4
	EG - Egypt	11	22	29	6,9%	21,6%	17,3%	0,66	0,52	2,55	2,9%	4,1%	10,0%	60,2	23,8	87,9
	IN - India	90	46	54	22,1%	24,5%	20,1%	11,37	5,45	3,98	18,7%	24,5%	13,5%	126,3	118,5	73,6
	JO - Jordan	7	3	13	13,2%	12,5%	26,0%	0,32	0,10	1,22	4,7%	2,6%	19,2%	46,4	32,9	94,2
	JP - Japan	19	10	28	24,7%	24,4%	34,1%	1,36	0,38	1,13	21,5%	41,0%	26,4%	71,4	38,0	40,2

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

Table A4: Numbers of FP7 signed grant agreements, participants and amounts of budgets in million euro for FP7 calls concluded in 2007, 2008 and 2009 by specific programme.

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

Table A5: Shares of SMEs in numbers of participants, project costs and Community financial contribution in signed grant agreements for FP7 calls concluded in 2007, 2008 and 2009 by specific programme (as % of total number of SMEs and % of all types of participants).

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

Table A6: Gender of individual participants in FP7 funded projects in signed grant agreements for FP7 calls concluded in 2007, 2008 and 2009 by individual role and role of participant organisation in the project.

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

Table A7: Minimum, median, average and maximum time to grant (in days) for FP7 grant agreements signed in 2007, 2008 and 2009 by thematic area (up to May 2010).

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

ANNEX B: Statistical results of NCP survey on FP7 promotion and implementation in 2009

Table B1: Assessment of FP7 implementation issues by NCPs in 2009.*

FP7 IMPLEMENTATION ISSUES	RATINGS				
	5 Excellent	4 Good	3 Satisfactory	3 Poor	1 Very poor
Information available on FP7 calls	16,6%	58,3%	22,7%	2,4%	0,0%
Procedures for the evaluation of proposals	3,8%	50,7%	33,2%	7,6%	0,5%
Procedures for redress	1,4%	19,0%	23,2%	13,7%	8,1%
Procedures for ethics reviews and screenings	10,4%	32,7%	12,3%	2,8%	0,0%
Handling of FP7 grant negotiations by Commission Services	2,8%	37,0%	41,2%	10,0%	0,9%
Management of FP7 projects by Commission Services	3,3%	46,4%	38,4%	7,6%	0,0%

Communication and dissemination of FP7 project findings by the project consortia	1,9%	37,0%	34,1%	9,5%	0,9%
Communication and dissemination of FP7 project findings by the Commission	3,3%	38,4%	28,0%	17,1%	0,5%
Equal opportunities for the participation of women	24,6%	40,8%	18,5%	2,8%	1,4%

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

Table B2: Assessment of the effectiveness of FP7 simplification measures by NCPs in 2009.*

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

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

Table B3: Assessment by NCPs of the ease of use of FP7 in absolute terms.*

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

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