EUROPEAN COMMISSION
RESEARCH DIRECTORATE-GENERAL

The Director-General

Second
FP7 Monitoring Report

MONITORING REPORT 2008

1 October 2009

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0.   EXECUTIVE SUMMARY

This Second FP7 Monitoring Report covers the Framework Programme implementation in the years 2007 and 2008. It is the second one based on the new FP7 monitoring system, designed as an internal management tool and based on a core set of performance indicators addressing a broad spectrum of implementation issues. The Second FP7 Monitoring Report allows for the first time for some comparative analysis over time in order to identify trends and developments in the two first years of FP7 implementation.

This document provides in Section 1 a detailed factual analysis of the main elements of the overall implementation of FP7. Section 2 takes a closer look at some of the new elements and specific fields of the FP. The current situation with regard to the simplification process is described in Section 3. This section also presents the results of a survey on the perception of simplification in FP7 by National Contact Points (NCPs). Part 4 is a first attempt to look at impacts and achievements.

Although the report is based essentially on existing material which has been already (at least partially) released, it allows a kind of holistic view on the different strands of activities.

The following selected facts and figures might illustrate, as a snapshot, the relevance of such a 360° analysis:

§   The overall magnitude of the Framework Programme can be illustrated by some absolute figures: In the first two years of FP7 for 109 calls more than 25.000 proposals were received, involving almost 160.000 applicants. Out of these, about 5.500 proposals were finally retained, involving approximately 35.000 participants and requesting an overall Community funding of 10 billion euro.

§   On the gender dimension, 21,6% of project *contact persons for scientific aspects* are women. For Marie Curie Actions, the percentage of female *fellows* is 35,4%.

§   On the SME participation, SMEs represent 15,5% of all participants in signed grant agreements during the first two years of implementation of FP7.

§   On the international dimension, 136 countries are currently actively involved in FP7 activities. Among the "Third Countries", the ones with the highest participation are the Russian Federation, Brazil, India, China, and the USA.

§   On the proposal evaluation process, 97,6% of the evaluators found the quality of the FP7 proposal evaluation they attended *satisfactory* to *excellent*; 96,5% judged it *similar* or *better* than national proposal evaluation exercises, thus confirming the positive picture of the quality of the proposal evaluation process.

§   On redress and ethical review, out of the 1170 requests for redress received, only 17 lead to a re-evaluation, whereas 294 ethics reviews were organised in 2008, with no project being stopped.

§   On the project negotiations, time to grant is overall in a range between 10 and 11 months. Although a direct comparison is not appropriate for methodological reasons, the corresponding figure for "time to contract" in FP6 was in the order of 12 to 13 months.

§   On the FP7 implementation in general, a survey among National Contact Points (NCPs) resulted in good scores for information on FP7 calls, for proposal evaluation procedures, and for the procedures for ethics reviews, but somewhat lower scores on the redress procedure.

§ On simplification, the number of audit certificates has been substantially reduced in FP7 compared to FP6: Based on the current population of signed FP7 grants, for over 70% of FP7 participations no audit certificates would be necessary. NCPs recognise a considerable progress in simplification from FP6 to FP7, with around 70% of respondents rating information on FP7, information on calls, and proposal submission procedures as good or excellent. Nevertheless, there is dissatisfaction of a significant minority of NCPs with respect to financial aspects of project management and grant negotiation.

The next Annual Monitoring Report, covering the activities in 2009, will allow for even more comparative analysis over time in order to identify trends and developments in FP7 implementation.

As the FP7 monitoring system is still in a pioneering phase, feedback from readers and users is most welcome to help us improve the next reports issued under the FP7 monitoring system.

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1.   FP7 IMPLEMENTATION IN 2008 – GENERAL OVERVIEW

1.1   Introduction

The legislative basis for FP7[1] 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."

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 "Cooperation" programme provides project funding for collaborative, transnational research. The programme is organised through thematic priorities such as health, energy, transport etc.

§   The "Ideas" programme provides project funding for individuals and their teams engaged in frontier research. This programme is managed by the European Research Council (ERC).

§   The "People" programme 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 "Capacities" programme 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 Figure 1. Figure 2 shows the budget breakdown for FP7.

FP7 builds on the achievements and good practice of earlier Framework Programmes with a good deal of continuity both at an operational level and in terms of strategic objectives. There are however, a number of novelties which represent a significant change compared to

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[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).

previous Framework Programmes. These novelties were presented in more detail in the First FP7 Monitoring Report[2].

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 (ERC)	Starting Independent Researcher Grants		ERC
	Advanced Investigator Grants		ERC
PEOPLE (Marie Curie Actions)	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 (EURATOM FP budget of €2.7 billion over 5 years not included).
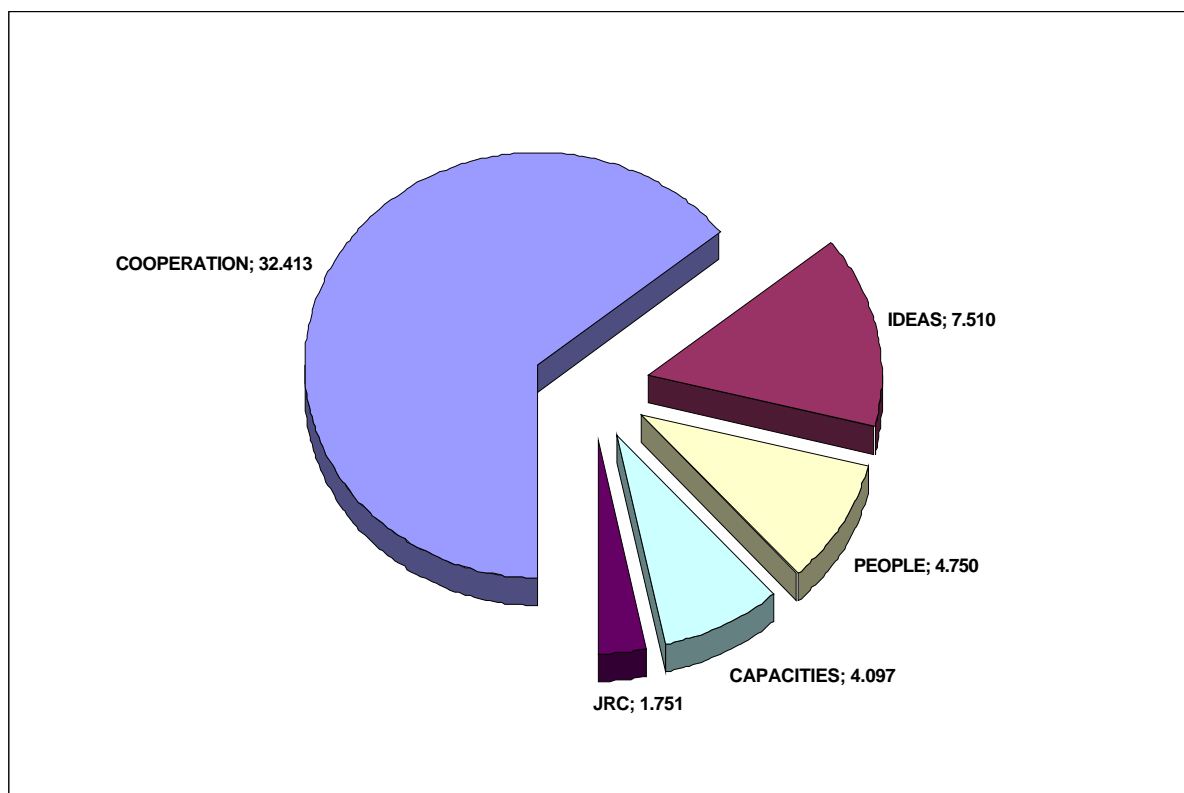
1.2 Participation patterns

This chapter aims at providing a comprehensive statistical overview of FP7 implementation in 2008 as well as a comparative overview of the first two years to the extent that this is feasible and meaningful. Data presented are drawn mainly from the CORDA data warehouse.[3]

This report is based on statistical data collected for 48 calls for proposals which have a 2008 closure date and whose evaluations have been recorded as "concluded" in the CORDA database at the time of data extraction (25/02/2009). "Concluded" means that data on the evaluation and selection outcome are available and have already been communicated to the respective FP7 Programme Committees.

The number of concluded calls with closure date in 2008 is not final: This number is very likely to rise in the course of 2009 as more calls are going to be concluded and recorded in the CORDA database. The reported statistical data for 2008 will be retrospectively updated in the 2009 Monitoring Report. This is what happened in this report with the data for 2007, as it makes use of the latest available statistical data for 2007; this data is based on 61 concluded calls with call closure date in 2007, whereas the data for the 2007 Monitoring Report was based on a more limited sample of 54 concluded calls.

It is important to keep in mind the preliminary nature of the 2008 data included in this report, as later updates are very likely to affect the analysis, notably in terms of absolute comparisons. For a number of activities there are yet no closed calls for 2008 recorded in this report.

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[3] Further details can be found in the document *FP7 Subscription, Performance, Implementation during the first two years of operation, 2007-2008* European Commission, June 2009**.**

Part of the analysis of participation patterns and success rates in this report is based on the dataset of "included proposals". This dataset excludes:

§   ineligible proposals, i.e. submitted proposals that do not fulfil the formal eligibility criteria set by the respective calls for proposals;

§   duplicates as well as proposals that are withdrawn by the project coordinators;

§   in the case of two-stage calls, all eligible first stage proposals.

Following the methodology used for the production of the 2007 Monitoring Report, success rates are calculated as ratios of *retained* to *included* proposals.

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. In the previous annual report, due to the early stage of implementation of FP7 and the consequent limited availability of data on grant agreements at the moment of data extraction, grant agreement counts have not been reported in detail. For this report, there is sufficient data available for a meaningful presentation of cumulative statistics on grant agreement counts (up to the moment of the latest data extraction, i.e. 25/02/2009), giving a more complete picture of this issue.

Box 1:   Data issues and methodology

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

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

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

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

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

1.2.1 Overall participation

1.2.1.1 Calls, proposals, applicants and corresponding success rates

The 48 concluded calls for proposals in 2008 attracted in total 12.556 applications for funding – half of those recorded in 2007 (25.099). It should be kept in mind that the various activities of FP7 have different target groups and that in consequence the number of applications depends on the thematic area concerned. The large majority of 2008 applications (11.303) were submitted to one-stage calls. 41 of the recorded calls were one-stage calls.

Given the limited number of two stage calls which were launched and concluded in 2008, the majority of submitted proposals (90% or 11.288) were 'included proposals' (as defined above), and about a fifth of those (2.370) retained for funding negotiations with an overall success rate of 21%. These numbers are lower than those of 2007.

Included proposals involved a total of 57.996 applicants and retained proposals involved 12.496 participants with an overall success rate of 21,5%. At the time of data extraction the numbers of recorded participants are significantly lower than those of 2007 but their success rates are on average comparable to those of 2007.

The aggregate figures for 2007 and 2008 show that for a total of 109 concluded calls 37.655 proposals were submitted, out of which 25.376 – involving over 159.495 applicants – were "included", and 5.477 – involving 34.438 participants – retained for negotiations. The average success rate for the two years was 21,6% both in terms of proposals and applicants.

1.2.1.2 Project costs, requested contributions and corresponding success rates

The included proposals which correspond to the 48 recorded calls in 2008 involved a total project cost of 23,2 billion euro with a requested Community contribution of 16,9 billion euro. After the evaluation and selection stage the total project cost of the retained proposals is approximately 5 billion euro, which corresponds to a success rate of 21,7%, and the requested Community contribution is 3,5 billion euro – about 70% of the total cost, corresponding to a success rate of 20,9%.

All aggregate 2008 financial figures at the time of data extraction are significantly lower than those of 2007, mainly as the result of much lower subscription and participation in the specific programme "Cooperation" in 2008; however, the success rates are on average similar to those of 2007.

The aggregate project cost of the retained proposals in 2007 and 2008 is 14.021,2 billion euro and the corresponding Community financial contribution is 10.002,7 billion euro with a corresponding average success rate of 21%.

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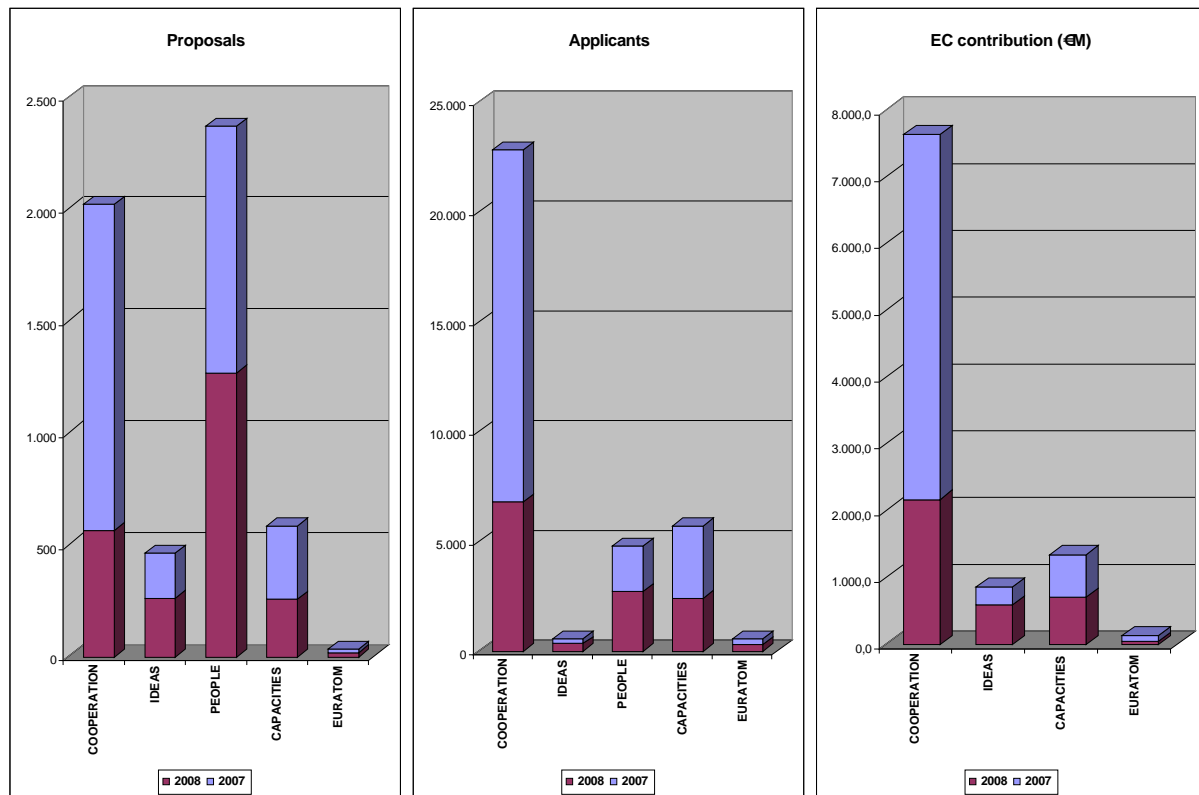
1.2.1.2.1 Specific programme "Cooperation"

In 2008 the Specific Programme "Cooperation" accounted for little more than a quarter of all included proposals (3.071) and less than a quarter of all retained proposals (565). These proposals involved more than half of all applicants (31.005 and 6.779 respectively).

The aggregate figures for FP7 subscription and participation under "Cooperation" in 2008 in terms of numbers of proposals, applicants and budgets as recorded in CORDA at the time of data extraction (25/02/2009) are just a fraction of those in 2007, both in terms of included and retained proposals (notably between 36% and 42%), while success rates are slightly higher than those of 2007 (see table B.1 in Annex B).

The majority of retained proposals and applicants under "Cooperation" in 2008 comes from the thematic areas of "Transport", "Nanosciences, Nanotechnologies, Materials and new Production Technologies" and "Environment". Unlike 2007, there have been no 2008 calls recorded in the CORDA database as concluded at the time of data extraction, for the thematic areas "Health" – the largest thematic area in terms of participation in 2007 – and "Space", while the volume of participation under the thematic area "Information and Communication Technologies" is at approximately a quarter of that in 2007.

1.2.1.2.2 Marie Curie Actions

In 2008 Marie Curie Actions (Specific Programme "People") accounted for the majority of included and retained proposals (40,4% and 53,5% respectively) with a little more than a fifth of applicants in both cases.

The success rates at both the level of proposals and of applicants were considerably lower than those of 2007 (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) the CORDA database does not provide detailed information on individual projects costs and corresponding EC contribution.

1.2.1.2.3 *European Research Council*

The two calls by the European Research Council (Specific Programme "Ideas") attracted 2.180 proposals, the majority of which was included in the selection but only 263 of those were retained for negotiations (as compared to 201 retained proposals in 2007). This corresponds to a success rate of merely 11,1% and indicates, again, that the ERC calls are heavily oversubscribed.

The low success rates of the ERC calls in 2008 as compared to those of 2007 are due to the fact that they are both one-stage calls as opposed to the single two-stage ERC call in 2007; the latter attracted 8.613 proposals at the first stage, four times more than in 2008, but the vast majority of submitted proposals were filtered out during the first-stage selection without influencing the success rates, which are calculated as the ratio of retained to included proposals.

1.2.1.2.4 *Specific Programme "Capacities"*

The Specific Programme "Capacities" accounted in 2008 for more than a tenth of all included and retained proposals and participants, maintaining its share of FP7 participation in terms of numbers of proposals and participants at levels comparable to those of 2007 but with somehow lower success rates. In terms of project costs and requested Community contribution the Specific Programme "Capacities" increased its share in 2008 significantly – for instance requested Community financial contribution in retained proposals as a share of the total increased from 9,8% in 2007 to 20,1% in 2008 and in absolute terms from 636 to 712 million euro.

The thematic areas with the largest numbers of retained proposals were "Research for the benefit of SMEs" (98) and "Research Infrastructures" (50), but with the latter accounting for approximately three quarters of the requested Community contribution under the Specific Programme "Capacities" (515,8 million euro); that makes "Research Infrastructures" one of the biggest thematic areas in terms of funding in 2008.
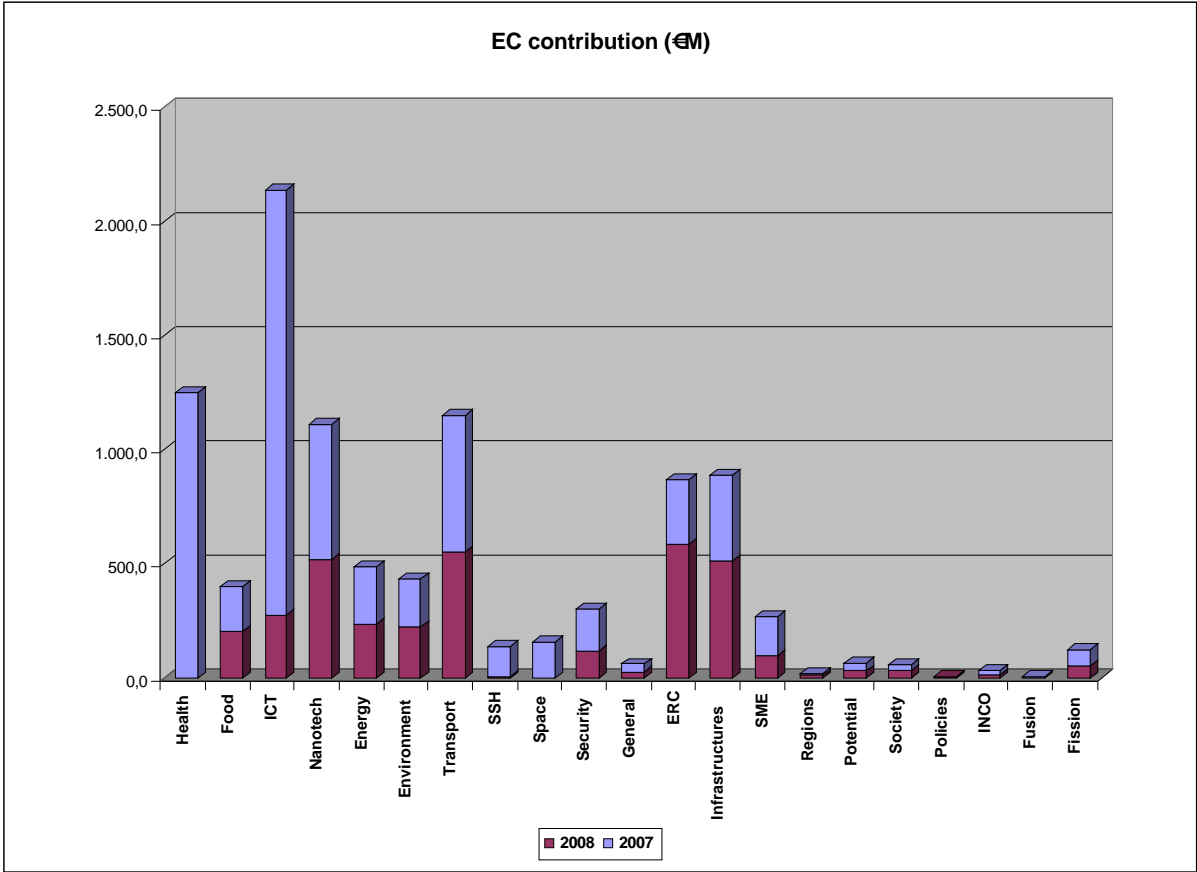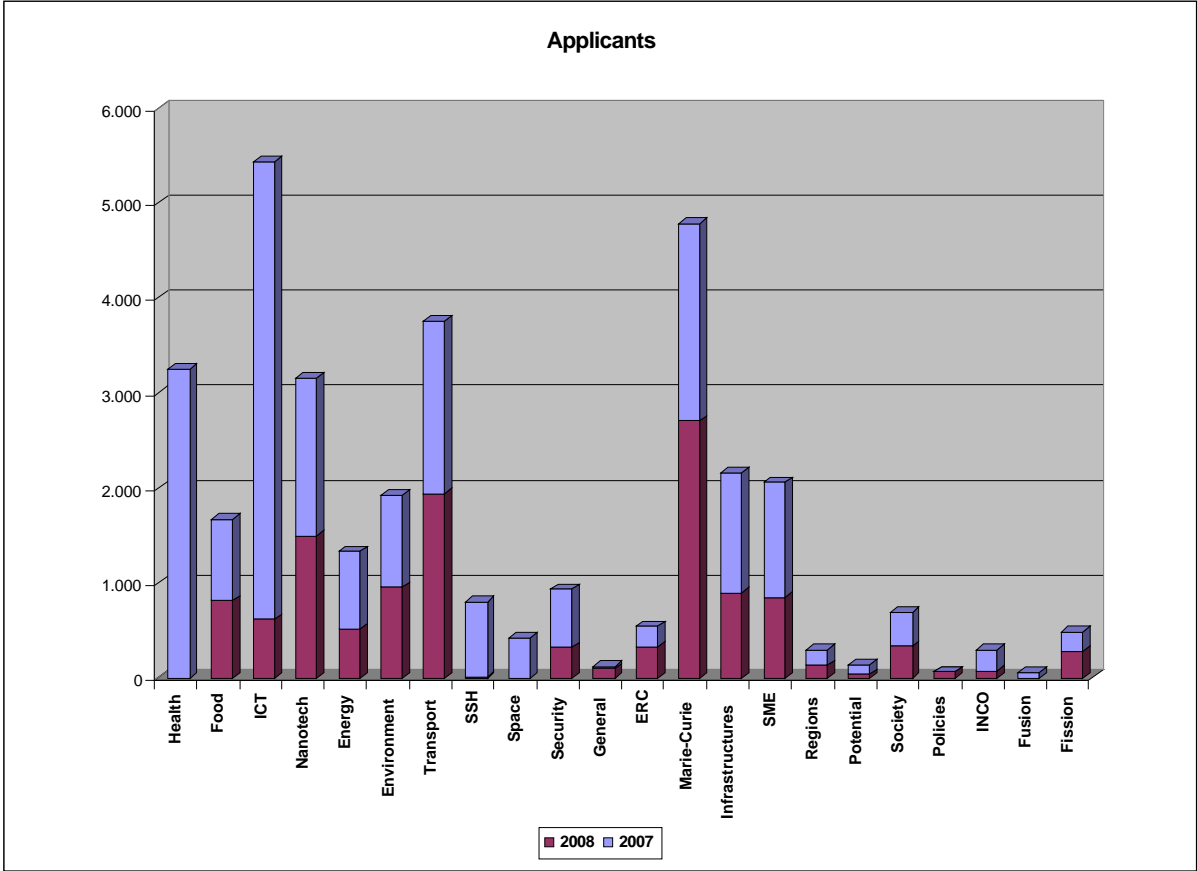
Figure 4: Success rates in proposals, applicants and requested Community financial contribution for FP7 calls concluded in 2007 and 2008 by specific programme.
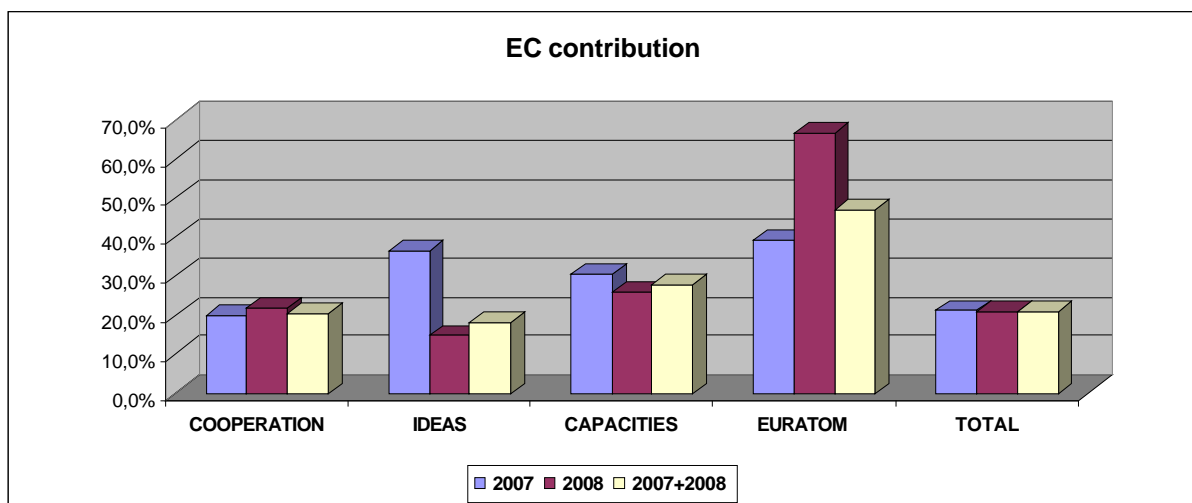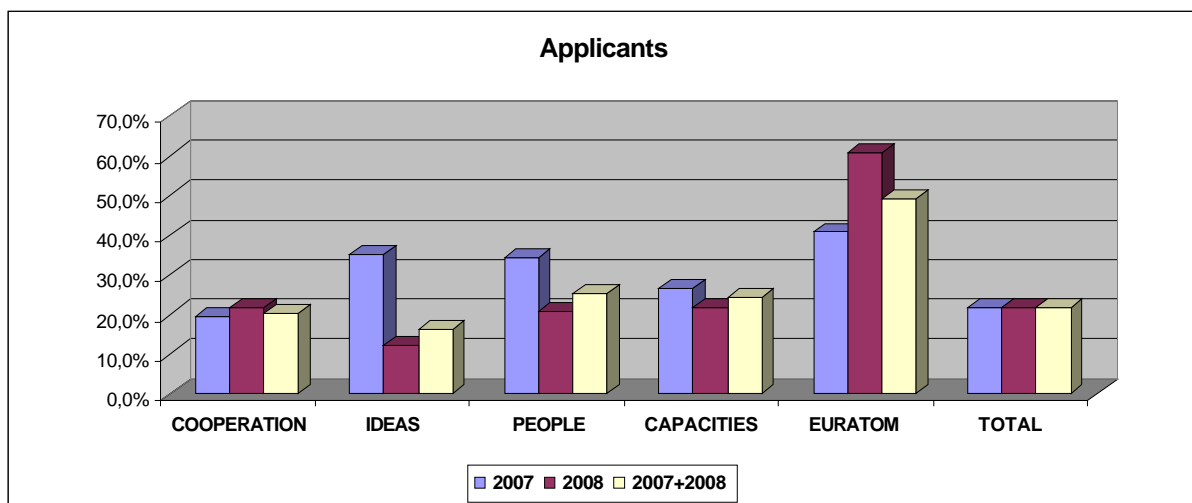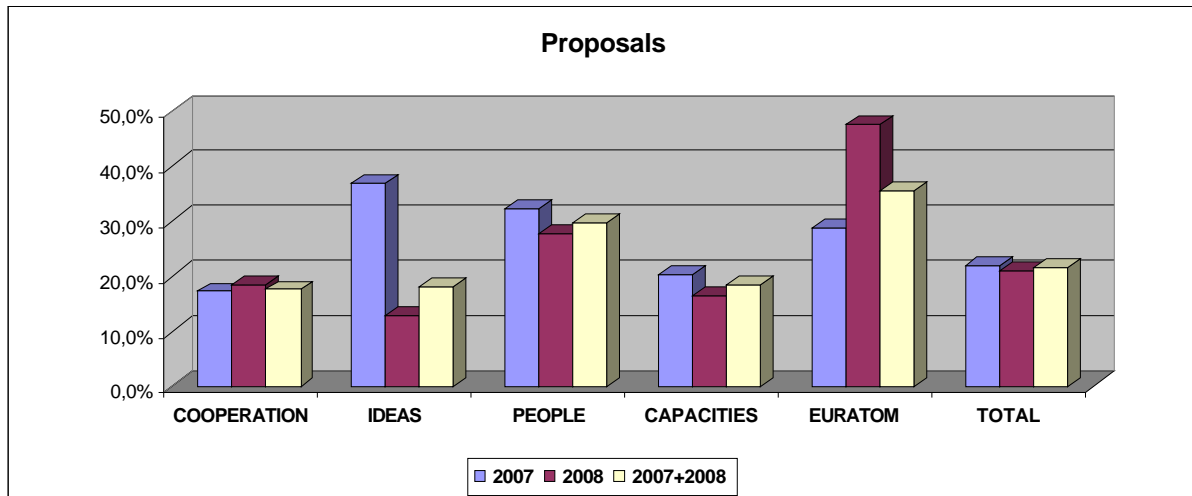
1.2.1.3 Signed grant agreements

The current situation (by the time of the latest data extraction on 25/02/2009) in terms of grant agreements corresponding only to calls concluded in 2008 is presented in Table 2.

Table 2: Signed grant agreements, participants and budgets in million euro corresponding to FP7 calls conclud ed in 2008 (by 25/02/2009).

SPECIFIC PROGRAMME	GRANT AGREEMENTS		PARTICIPANTS		PROJECT COST		EC CONTRIBUTION	
	no.	%	no.	%	€M	%	€M	%
COOPERATION	97	20,2%	898	52,1%	442,4	47,9%	322,6	42,3%
IDEAS	174	36,3%	191	11,1%	337,2	36,5%	337,2	44,2%
PEOPLE	168	35,0%	339	19,7%	18,8	2,0%	17,6	2,3%
CAPACITIES	35	7,3%	205	11,9%	84,0	9,1%	64,0	8,4%
EURATOM	6	1,3%	91	5,3%	40,9	4,4%	21,6	2,8%
Total	480	100,0%	1.724	100,0%	923,2	100,0%	763,0	100,0%

As it is explained in the introductory paragraph of this section, given the volatile picture of grant agreements due the continuous update of the database, it is more informative to examine the cumulative situation, as presented in Table 3.

Table 3: Cumulative numbers of FP7 signed grant agreements, participants and amounts of budgets in million euro (up to 25/02/2009).

SPECIFIC PROGRAMME	GRANT AGREEMENTS		PARTICIPANTS		PROJECT COST		EC CONTRIBUTION	
	no.	%	no.	%	€M	%	€M	%
COOPERATION	1.380	38,9%	14.704	68,4%	6.912,7	76,6%	4.847,7	72,9%
IDEAS	474	13,3%	502	2,3%	671,9	7,4%	671,2	10,1%
PEOPLE	1.304	36,7%	2.463	11,5%	455,4	5,0%	451,9	6,8%
CAPACITIES	365	10,3%	3.435	16,0%	842,1	9,3%	603,7	9,1%
EURATOM	28	0,8%	393	1,8%	141,1	1,6%	77,4	1,2%
Total	3.551	100,0%	21.497	100,0%	9.023,2	100,0%	6.652,0	100,0%

1.2.2 Participation by funding scheme

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

§ Collaborative Projects, including combinations of Collaborative Projects and Coordination and Support Actions (CP/CP-CSA)
§ Networks of Excellence (NoE)
§ Coordination and Support Actions (CSA)
§ Research for the benefit of specific groups and Marie Curie Actions (Support for training and career development of researchers) (BSG/MC)
§ Support for frontier research (European Research Council), risk sharing finance facilities and others (ERC/RSFF/OTH)

Similarly to 2007, in 2008 Collaborative Projects make up by far the largest part of FP7 in retained proposals both in terms of total numbers of applicants (52,7%) and of requested EC contribution (72,8%), while BSG and Marie Curie Actions have the highest share of retained proposals – more than half of the total (1.349 or 56,5%). Under the Networks of Excellence funding scheme there are only 5 new retained proposals involving 100 applicants and a corresponding Community contribution of 26,2 million euro.

Figure 5: Numbers of retained proposals, numbers of applicants and amounts of requested Community financial contribution in retained proposals for FP7 calls concluded in 2007 and 2008 by funding scheme.
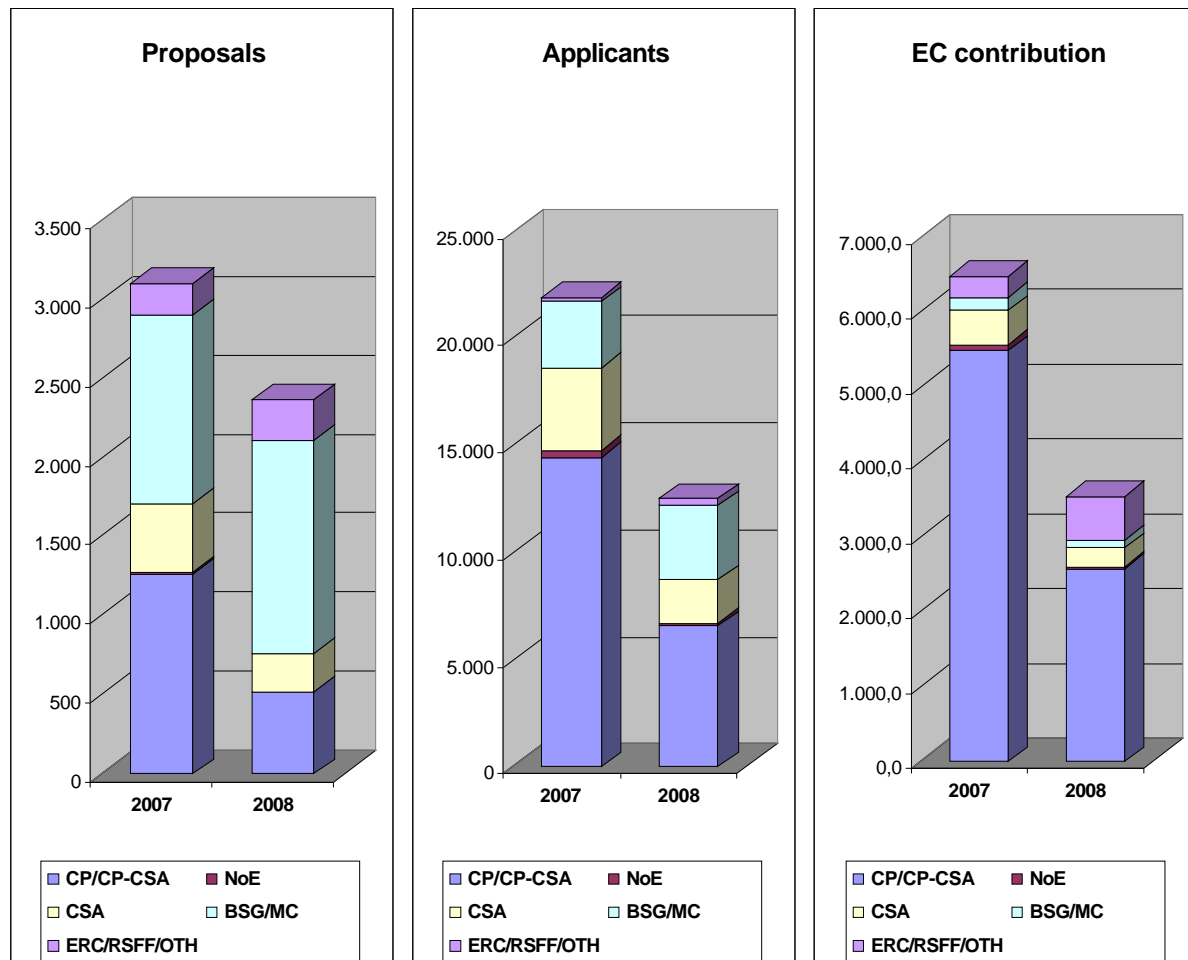

Figure 6 presents the breakdown of the different funding schemes by specific programme in terms of numbers of retained proposals, applicants and requested Community contribution in 2007 and 2008.

Figure 6: Numbers of applicants and amounts of requested Community financial contribution in retained proposals for FP7 calls concluded in 2007 and 2008 by funding scheme and specific programme.
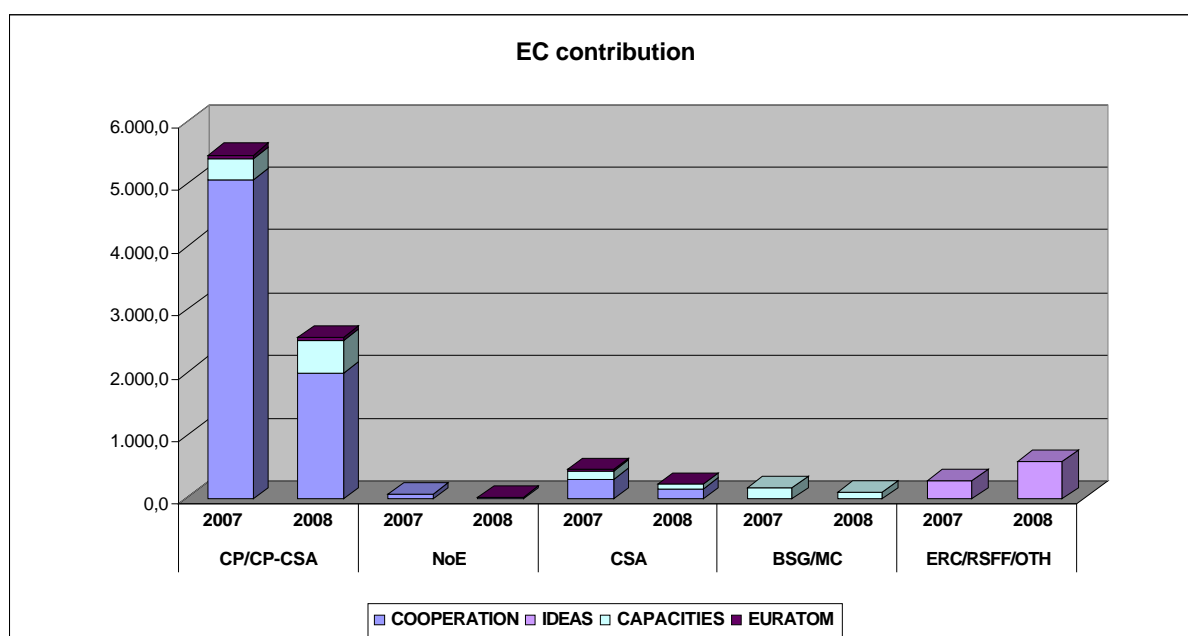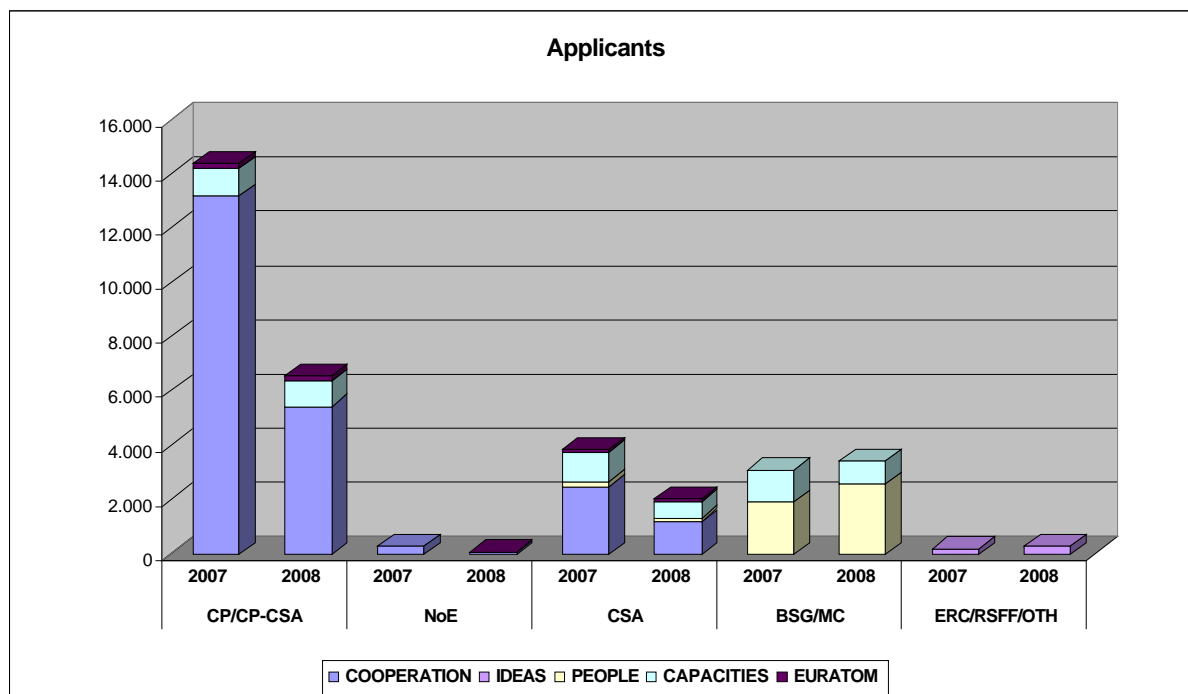
1.2.3 Participation by type of organisation

Data on the type of activity of participating organisations in FP7 is collected according to a classification scheme which groups organisations in the following 5 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 2008, similarly to the previous year, higher and secondary education institutes are the main players in terms of FP7 participation shares, accounting for more than a third of applicants (4.436 or 35,5%) in retained proposals.

In terms of requested Community funding in retained proposals, however, the biggest beneficiaries in 2008 are private for profit organisations (PRC), closely followed by research organisations (REC) and education institutes (HES) – each one of which accounts for approximately a quarter of the total funding.

Figure 7: Numbers of applicants and amounts of requested Community financial contribution in retained proposals for FP7 calls concluded in 2007 and 2008 by activity type and specific programme.
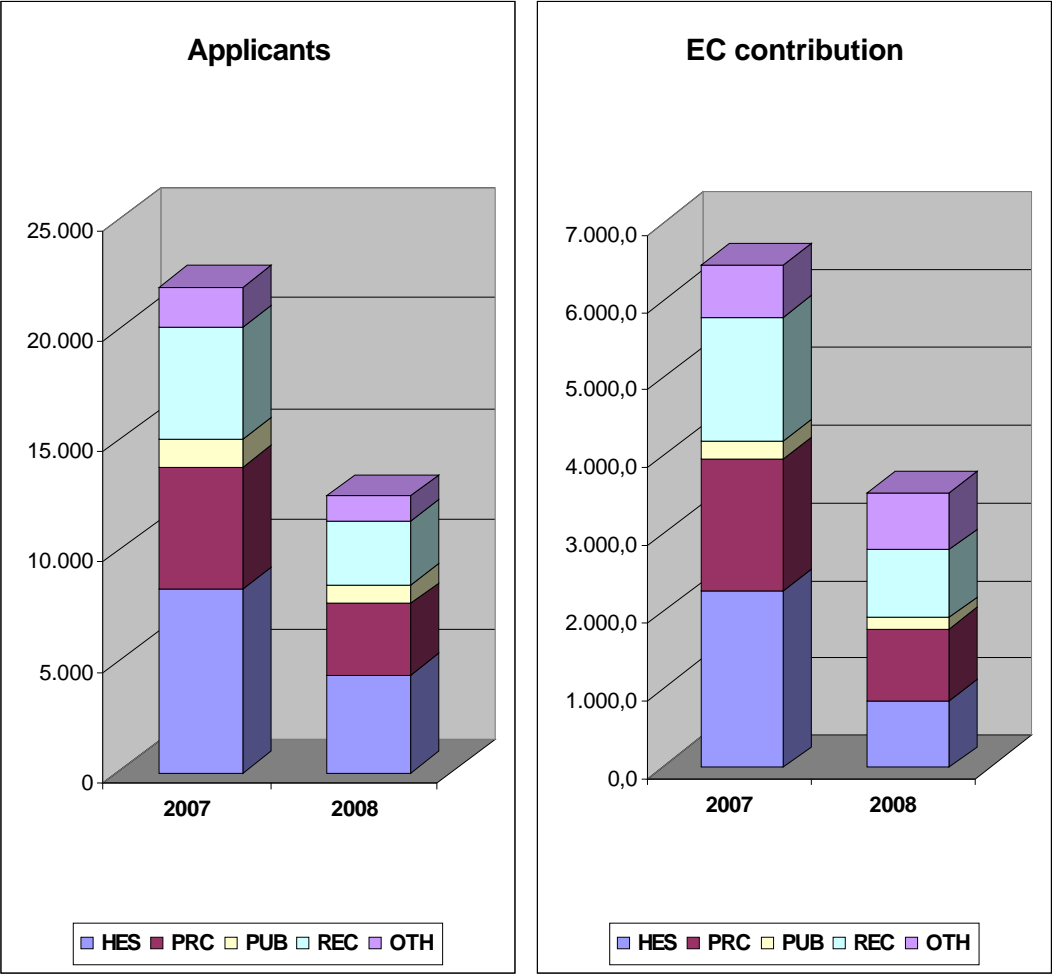
Figure 8 presents the shares of the different types of organisations in terms of applicants and requested Community contribution in retained proposals by specific programme in 2008.

Figure 8: Numbers of applicants and amounts of requested Community financial contribution in retained proposals for FP7 calls concluded in 2007 and 2008 by type of organisation and specific programme.
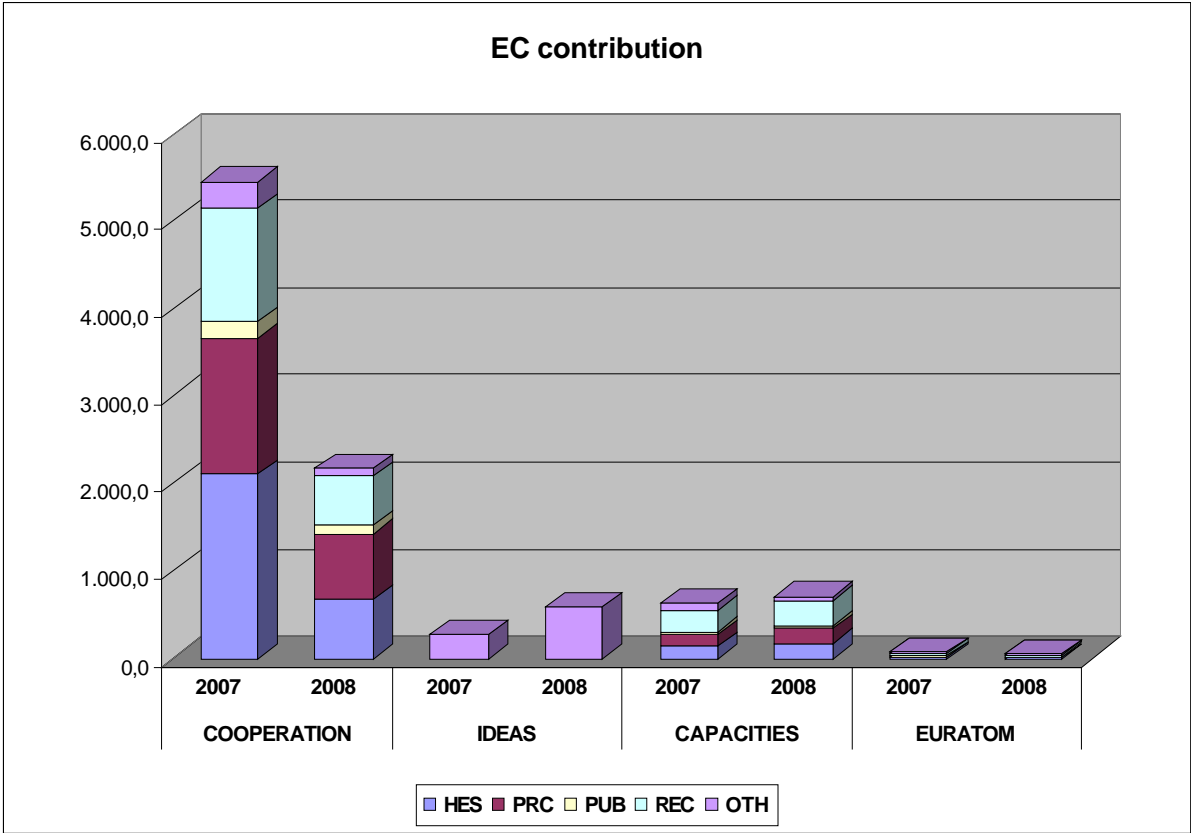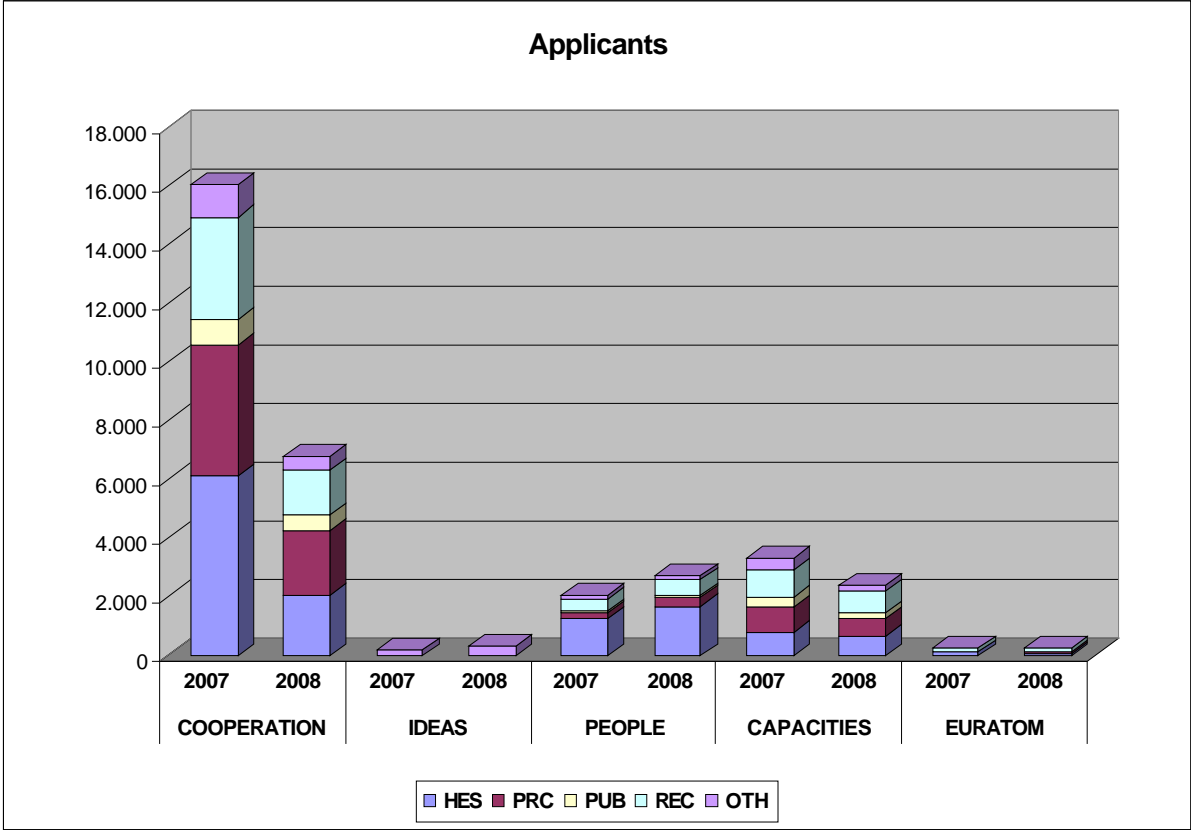
In 2008 private sector participation is particularly strong in the thematic areas of Transport (which accounts for 29.2% of the total private sector participation in FP7 retained proposals in 2008 in terms of applicants and 31% in terms of requested Community contribution),

Nanotechnologies (17,8% and 20% respectively), "Research for the benefit of SMEs" (17% and 9,9% respectively), and Energy (7,1% and 14,8% respectively).

Figure 9: Number of applicants and amounts of requested Community contribution in retained proposals for FP7 calls concluded in 2008 by activity type and thematic area.
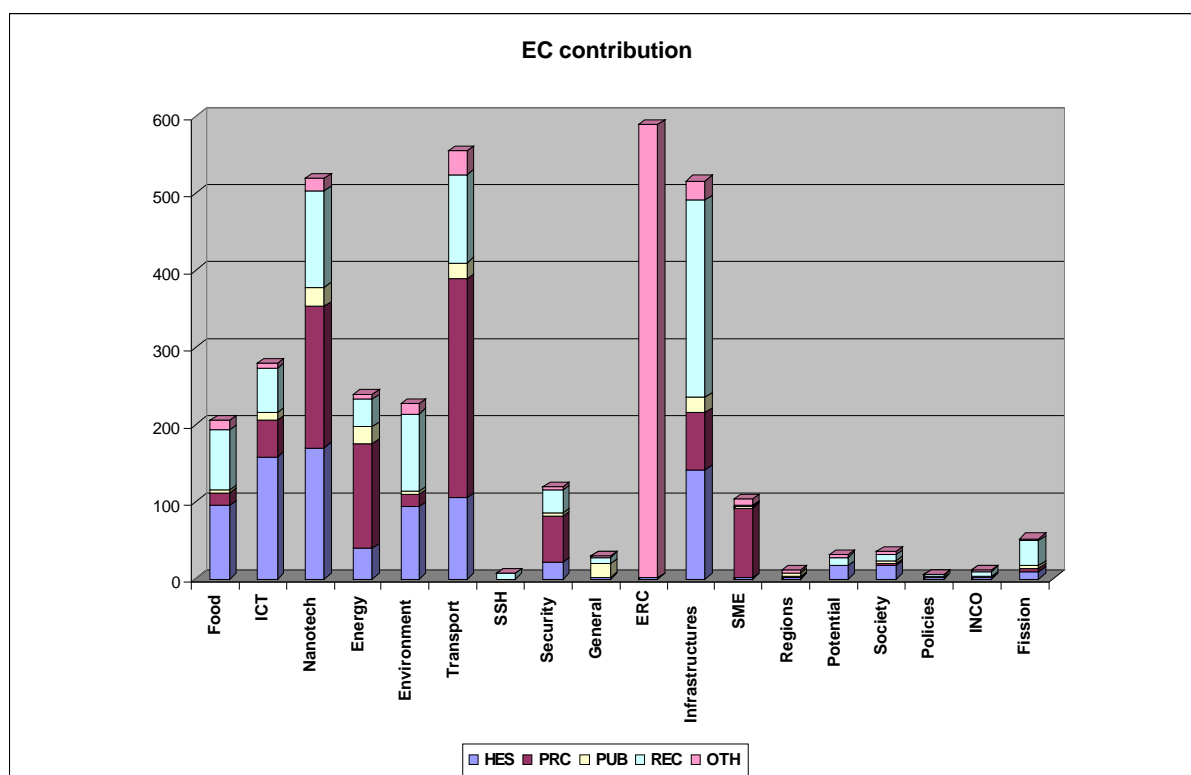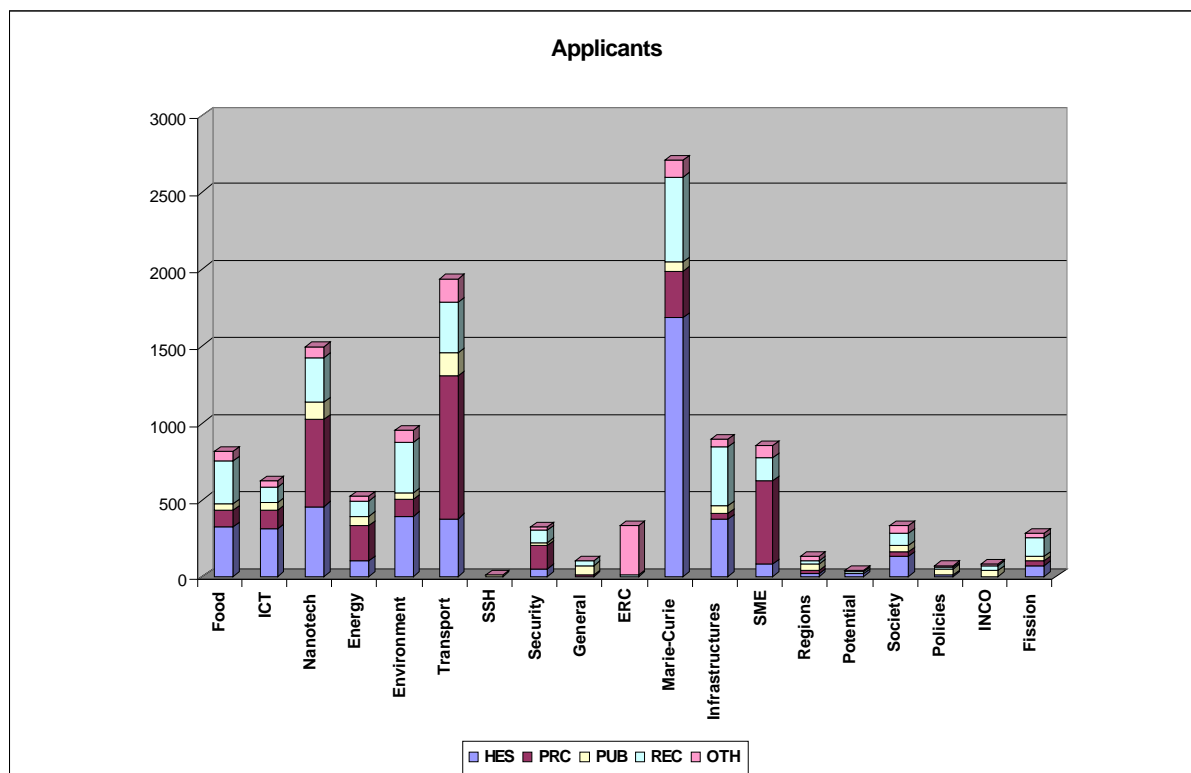
Given the well-known limitations of the available statistical data on SMEs in submitted, included and retained proposals, the statistical figures provided in this report are drawn on the basis of the entire population of signed grant agreements from the beginning of FP7 up until the last data extraction from the CORDA database (25/02/2009).

More than two thirds (69,3%) of all SMEs that participate in signed grant agreements are under the specific programme Cooperation, and more than a quarter (26,1%) of them under the specific programme Capacities. The presence of SMEs in the specific programmes Ideas, People and Euratom is negligible.

During the first two years of implementation of FP7, SMEs represented 15,5% of all participants in signed grant agreements, and their share of total project costs and requested Community contribution was 12,2% (1,1 billion euro) and 12,6% (837 million euro) respectively.

Table 4: Shares of SMEs in participants and corresponding project costs and Community financial contribution in all signed grant agreements until 25/02/2009 by specific programme (as % of total number of SMEs and % of all types).

SPECIFIC PROGAMME	PARTICIPANTS				PROJECT COST				EC CONTRIBUTION			
	ALL	SME	% Total	% ALL	ALL	SME	% Total	% ALL	ALL	SME	% Total	% ALL
COOPERATION	14.704	2.315	69,3%	15,7%	6.909,2	861,9	78,5%	12,5%	4.847,7	653,4	78,1%	13,5%
IDEAS	502	2	0,1%	0,4%	671,9	3,1	0,3%	0,5%	671,2	3,1	0,4%	0,5%
PEOPLE	2.463	127	3,8%	5,2%	454,0	25,7	2,3%	5,7%	451,9	25,9	3,1%	5,7%
CAPACITIES	3.435	871	26,1%	25,4%	840,5	201,1	18,3%	23,9%	603,7	150,7	18,0%	25,0%
EURATOM	393	26	0,8%	6,6%	141,1	5,7	0,5%	4,0%	77,4	3,9	0,5%	5,1%
Total	21.497	3.341	100,0%	15,5%	9.016,7	1.097,5	100,0%	12,2%	6.652,0	836,9	100,0%	12,6%

1.2.4 Participation by country

The Framework Programme by conception is a collaborative programme with global outreach open to all researchers and research organisation irrespective of their country of origin. During its first two years of implementation FP7 has attained unprecedented levels of international participation by involving researchers in retained proposals from as many as 136 countries from all continents.

For analytical and comparative purposes participating countries are conventionally grouped in this section in three groups, namely "EU Member States", "Candidate and Associated Countries", and "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.

The shares of applicants and of requested Community financial contribution of each of the above groups of countries is shown in Figure 10.

Figure 10: Numbers of applicants and amounts of requested Community financial contribution in retained proposals for FP7 calls concluded in 2007 and 2008 by groups of countries.
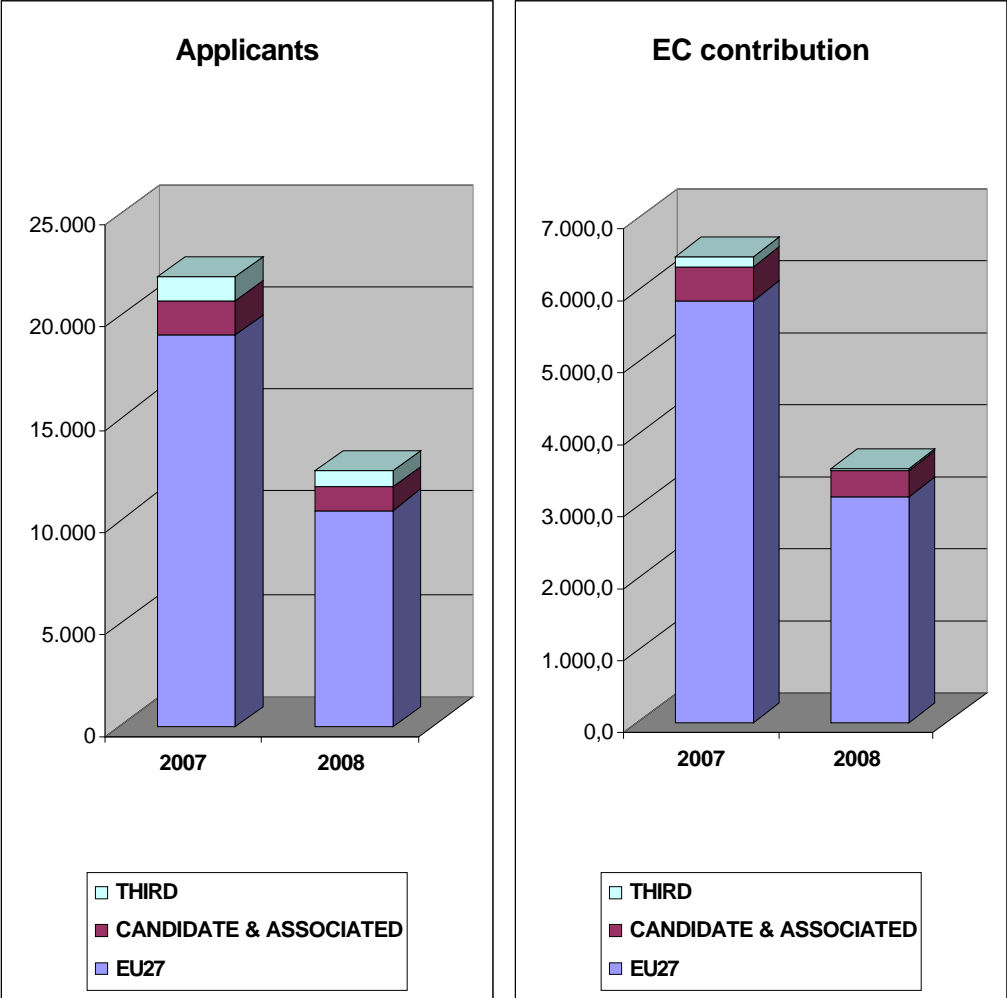
1.2.4.1 EU Member States

The following graphs present various aspects of the EU Member States participation patterns during the first and second years of implementation of FP7, as well as the aggregate picture.

Figure 11: Numbers of EU27 applicants and requested Community financial contribution (in million euro) in retained proposals for FP7 calls concluded in 2007 and 2008 by EU member state.
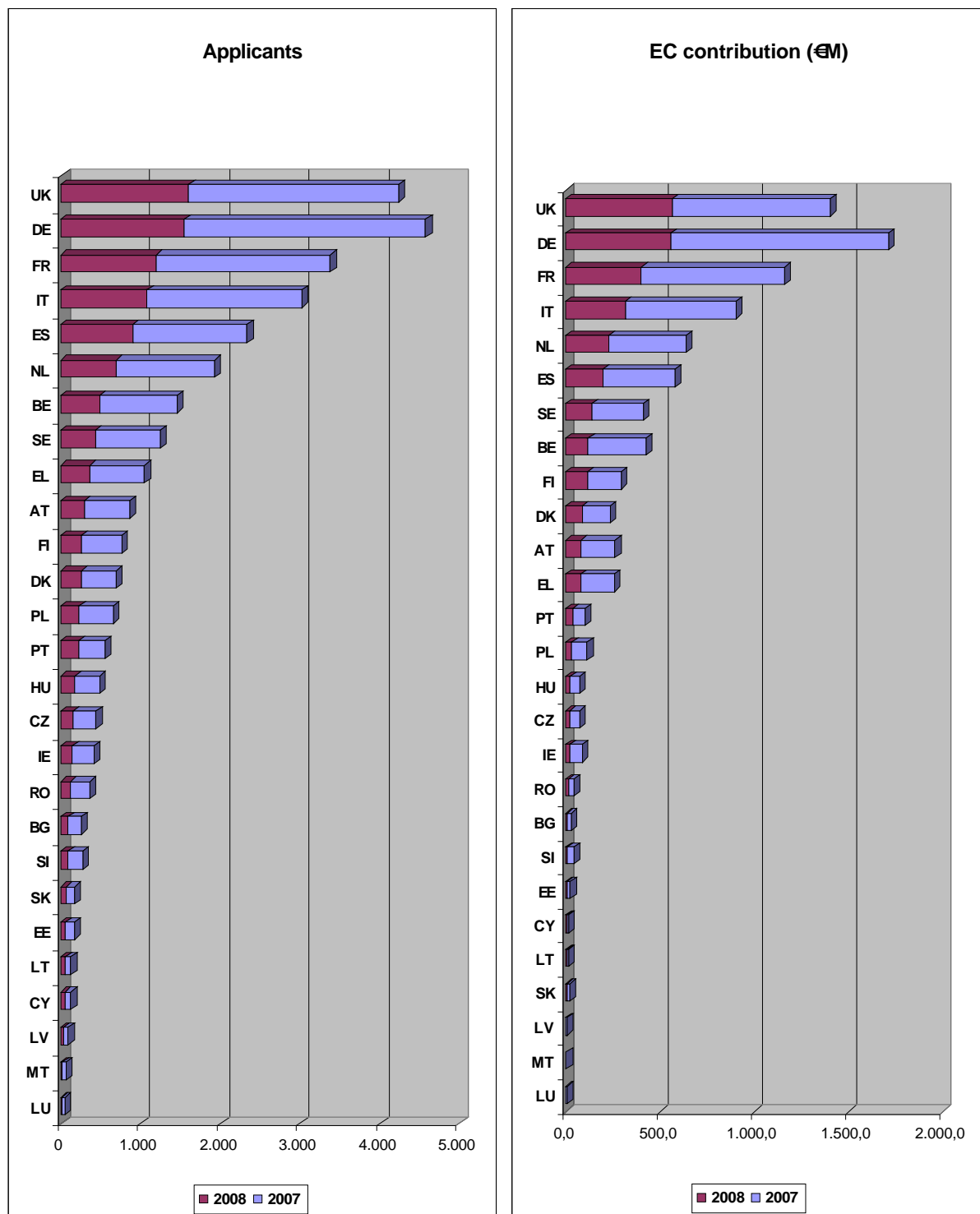
Figure 12: Success rates of EU27 applicants and requested Community financial contribution for FP7 c alls concluded in 2007 and 2008 by EU member state.
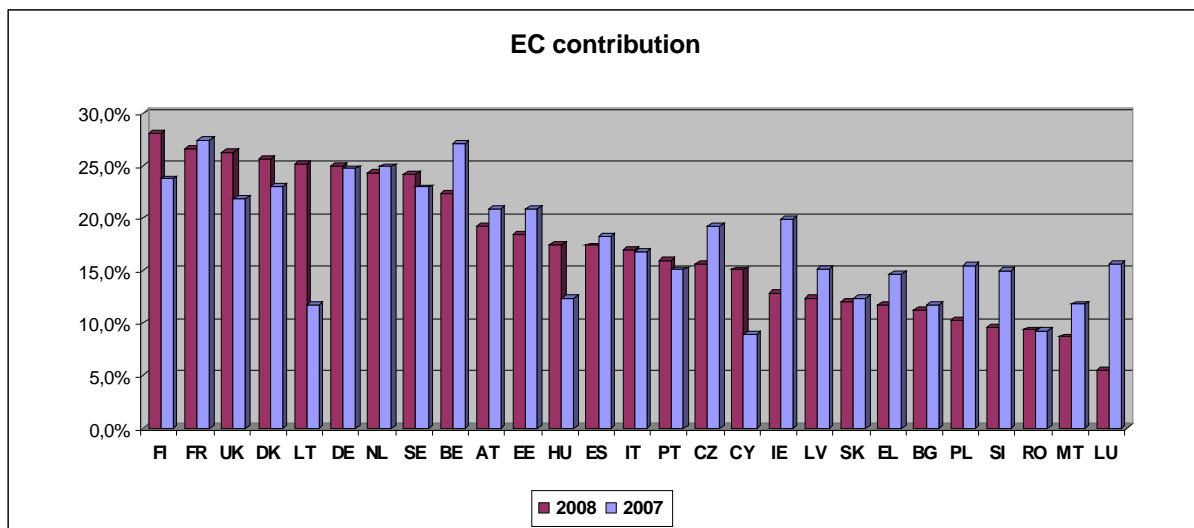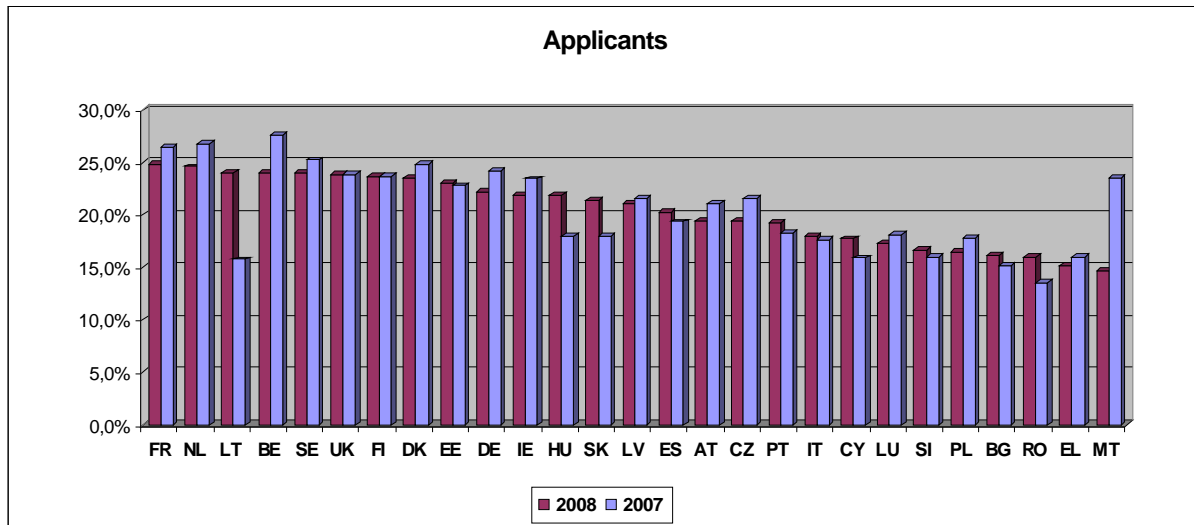
Figure 13: Requested Community financial contribution per applicant (in thousand Euro) in retained proposals for FP7 calls concluded in 2007 and 2008 by EU member state.
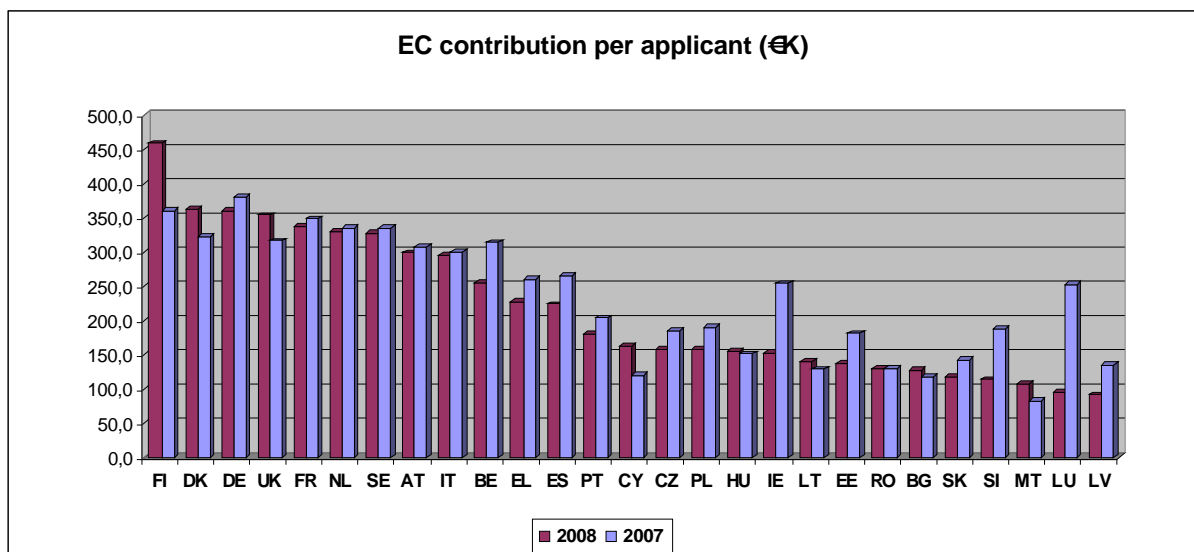
1.2.4.2 Candidate and Associated Countries

Candidate and Associated Countries[4] constitute a heterogeneous group which accounts for 8,8% of total applicants in retained proposals and 9,9% of requested Community financial contribution with success rates 21,5% and 17,6% respectively.

Figures 14 and 15 present the situation in terms of numbers of applicants and requested Community contribution and the success rates of Candidate and Associated Countries in 2007 and 2008.

Figure 14: Numbers of applicants and requested Community financial contribution (in million euro) in retained proposals for FP7 calls concluded in 2007 and 2008 for candidate and associated countries.

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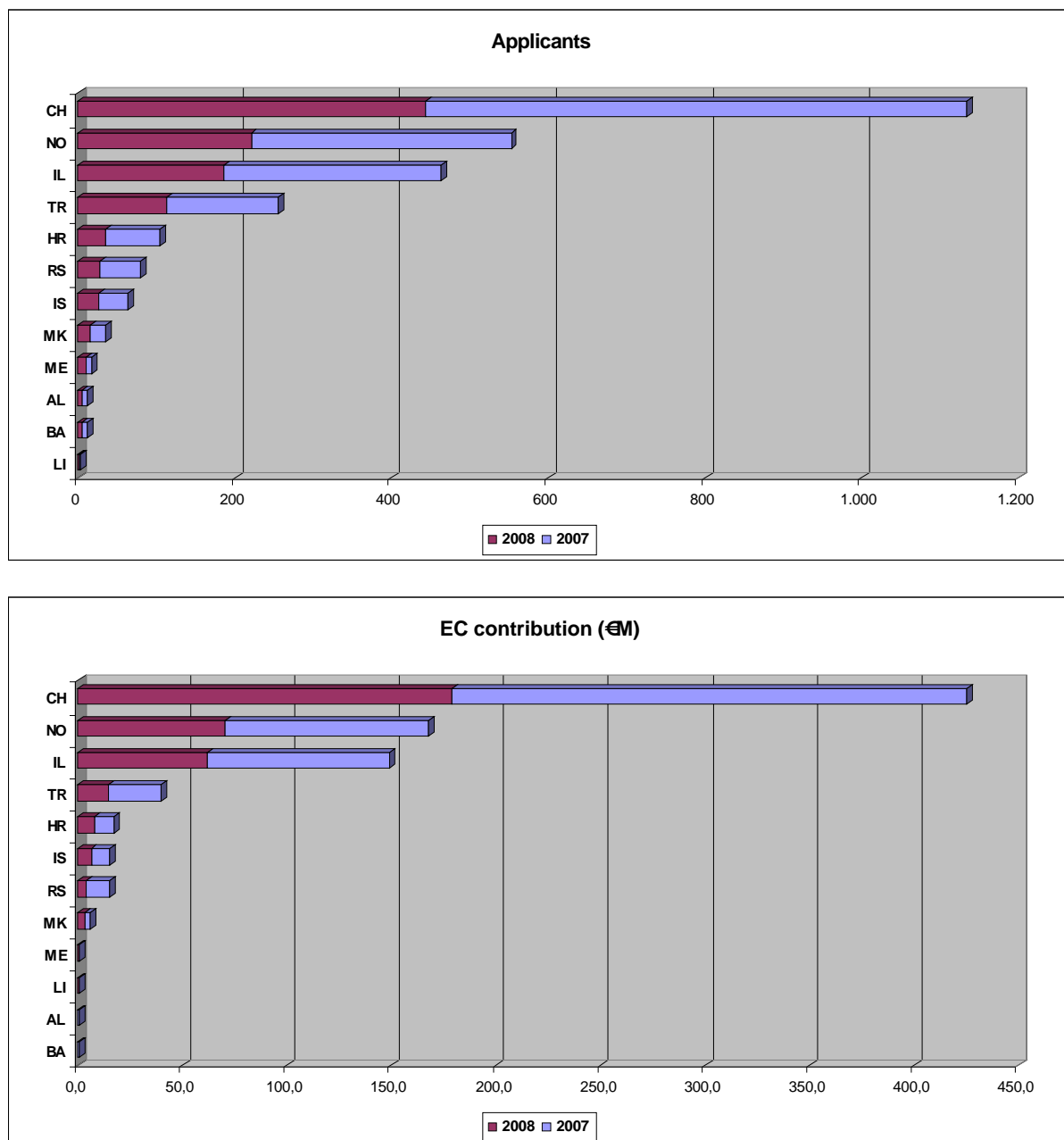
[4] The Candidate and Associated Countries are Albania, Bosnia-Herzegovina, Croatia, Former Yugoslav Republic of Macedonia, Iceland, Israel, Liechtenstein, Montenegro, Norway, Serbia, Switzerland, and Turkey.

Figure 15: Success rates of applicants and requested Community financial contribution for FP7 calls concluded in 2007 and 2008 for candidate and associated countries.

Applicants
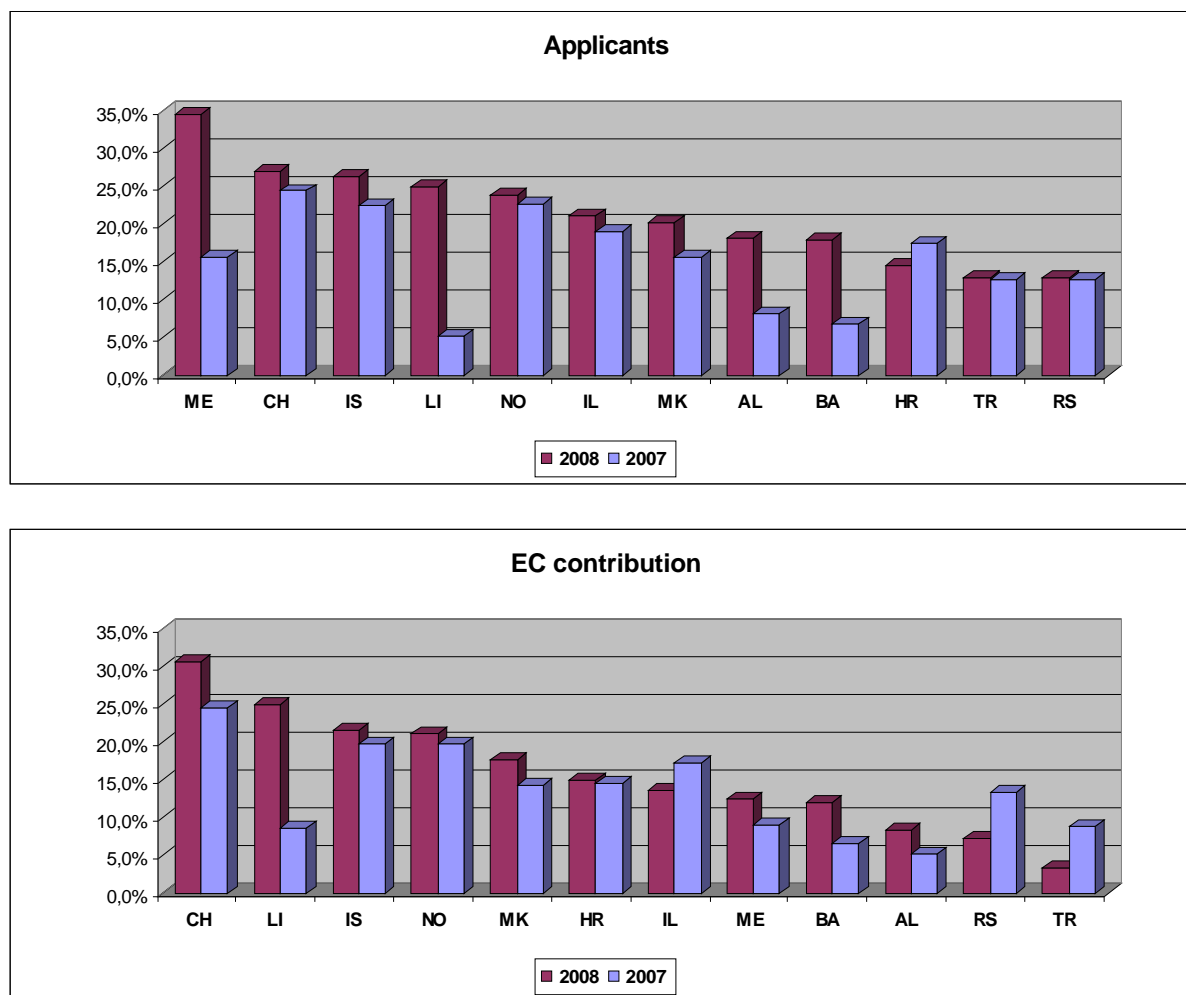
EC contribution

1.2.4.3 Third Countries

In 2008 there are 804 applicants from as many as 64 'Third Countries' with a total requested Community financial contribution of 44,8 million euro in retained proposals. These figures represent 6,4% of the total number of applicants and a mere 1,3% of the total amount of requested Community contribution in retained proposals, and correspond to an average success rate of 24,7% for applicants and of 15,2% for requested financial contribution.

In this diverse group of countries the 10 biggest participants in 2008 in terms of numbers of successful applicants have been the USA, Russia, China, Brazil, India, Australia, Ukraine, Canada, South Africa, and Argentina. In terms of EC financial contribution the 10 countries most actively involved have been Russia, Brazil, India, China, the USA, Ukraine, Argentina, South Africa, Canada, and Australia. All of these countries belong to the group of Third Countries with S&T agreements with the EU. As a whole, this group accounts for 84,5% of the total number of Third Country applicants and for 73,7% of the total requested Community contribution to Third Countries in retained proposals.

Figure 16 presents the situation of the 17 Third Countries with S&T agreements in terms of numbers of applicants and requested Community financial contribution in retained proposals.

Figure 16: Numbers of applicants and requested Community financial contribution in retained proposals for FP7 calls concluded in 2007 and 2008 by Third Countries with S&T agreements.
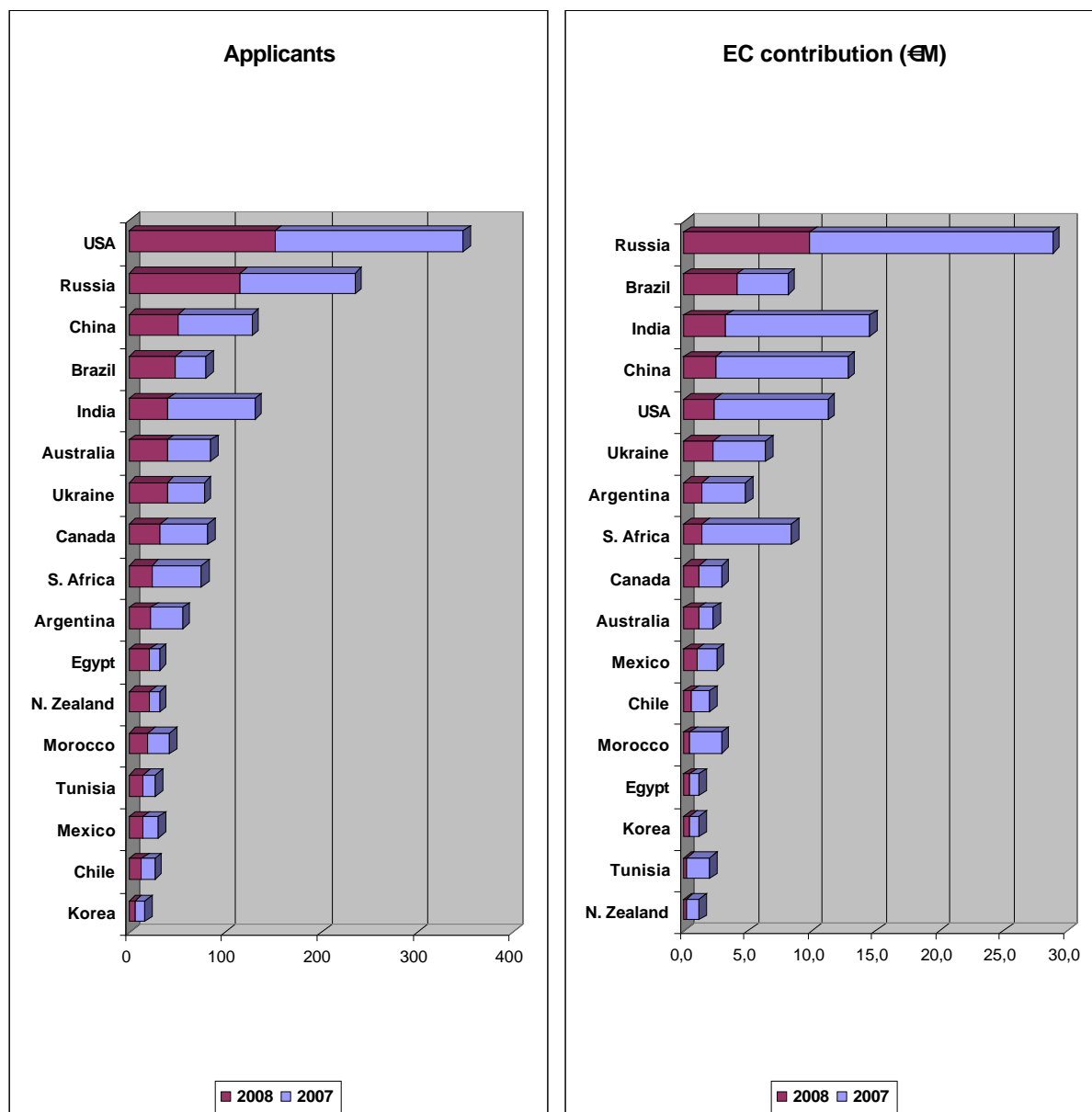
1.3 Gender Equality and FP7

In 1999, early in FP5, the Commission adopted a Communication in which it undertook the commitment to develop a coherent approach towards promoting women in research financed by the European Communities.[5] 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.

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

1.3.1 Patterns of Gender Participation in FP7

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.

Out of an estimated total of 61.385 individual project participants whose gender identity has been recorded in the database, 28% (or 17.195) are women. Of all individuals having a "contact person" role in coordinating organisations, 31,1% (3.953) are women. In participating organisations (non-coordinators), the corresponding share of women is 27,2% (13.242).

More than a fifth (21,6%) of individuals characterised as "contact person for scientific aspects" in signed grant agreements are women. Female participation makes up more than a third (35,4%) of participants in signed grant agreements in the category "fellow", under the Specific Programme "People" (Marie Curie Actions) and a fifth (20,7%) of participants in the category "principal investigator", which corresponds to lead scientists in ERC grant agreements (Specific Programme "Ideas").

Table 5 (and Table B.4, Annex B) present a detailed breakdown of this data.

Table 5: 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	42,9%	37,9%	38,8%
CONTACT PERSON FOR LEGAL ASPECTS	44,4%	41,8%	42,4%
CONTACT PERSON FOR SCIENTIFIC ASPECTS	20,4%	21,8%	21,6%
FELLOW	--	--	35,4%
PRINCIPAL INVESTIGATOR	--	--	20,7%
FIRST ADMINISTRATIVE OFFICER	20,6%	15,6%	16,6%
SECONDARY ADMINISTRATIVE OFFICER	30,7%	25,2%	26,3%
Total	31,1%	27,2%	28,0%

1.3.2 Gender Repartition in FP7 Advisory Groups, Programme Committees and the European Research Area Board (ERAB)

Figure 17 presents the distribution of women in groups, panels and committees from FP4 to FP7. It should be noted that very limited data is available for FP4 and that the information available for FP7 is also limited at this stage.

Figure 17: Share of women in groups, panels and committees (FP4, FP5, FP6, FP7).
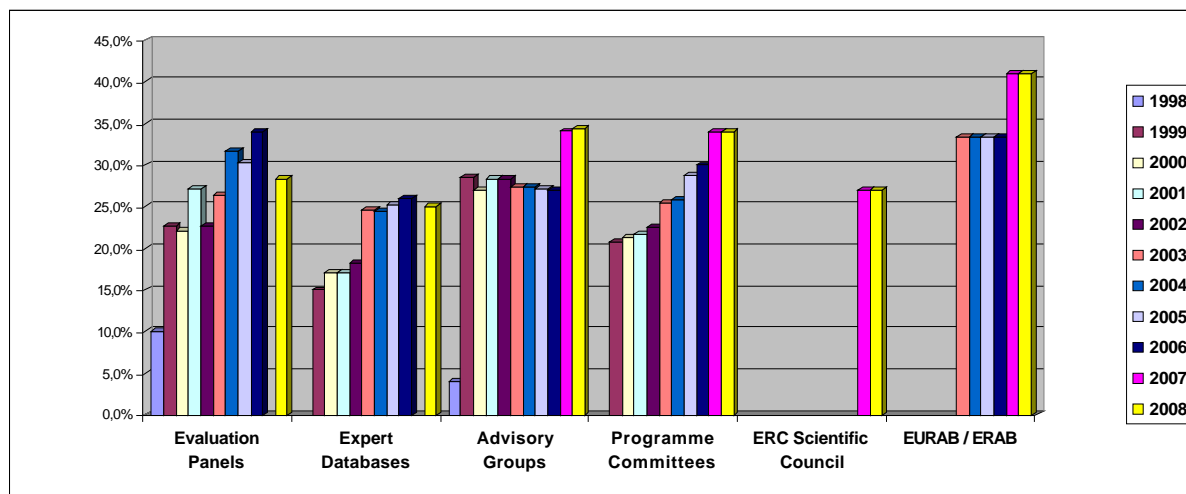
For FP7, initially 16 Advisory Groups were set up. Following a reduction of the number of Advisory Groups[6] and a membership renewal in most groups in 2008, the percentage of women in the 11 Advisory Groups managed by DG RTD is now 38,5%. These numbers are still slightly below the 40% target, but they have been improved from 2007 to 2008. The percentage of women in all FP7 Advisory Groups is 34,4%, i.e. almost unchanged compared to 2007.

The overall percentage of female members of FP7 Programme Committees in the first two years of FP7 is 34 %.

At the time of the writing this report, the percentage of female members of the ERC Scientific Council is 27%.

Throughout its existence, the percentage of female members of the European Advisory Board EURAB, the high level advisory board established for FP6, was 33%. The corresponding figure for the membership of the European Research Area Board ERAB, the new consultative body responsible for advising the EU on the realisation of the ERA, is 40.9%.

1.4   Quality Assessment of Proposal Evaluation

In order to receive the independent experts' opinion on the quality of the proposal evaluation process and the procedures applied, an anonymous on-line survey of all experts who participated in the evaluation of proposals during the second year of FP7 was carried out. A similar survey had already been performed in 2007.

The data collected from the second year of FP7 reinforce the positive picture of the quality of the evaluation process. Key figures are presented in the table below.

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[6] Health; Food agriculture & biotechnology; ICT; Nanosciences, nanotechnologies, materials & new production technologies; Energy & Euratom; Environment; Transport; Socio-economic sciences & humanities; Space; Security; People; Research for SMEs; Regional aspects of FP7; Activities of international cooperation.

Table 6: Key figures of Evaluators' Survey 2008, compared to 2007 results

Evaluators' Survey	2007	2008
Experts invited to participate	3.630	3.492
Responses received	2.281	1.682
Respondents finding the quality of the evaluation overall *satisfactory* to *excellent*	96,1%	97,6%
Respondents rating the quality of the evaluation overall *excellent*	22,1%	26,5%
Respondents, having previously evaluated research proposals for national or international research funding schemes, finding the EU evaluation process *similar*, *better* or *very much better*	91%	96,5%
Respondents, having previously evaluated research proposals for national or international research funding schemes, finding the EU evaluation process *better* or *very much better*	52,6%	61,3%

The results demonstrate that the high quality of the evaluations has been maintained and could even be further improved compared to the first year of FP7.

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 good/satisfactory/excellent (96,5%).

There are nevertheless a number of results pointing towards issues for attention:

§ *Remote evaluation*: Remote individual evaluation is preferred by 68% of the respondents (2007: 61%). There is a general positive feeling about the time for the reading and the individual evaluation of the proposals.

§ *Available time*: A large majority (80,5%) believed there was sufficient time for the reading and the individual evaluation of proposals. However, a significant minority of the experts (16,7%) thought they had too little or totally insufficient time for this part of the evaluation, which is the same figure that was recorded in 2007 and remains a very frequent and recurrent complain in the free comments. Many evaluators would also like to see more time for consensus discussions.

§ *Evaluation criteria*: Asked whether they thought that the evaluation criteria were appropriate and consistently applied 93,7% (90% 2007) believed they were. Nevertheless a few experts consider that different weight should be given to the S/T quality criterion compared to the other ones. Some expert suggests changing the respective weights, giving higher weight for this criterion. In particular the 'impact' criterion is still found the most difficult to apply and is considered "less" relevant or "less" assessable by the experts.

§ *Conflicts of interest*: 21,5% of the evaluators answered 'YES' when asked if they were aware of any possible conflicts of interest. However, an overwhelming majority of these, 92,1% (2007: 70,3%) believed that these possible conflicts of interest were thought to be handled correctly.

§ *Logistical aspects*: An overwhelming majority of the experts (95,3%) rates the overall organisation of the evaluation very positively. A significant part of these respondents (43,9%) evaluates it 'excellent' (2007: 29,9%). Clearly the logistical aspects seem to have been improved during 2008. This is probably due to the improved operability of the Covent Garden site and the dedicated support team. Most of the evaluators (95,5%) found the registration efficient and welcoming and rated it from 'satisfactory' to 'excellent' (55,2%). Nevertheless a number of comments and recommendations have been made with

respect to the IT related aspects of the evaluation, such as access to Internet and the working of the RIVET system[7] and other supporting infrastructure.

1.5 Redress Procedure

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

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

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

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

§ The configurations work independently, and deliver their advice to the responsible directors. They may take account of possible comments from the director, and from the redress office (see below).

§ A "redress office" (RO), located in unit RTD/A1, is responsible for registering and tracking redress requests, supporting the committee configurations, and ensuring that policy is coherent and consistent over time, based on case histories.

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

Table 7 presents the results of the redress procedure for FP7 calls launched in 2008 and 2007 (except ERC).

Table 7: Key figures for redress procedure in 2008 and 2007

Redress Procedure	2007	2008	2007 & 2008
Number of redress requests received	772[9]	398[10]	1170
Number of redress cases that were all or partly upheld, but did not lead to a re-evaluation*	41	25	66
Number of redress cases leading to a re-evaluation	8	9	17
Redress cases leading to a re-evaluation (% of proposals received)	0,045	0,090	0,062

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.

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[7] RIVET – Commission IT system used for evaluations.

[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. Brussels.

[9] Out of 17.418 proposals received. The number of proposals is derived from 65 FP7 calls with 2007 call-ID, for which redress information was available at the time of data extraction (January 2009).

[10] Out of 9.962 proposals received. The number of proposals is derived from 46 FP7 calls with a 2008 call-ID for which redress information was available at the time of the writing of this report.

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 and 2008 cases can be found in Section 2.1.3.

1.6   Ethics Reviews

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 legislation and the ethical considerations specified in the Framework Programme. The Ethics Review process is described in some 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)*. Furthermore a new process of Ethics Audit has been initiated in order to guarantee that Community funded research is carried out according to the above mentioned principles.

The Ethics Review Sector of DG RTD is in charge of organising an ethics review of those proposals that have successfully passed the scientific evaluation step and have been found to involve sensitive ethical issues that have not been adequately addressed. The organisation of the Ethics Review involves the appointment of the members of the Ethics Review Panels and the procedural coordination of the entire evaluation process.

Research proposals involving interventions on human beings (surgical interventions etc.), non-human primates, or human embryos/embryonic stem cells are automatically referred for ethical review at EC level. An ethics review at EC level is also organised for those cases where necessary ethical safeguards would not otherwise be in place, such as in cases of international co-operation where national ethics bodies are not effective, or not in place, in co-operating countries.

In 2007, Ethics Screening had been introduced in order to facilitate the selection of projects that required Ethics Review at the EC level. In 2008, the Ethics Screening has been generalised to all programmes including the ERC. The screening is the responsibility of the programmes that receive the applications. Screening is mostly conducted by ethics experts. In 2008, 7 proposals have been flagged for ethics audit, a process which is currently in its preparatory phase. A database collecting information on FP7 ethics reviews is being established.

Table 8 presents an overview on ethics reviews organised during the first two years of FP7.

Table 8: Key figures for Ethics Reviews in 2007 and 2008

Ethics Reviews	2007	2008	2007 & 2008
Number of Ethics Reviews organised	245	294	539
Projects stopped as a result of the ethics review	0	0	0
Project proposals found to have insufficient safeguards in place, requested to modify project following contractually binding requirements	44	82	126
Experts having participated in ethics review process	79	95	174

The project proposals that were reviewed cover a broad variety of issues under different themes and Specific Programmes. In both years, *Health* is the theme with the highest number of ethics reviews, followed, in 2007, by the *ICT* and *Security* themes, and the *Ideas* Programme (ERC), and, in 2008, by the *People* and the *Ideas* Programme, respectively.

All projects subjected to an ethical review are also fully examined by the relevant Programme Committee under its Regulatory Framework.

1.7 Dissemination Activities

1.7.1 Internet

The European Commission Research web site on EUROPA currently has some 26.000 pages (2007: over 25.000) that are regularly visited by over 125.000 people each month, as well as pages of historical interest (e.g. FP5, FP4) which are visited less. EUROPA provides up-to-date information on the latest decisions and latest advances in European Research. In 2008, there were nearly 8,5 million visits (2007: 7,5) to this site leading to 16,2 million page views (2007: 16,65).

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 2008, compared to 2007, are shown below.

Table 9: CORDIS usage statistics in 2008, compared to 2007

CORDIS usage statistics		2007	2008
VISITS	Total amounts of visits	40.807.258	16.427.703
	Daily average of visits	111.495	44.884
PAGES	Total amount of page accesses	73.692.567	41.810.363
USERS	Number of users (IP addresses)	343.595	294.078
	With only one visit	60.753	84.178
	With >1 visit	282.842	209.900
DOCUMENTS	Number of documents downloaded (correct & incorrect)	7.510.175	4.405.646
	Total size of documents downloaded	2.845,820 GB	2.011,983 GB

The significantly lower figures for 2008, compared to 2007, reflect the introduction of major robot filtering in CORDIS. In the past (prior 2008), all automatic hits by search robots were counted, including all those hits or pages never opened by the searching person. From 2008, robot filtering is being applied, aiming at counting the hits by real persons only to show more realistic figures. This type of robot filtering is also being applied for the EUROPA website.

1.7.2 National Contact Points Meetings

National Contact Points (NCPs) play an essential role in providing information and assistance to potential applicants and are hence 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 FP.

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[11]. These guidelines address the network architecture, the nomination and recognition process and the operational modalities.

At a central level, in total four meetings with National Contact Points were organised in 2008. A meeting of the National NCP Coordinators took place in October 2008. The FP7 Legal and Financial NCPs met three times in 2008, namely in January, in June and in October, and discussed a broad range of issues (e.g. audits, certification on the methodology, project reporting, model grant agreements, IPR, RSFF, JTIs).

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

A Survey of NCPs regarding FP7 promotion and implementation issues in 2008, (see also Sections 1.10 and 3.2) provides some information on the numbers of FP7 information days, organised by NCPs in 2008.

NCP National Coordinators and FP7 Coordinators for Specific Fields were asked to indicate the total number of FP7 information days organised in 2008 by their NCP and to provide an estimate of the total number of attendees at these 2008 information days[12]. A first order analysis shows a great deal of activity in promoting FP7 in the Member and the Associated States.

Almost 40% 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. Only 3,5% of the respondents did not organise any information day at all.

As regards the total number of attendees, a majority of 57% of the responding NCPs indicated more than 100 attendees for their information days in total, with more than 1000 attendees for several NCPs. 20% of the respondents had between 50 and 100 participants for their information days.

More results of the NCP Survey can be found in Annex C.

1.8   Time to Grant

Time to grant 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

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[11] 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).

[12] Compared to 2007, there was no question on FP7 launch events, taking into account that 2007 was the year of major FP7 launch events.

extraction (11/08/2009). The sample under consideration here also includes grant agreements that correspond to calls concluded in 2007.

Time-to-grant statistics capture a cumulative and volatile picture which is continuously updated as more proposal negotiations are gradually concluded. Given, however, that the grant agreements included in this sample correspond to approximately 83% of the total number of retained proposals for FP7 calls so far, they provide a reasonably good approximation of the final time-to-grant figures.

Taking into account the above limitations, the average time to grant overall is 333 days (median 318). This is higher than the average time to grant reported in the first Monitoring Report in 2007 (average: 291 days; median: 287 days). It should be clarified, however, that this 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 for the 2007 Monitoring Report 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 the record, the average "time to contract" for the whole FP6 was 384 days. It should be noted that for methodological reasons a direct comparison of the preliminary time-to-grant figures for FP7 with the final time-to-contract figure for FP6 is not appropriate.

For more detailed information on time-to-grant statistics see Table B.3 (Annex B).

1.9   Timeliness of Experts Reimbursements

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

Reimbursement procedures for evaluators and evaluation observers are being dealt with by PMO. Here, 42,90% of payments in 2008 were on-time. This represents a major improvement compared to the 6,1% of on-time payments in 2007, the first 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 2008 was 29,04% (2007: 41,48%).

DG RTD is in charge of the reimbursement for reviewers and monitoring experts, appointed by DG RTD. The percentage of on-time payments for these groups of experts in 2008 was 73,40% representing a major improvement compared to 2007 with 47,84% on-time payments for reviewers and monitoring experts.

1.10 Independent Assessment of FP7 implementation by National Contact Points

A survey was conducted amongst the National Contact Points (NCP) to collect their views, comments, and suggestions regarding the promotion and implementation of FP7 during 2008.

879 FP7 National Coordinators and FP7 Coordinators for Specific Fields in 39 Member States and Associated States were contacted; 289 responded, representing 37 different countries.

In addition to gathering information on the promotion of FP7 at national level (see Section 1.7.2), the questionnaire posed several questions on FP7 implementation, each covering a different phase of the project cycle, which were rated on a scale of 1 (very poor) to 5 (excellent). These were the same questions asked in the previous survey of NCPs conducted

for the First FP7 Monitoring report. Issues related to the *dissemination of project results* and *equal opportunities* were also addressed. Additionally, there were specific questions regarding simplification (see Section 3.2)

Table 10 summarises the survey results regarding FP7 implementation. The full statistics of the NCP Survey are presented in Annex C.

Table 10: Assessment of FP7 Implementation issues in 2008 by NCPs

FP7 Implementation issues rated by NCPs	Ratings (%)*				
	5 excellent	4 good	3 satisfactory	3 poor	1 very poor
Information available on FP7 calls	14,5	**54,7**	25,3	3,5	0
Procedures for the evaluation of proposals	2,8	**52,2**	31,8	8,0	0,3
Procedures for redress	2,1	15,2	**24,9**	18,3	4,2
Procedures for ethics reviews and screenings	4,5	**32,2**	19,7	4,5	0
Handling of FP7 grant negotiations by Commission Services	2,1	37,0	**41,2**	11,8	0,3
Management of FP7 projects by Commission Services	4,5	38,8	**44,6**	2,8	0
Communication and dissemination of FP7 project findings by the project consortia	2,8	24,9	**32,9**	14,2	1,4
Communication and dissemination of FP7 project findings by the Commission	5,2	32,2	**33,2**	9,7	0,7

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

A large majority of respondents (approximately 70%) rated the *information available on FP7 calls* as either 'good' or 'excellent'. The comments reveal a general sense of satisfaction with the amount and quality of the information available; indeed some of the respondents believe the issue is now one of *too much* information. There was some dissatisfaction expressed at the opening of calls in the middle of summer, and concern was expressed at the confusion caused by the variation in terminology and the number of different schemes with different criteria.

As regards the procedures for the *evaluation of proposals* the main concerns of those who made comments were the length of the time between the deadline and the communication of results, the lack of detailed feedback in the Evaluation Summary Reports (ESRs), the consistency and quality of the ESRs and, by inference, the quality of the evaluators. These were the same points raised in last year's NCP Survey. It was conceded by some respondents that they received feedback on these points only from unsuccessful applicants.

For the *redress procedure*, the main issue highlighted in the comments is that the purpose and scope of the procedure is poorly understood by researchers, specifically the limitation of redress to those cases where there has been a formal breach of the evaluation procedures or where there are demonstrable errors of fact. A number of respondents claimed that they discouraged researchers from seeking redress as it was not seen as an effective use of resources, and the low number of cases upheld is taken as evidence of this view.

There was almost universal consensus among those who commented that the *negotiation procedures* were too lengthy, although the handling of negotiations *per se* was considered good, with praise for 'very competent' Commission staff. There was concern that the nature of the process was too dependent on the competencies of individual project officers and that this was also liable to change in the course of the negotiation period. There was still some lingering discontent about the dedicated IT tools, but less so than in the previous survey.

The main concerns of those who commented on the *management of projects by the Commission* were the high turnover of Project Officers, the consequent lack of continuity in

project management, and the extent to which the quality of management was dependent on the knowledge and approach of individual Projects Officers (echoing similar concerns about the negotiation procedures above).

As regards the dissemination of project findings, it was acknowledged by those who commented that it was still very early in the programme to make definitive judgements, but there was some agreement that this had improved in FP7 and that knowledge transfer issues remain a challenge to research funding agencies across the board.

Table 11 presents the results concerning equal opportunities. There was a view of some of those who left comments that there was scope for more female evaluators and that this would pave the way for even more female participation.

Table 11: Assessment of FP7 Implementation issues in 2008 by NCPs

FP7 Implementation issues rated by NCPs	Ratings (%)*				
	5 strongly agree	4 agree	3 average	3 disagree	1 strongly disagree
The way FP7 is designed and implemented provides equal opportunities for the participation of women and men.	24,9	**40,1**	21,5	3,1	0,3

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

2. FP7 IMPLEMENTATION IN 2008 – SPECIAL FOCUS

The overall objective of this chapter is to take a closer look at some of the new elements and the specific fields of FP7. The selection of topics being presented may vary from year to year. For 2008, in addition to the topics addressed already in the 2007 Monitoring Report, a section on initiatives under Article 169 has been included.

2.1 European Research Council

The European Research Council (ERC) is the first trans-European funding body set up to support investigator-driven frontier research in Europe. The ERC was formally launched in February 2007[13] with the main aim to stimulate scientific excellence by supporting and encouraging the very best scientists, scholars and engineers to perform research beyond the established frontiers of knowledge and the boundaries of disciplines. The European Research Council (ERC) has been given the mandate to deliver competitive research funding at the frontier of knowledge, and at EU level, thus adding value to and complementing national research funding schemes. This presents new and exciting opportunities for frontier research in Europe.

The ERC consists of an independent Scientific Council (ScC) composed of scientists, engineers and scholars of the highest repute, representing the European research community in all its breadth and depth, supported by a Dedicated Implementation Structure, now legally established as the European Research Council Executive Agency (ERCEA). The ERCEA was set up by the Commission in December 2007[14] to manage the "Ideas" Specific Programme of the FP7 and reached administrative autonomy on 15 July 2009. Until then, a dedicated service of the European Commission had the task of building up the operational capacities and management of the ERC funding activities. The ERCEA now implements the "Ideas" Specific Programme according to the strategies and methodologies defined by the independent ERC Scientific Council. ERCEA staff was increased in 2008 through recruitment, anticipating the increase in the budget of the "Ideas" Specific Programme. By the end of 2008, 75 of the planned 389 members of staff were recruited. At the time of the writing of this report, the ERCEA has 200 staff members.

The Scientific Council has designed the ERC grant schemes to promote research excellence in all fields of knowledge and scholarship and to secure the corresponding human capital, by both retaining in Europe and progressively recruiting from overseas some of the top research talent of both the current and the next generation.

Two "core" schemes have been developed by the ERC within the FP7. Both operate without predefined thematic priorities; individual research investigators have the opportunity to propose "bottom-up" research projects including high risk, interdisciplinary projects, that are evaluated on the sole criterion of excellence.

§   *ERC Starting Grants*: Supporting the transition to an independent career for excellent researchers, whatever their nationality, located in or moving to the Member States and

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[13] Commission Decision No 134/2007/EC of 2 February 2007 establishing the European Research Council (OJ L 57, p.14). Brussels.

[14] Commission Decision No 2008/37/EC of 14 December 2007 setting up the European Research Council Executive Agency for the management of the specific Community programme 'Ideas' in the field of frontier research in application of Council Regulation (EC) No 58/2003 (OJ L 9, p.15).

Associated Countries, who are at the stage of starting or consolidating their own independent research team or, depending on the field, establishing their independent research programme.

§ *ERC Advanced Grants*: Supporting excellent, innovative investigator-initiated research projects across the Member States and associated countries, directed by leading advanced investigators of whatever age, who have already established themselves as being independent research leaders in their own right.

These schemes have been well received by the research community and already over 500 frontier-research projects resulting from the first calls of the ERC Starting Grant and ERC Advanced Grant schemes have started in prestigious research institutions in Europe.

2.1.1 The ERC Peer Review Evaluation Process

In 2007, setting up the ERC peer review system was a major priority for the Scientific Council. Panels covering all scientific domains - Social Sciences and Humanities (SH), Life Sciences (LS) and Physical and Engineering Sciences (PE) - and a broad range of topics were established to ensure that proper consideration would be given to high quality, interdisciplinary proposals. For the first ERC Staring Grant Calls in 2007, twenty panels were set up covering all scientific domains. In 2008, no major changes were made to the ERC peer review system, the only adjustments made dealing with the handling of inter-disciplinary proposals. Based on the experience gained from the Starting Grants call, the number of panels was increased to 25 for the first ERC call for Advanced Grants.

The ERC put in place redress procedures, following the model established for FP7. In 2007, the "Ideas" configuration of the redress committee considered 276 redress requests relating to the 9167 proposals submitted following the stage 1 peer review evaluation; this number represents approximately 3% of the total number of applications. The redress committee concluded that 15 of these cases required a re-evaluation, resulting in 1 proposal being passed to stage 2. Following the stage 2 evaluation procedures, 27 cases were received and have been processed but none were retained.

In 2008, the "Ideas" configuration of the redress committee considered 174 redress requests relating to the 2166 proposals submitted following eligibility check and peer review step 1 or step 2 evaluation; this number represents approximately 8% of the total number of applications. The redress committee concluded that 14 of these cases required an evaluation (5 eligibility cases) or a re-evaluation (9 evaluation cases). With the exception of two cases all evaluations and re-evaluations have now been concluded. In none of the cases examined by the redress committee was the earlier decision reversed.

2.1.2 Performance of the Calls

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

§ Physical Sciences and Engineering: 39%

§ Life Sciences including Medicine: 34%

§ Social Sciences and Humanities: 14%

The remaining 13% are pre-allocated to proposals of an interdisciplinary nature.

The first Starting Grant call was published in December 2006 with a deadline in April 2007 and a budget of approximately €290 million (to rise later to €338 million thanks to

contributions from participating non-EU countries). A total of 9167 proposals were received of which 8794 were peer reviewed. At the end of the first stage, 559 successful applicants (6%) were invited to submit a more detailed proposal for the second stage evaluation by the deadline in September 2007. With applications averaging ~€1 million, 299 (54%) applicants were ultimately funded.

The first call for Advanced Grants was published in November 2007 with deadlines for the following February (Physical Sciences and Engineering), March (Social Sciences and Humanities) and April (Life Sciences). The budget announced for the call was approximately €517 million. A total of 2.167 proposals were received of which 275 applicants (12,7%) were shortlisted (to increase later to 282 thanks to budgetary contributions from participating non-EU countries).

Of the 275 successful applicants, 2,2% are not currently living in Europe. Regarding host institutions, the majority of them (88%) are located in the EU with the remaining 12% situated in an Associated Country. 72% of the principal investigators will undertake their projects in higher education establishments, 22% in public research centres, 4% in private (non profit) research centres/foundations and the reminder in private/commercial research centres and international research centres.

The average age of the successful applicants is just above 51 years. Gender distribution differs largely between the various domains, with a considerably higher number of women selected in the area of Social Sciences and Humanities (18%), as opposed to the domains Life Sciences (16%) and Physical Sciences Engineering (6%).

The second call for the ERC Starting Grants was published in July 2008 with three different deadlines in autumn 2008 depending on the domain. A total of 2.503 proposals were submitted: 1.112 in the Physical Sciences, 927 in the Life Sciences and 464 in Social Sciences and Humanities. The selection process was still underway by the end of 2008.

The second call for the ERC Advanced Grants was published in November 2008 with three different deadlines in spring 2009 depending on the domain.

2.1.3 Observing Sound Ethical Principles of FP Research

Of the 299 projects selected for funding under the 2007 Starting Grants call, 95 were screened by an external ethics panel of which 40 were subjected to a full ethical review. One project involves the use of human embryonic stem cells and was submitted in October 2008 for opinion of the "Ideas" Programme Committee for regulatory approval.

For the 2008 Advanced Grants call 126 proposals were flagged for ethical screening. The screening revealed 57 proposals needing full ethical review, 2 of which proposed to make use of human embryonic stem cells. Copies of national approvals were requested in 61 cases where a full ethical review was not required. Eight proposals were ready to start the grant agreement procedure with no request for documents or new reviews. The full ethical review was held during November 2008. In two cases, a new ethical review was requested. This was performed in January 2009 and the two proposals were approved on condition that the applicants present further documentation.

2.2 Joint Technology Initiatives

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

reduce fragmentation of EU R&D. Strong reasons for setting up JTIs are the rapid pace of technological change, the rising costs of research, the increasing complexity and interdependence of technologies, and the potential economies of scale to be gained by cooperation across Europe.

JTIs arise primarily from the work of European Technology Platforms. In a small number of cases, European Technology Platforms have achieved such an ambitious scale and scope that they will require the mobilisation of large public and private investments as well as substantial research resources to implement important elements of their Strategic Research Agendas. JTIs represent an effective means of meeting the needs of this small number of European Technology Platforms.

In practical terms, a JTI is a legally established body (a *Joint Undertaking*), set up on the basis of Article 171 of the EC Treaty. Strategic Research Agendas have been developed for the areas addressed by JTIs through intense collaboration between industry, including SMEs, the research community, civil society organisations and other stakeholders. JTI members are jointly responsible for monitoring progress, guiding the evolution of the initiatives and adapting the work programmes in response to changing needs. In this respect, each JTI produces an annual activity report and reports to the Council and European Parliament. In addition, the Commission will undertake midterm and final evaluations of each JTI. JTIs have a dedicated budget and staff. The Joint Undertaking provides a framework for the public and private players to work and take decisions together. It organises calls for proposals, oversees selection procedures and puts in place contractual arrangements for projects set up to implement the JTI research agenda. It allows funds from different sources to be jointly managed and is responsible for communication and dissemination activities. Each Joint Undertaking includes one or more decision-making bodies, an Executive Director and staff, as well as internal or external advisory bodies.

Regulations for the following five JTIs have been adopted:

§ *Innovative Medicines (IMI)* aims to provide new methodologies and tools for accelerating the development of safer and more effective medicines for patients, by focusing research on developing and validating new techniques and methods.

§ *Embedded Computing Systems (ARTEMIS)* aims to help European industry consolidate and reinforce its world leadership in building computing systems into various kinds of electronic equipment or machines.

§ *Clean Sky* in the field of aeronautics envisages that innovative, greener technologies will be demonstrated and validated; new technologies are being developed, test flight will be conducted; the result of successful prototypes can be exploited by aeronautics companies.

§ *ENIAC* seeks to develop key technologies for nanoelectronics, and key components and devices across different application areas in order to strengthen European competitiveness and sustainability, and to facilitate the emergence of new markets and societal applications in sectors such as health, transport and energy.

§ *Fuel Cells & Hydrogen (FCH)* with the overall objective of speeding up the development and deployment of hydrogen supply and fuel cell technologies.

In 2008, the JTIs have either launched their first calls for proposals - based on the principles of excellence and competition - or entered into the first grant agreements with named beneficiaries. This has continued in 2009, with most JTIs having already launched their second calls.

Work within the Commission is continuing on a number of practical issues such as recruitment of JTI staff, identification of a long-term housing solution, implementation of an accounting system. JTIs are expected to reach financial autonomy soon. While it is too early to already assess their impacts, some tentative first lessons can already be drawn given that JTIs are already proving a valuable pilot experience in setting up public-private partnerships in research at European level.

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

2.3 Initiatives under Article 169

Article 169 Initiatives are public-public partnerships set up at European level to address strategic areas where research and innovation are essential to European competitiveness. They have been introduced for the first time as another means of implementing Framework Programme 7 in areas selected in the Specific Programmes. Article 169 Initiatives support the scientific, financial and management integration of national research and development programmes by participation of the Community in joint programmes undertaken by several Member States. They bring together national research and development programmes to define common objectives of wide societal relevance and to combine funding and knowledge in order to fulfil these objectives.

The first two Article 169 initiatives under the FP7, **EUROSTARS** addressing research and development performing SMEs, and **AAL**, which aims to use intelligent products and provide remote services, to extend the time older people can live in their home environment, have been successfully launched and are progressing well. Two further initiatives under Article 169 were advanced in 2008: "EMRP", a European Metrology Joint Research Programme, and BONUS, a Joint Research Programme on Baltic Sea research.

EMRP, for which the Commission's proposal was adopted in December 2008 and co-decision process successfully ended in July 2009, is an initiative undertaken by 22 countries raising EUR 400 million of public funding. It responds to growing demands for cutting-edge metrology, particularly addressing grand challenges like metrology for environment or health or emerging technological areas, targeting innovation and scientific research and support for policy. EMRP is the first Article 169 Initiative to be developed using ERA-NET Plus as a bridging measure, under which a first joint call was made addressing a limited number of themes combining resources from 20 countries and leading to EUR 64 million being committed to 21 collaborative projects.

The BONUS Joint Research Programme, which is still under preparation due to considerable reshuffling, envisages involving all eight EU countries surrounding the Baltic Sea and aims at creating a cooperative, interdisciplinary, well-integrated and focused trans-national strategic research programme for the Baltic Sea region. In this case also, an ERA-NET Plus action has been used for a first joint call leading to 16 selected proposals, involving 11 different countries (including non-Baltic countries) and a budget of EUR 22,4 million.

With regard to the **EDCTP** (European & Developing Countries Clinical Trials Partnership), launched in 2003, under FP6 as an Article 169 Initiative aimed at accelerating the fight against HIV/AIDS, malaria and tuberculosis in developing countries, the Commission

adopted a Communication on the Progress Report in October 2008. On the basis of the five year evaluation of the performance of the EDCTP (from 2003 to 2008), the Commission will reflect on the further steps required in relation to this Article 169 Initiative.

2.4 Risk-Sharing Financial Facility

The RSFF is an innovative credit risk-sharing scheme by which the European Investment Bank (EIB) covers, through capital allocations and provisions, the risks it bears when lending directly or when guaranteeing loans made by intermediaries.

Up to EUR 1 billion will be made available from both, the European Commission and the European Investment Bank (EIB), for RSFF over 2007-2013, to cover risks associated with loans provided for investments in research, development and innovation, allowing making available loan financing in the order of EUR 10 billion. RSFF is managed by the EIB and monitored by the EC in terms of eligibility of projects and budget allocation out of FP7.

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

As of mid-2009, the RSFF benefits had been presented at 43 seminars, workshops and conferences in a number of European countries. The awareness-raising activities also targeted dedicated events for European research infrastructures, notably ESFRI (European Strategy Forum on Research Infrastructures) list projects. The network of RSFF liaison officers is regularly updated on the RSFF progress, thus facilitating awareness-raising for the RSFF in their thematic areas and sectors.

From the launch of the RSFF until the beginning of July 2009, 45 RSFF operations have been approved by the EIB with a total loan volume 4.427 billion €, out of which the EIB has already signed loan agreements for 24 RSFF operations with a loan volume of 1.942 billion € covering investments in 16 Member States and Associated Countries. Tables12 and 13 provide the respective breakdown by year.

Table 12: RSFF Operations approved by the EIB since the launch of the RSFF

Approvals	2007	2008	2009[15]	Total[15]
Number of Approved RSFF Operations	14	14	17	45
Related Approved Loan Volume (M€)	887,4	1.501,7	2.038,0	4.427,0

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[15] As of 08 July 2009

Table 13: RSFF Operations signed by the EIB since the launch of the RSFF

Signed Loan Agreements	2007	2008	2009[15]	Total[15]
Number of Signed RSFF Loan Agreements	9	12	3	24
Related Loan Volume (M€)	459,0	1.024,4	458,0	1.941,4

The current RSFF portfolio is dominated by loans provided to large and medium-sized companies, or dedicated companies established in order to implement a particular demonstration project. The EIB has provided various types of financing under the RSFF in response to the needs of borrowers: Direct senior and mezzanine loans to companies, project finance to single entities (special purpose vehicles) and intermediated loan finance via banking partners or other intermediaries (holding).

Under the RSFF, investments in Research, Development and Innovation (RDI) have been financed in key sectors: 25% in ICT, 24% in Energy (Renewable Energy Technologies), 24% in Engineering and Automotive, and 22% in Life Sciences[15]. The risk-sharing with banking intermediaries (5%) might cover several sectors depending on the activities of companies being financed under the arrangements. The sector distribution shows an emphasis on clean technologies, notably in the automotive sector[16]. The ICT sector has demonstrated its increased importance in the RSFF portfolio.

Following much preparatory work, the first RSFF loans for Research Infrastructures should be signed in the near future. Research Infrastructures included in the ESFRI Roadmap are automatically eligible for RSFF finance and are regarded as priority projects under the RSFF. The EC (RSFF Eligibility Committee) has already accepted 4 Research Infrastructure projects as eligible, which have also been approved by the EIB: FAIR (up to 100 M€ RSFF loan), Sincrotrone Trieste (up to 20 M€ RSFF), E-ELT (up to 300 M€ of which 50-100 M€ RSFF) and Alphasat (up to 225 M€).

2.5   International Dimension

For FP7, a new approach towards international co-operation was developed, aiming to reinforce international research collaboration throughout the Framework Programme. Special instruments (SICAS (Specific International Coordination Actions), INCO-NETS) were established to implement these objectives allowing both geographical and thematic targeting[17].

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

Association Agreements: For FP7, the number of associated Third Countries is as high as never before, with 12, mainly European, countries[18] presently 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.

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[16] Research, Development and Innovation (RDI) related to cleaner technologies in the automotive sector can be financed either by RSFF loans or by loans out of the European Clean Transport Facility (ECTF) of the EIB. RDI projects representing a relatively high risk would usually fall under the RSFF.

[17] Further details, also on targeted opening activities, in: SEC (2007) 47 "A New Approach to International S&T Cooperation in the EU's 7th Framework Programme (2007-2013)", 12 January 2007.

[18] Albania, Bosnia-Herzegovina, Croatia, Former Yugoslav Republic of Macedonia, Iceland, Israel, Liechtenstein, Montenegro, Norway, Serbia, Switzerland, and Turkey.

In addition to the 12 countries currently associated to the Framework Programme, Moldova and Russia have formally requested to be associated. Furthermore, the association to the FP will be opened for European Neighbourhood Partnership (ENP) Countries including the Mediterranean Countries. This process of widening the geographical scope of the ERA will significantly contribute to the EU's policy goals towards these countries, in particular building sustainable economic prosperity. In this context, FP7 INCO-NETs have an important role to play through provision of support to regional platforms for S&T policy dialogue and priority setting at bi-regional level bringing together Member States and Third Countries in this process.

Science & Technology (S&T) Agreements establish a legal framework to promote S&T cooperation activities between the Communities and Third Countries. Since 1998, the European Community has concluded S&T agreements with 17 countries[19] (soon 20), including almost all the industrialised and emerging countries and a significant number of developing ones; another 15 agreements (soon 18) exist under EURATOM. The implementation of these agreements has become considerably more concrete and substantial, largely thanks to the possibility to translate common priorities and commitments, as identified by the Joint Committees, into targeted calls notably through a series of coordinated calls with Russia, China, India and Brazil. The Commission is currently finalising the S&T agreement with Jordan and completing the negotiations for an S&T agreement with Japan.

In FP7, the S&T Agreements are being used to strengthen international collaboration with Third Countries on common priorities and through targeted and co-funded activities such as SICAs and Coordinated Calls. The BILAT Activity in the Capacities Programme has been developed to reinforce the bilateral cooperation with every country with an S&T Agreement through the development of information and assistance facilities. A variety of schemes, including SICAs, but also "twinning" of projects at programme level, and "targeted opening" calls, aiming at supporting joint research activities on areas of common interest and benefit, have also been used in the Cooperation Programme to reinforce the participation of Third Countries in the various thematic areas thus increasing the international dimension of their actions.

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

Future International Cooperation activities will reinforce the external dimension of the European Research Area (ERA), particularly through the implementation of the Strategic

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[19] Argentina, Australia, Brazil, Canada, Chile, China, Egypt, India, Mexico, Morocco, Republic of Korea, The Russian Federation, South Africa, Tunisia, Ukraine, USA. The agreement with New Zealand was signed in 2008 but entered into force in January 2009.

European Framework for International S&T Cooperation[20]. This Communication sets out a series of orientations for action to make the ERA more open to the world. These actions will be developed through the implementation of a sustainable partnership between Member States and the EC as provided for by the conclusions of the Council of 2 December 2008[21].

The Strategic Forum for International Cooperation (SFIC) was established in 2009 at the request of the Council, and had its first meeting in February 2009. The SFIC will develop the partnership between Member States and the EC in the context of the further realisation of the ERA. One of the aims of the Strategic Forum is to develop common priorities for international cooperation which should lead to joint activities and positions vis-à-vis Third Countries and within international fora.

2.6 EURATOM

The 7th Euratom Research Framework Programme (Euratom FP7) covers a five-year period from 2007 to 2011. Euratom FP7 has two specific programmes, one covering indirect actions in the fields of fusion energy research and nuclear fission and radiation protection, the other covering direct actions in the nuclear field undertaken by the Commission's Joint Research Centre (JRC).

2.6.1 Nuclear Fission and Radiation Protection

In 2008, the Euratom FP7 continued to provide support for R&D in EU Member States in a range of important areas, from fission energy technology to nuclear safety, radioactive waste management and radiation protection. EU energy policy, in particular the Strategic Energy Technology (SET) Plan, provides an emerging and crucial additional focus for this research effort, while the Euratom Programme still maintains its important input in areas such as nuclear safety and radiation protection.

The principal aim of the Euratom Programme is to ensure that the support in fission and radiation protection remains as effective and relevant as possible by maximising the coordination with national and industrial research programmes in Europe. The Sustainable Nuclear Energy Technology Platform (SNE-TP)[22], the embryonic "Implementing Geological Disposal Technology Platform" (IGD-TP)[23], and MELODI[24] are all producing Strategic Research Agendas (SRAs) enabling the Euratom effort to maintain this focus. Through such initiatives a true European Research Area (ERA) is being established in the nuclear sector.

Covering the field of nuclear systems and safety, SNE-TP presented its SRA at the platform's first General Assembly on 26 November 2008. This will promote R&D cooperation in fields such as continued safe operation of current reactors and the development of the next (4th) generation of nuclear reactor technology. The latter includes both fast neutron reactors and high-temperature reactors for the cogeneration of electricity and process heat for industrial applications (e.g. hydrogen production). Today, SNE-TP has more than 60 members from 19

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[20] European Commission (2008): Communication "A strategic European Framework for International Science and Technology Cooperation", COM(2008)588. Brussels.

[21] Conclusions of the 2891st Competitiveness Council, 2nd December 2008

[22] http://www.snetp.eu

[23] http://www.igdtp.eu

[24] "Multidisciplinary European Low-Dose Initiative" (MELODI), refer to http://www.hleg.de

countries and represents all key European R&D players in this field. Future Euratom FP7 calls for proposals will incorporate key actions in line with SRA priorities.

In October 2008, the 7th Euradwaste conference[25] was held in Luxembourg. This major international event, organised by DG-RTD, was a showcase for current Euratom research on geological disposal of radioactive waste as well as techniques such as "partitioning and trans-mutation" to reduce waste volumes or radiotoxicity. The conference also saw key discussions on establishing IGD-TP, with considerable progress being made in defining the common vision for R&D in the area of geological disposal. This technology platform will be formally launched during 2009, with the aim to coordinate implementation-oriented R&D in support of the deployment of the first geological repositories in Europe by 2020-25.

The other important ERA initiative, MELODI, was formally established by the High-Level and Expert Group on low-dose risk towards the end of 2008. MELODI will ensure a strategic approach to low-dose research within Europe, including joint-programming type activities covering topics such as radiobiology and effects on the genome, DNA damage, radio-sensitivity, etc.

The Euratom Programme is promoting international cooperation where there is clear mutual interest and benefit. In 2008, a further meeting of the joint Euratom/ROSATOM working group on fission R&D cooperation identified specific topics for insertion in the 2009 Euratom FP7 call for proposals. In October, a meeting took place in China to endorse a similar approach with Chinese R&D stakeholders. Regarding multilateral cooperation, Euratom maintains its commitment to the Generation-IV International Forum (GIF); key projects launched following the 2008 call will contribute to this global initiative.

2.6.2 Fusion Energy

The objective of fusion research in the 7th Euratom Framework Programme is to develop the knowledge base for, and to realise ITER[26] as the major step towards, the creation of prototype reactors for power stations that are safe, sustainable, environmentally responsible, and economically viable. ITER aims to demonstrate the scientific and technological feasibility of fusion energy to reach this goal. It will produce, for extended periods, significantly more power from fusion reactions than is needed to sustain the plasma, with steady-state operation as an ultimate goal. In addition, the ITER device will demonstrate the performance and integration of fusion technologies, and test components for a future reactor. The construction of ITER is accompanied by a strong and focussed European programme to prepare for the exploitation of ITER and to develop the technologies and knowledge base that will be needed during its operation and beyond.

During 2008, Europe was the major contributor to the advancement of the ITER project, providing more than half of the professional staff and progressing in the preparation of the ITER site in Cadarache/France, where the site levelling has been completed. A significant achievement in 2008 was the completion of the ITER design review, which confirmed the general validity of the ITER design, although pointing out the need of introducing a number of additional features recognised by all parties as necessary for completeness and for reducing the technical risks to the project mission. Reassessment of the design resulted also in the update, by two separate panels of independent experts, of the estimates of the resources needed by the ITER International Organization (IO) and by the European Joint Undertaking

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[25] Euradwaste'08 – proceedings:http://cordis.europa.eu/fp7/euratom-fission/euradwaste2008_en.html

[26] For more information see http://www.iter.org

'Fusion for Energy' (F4E) respectively. The reports of the panels indicate that the estimated costs for ITER will be significantly higher than initially planned, in particular for the European in-kind contribution to be provided through F4E. Several recommendations put forward to improve the management within the ITER IO and the interaction between the ITER IO and the Domestic Agencies are now being taken into account. The aim of these recommendations is to integrate technical requirements with considerations of practicality and cost containment. Although significant variations in cost and schedule appear unavoidable, further effort is ongoing in view of achieving a consensus among the ITER Parties on a Project Baseline (scope, cost, and schedule) at the November 2009 ITER Council meeting.

F4E achieved full autonomy in all its functions in early 2008 and continued to build up the body of highly qualified staff needed. The first Calls for Tender for services and ITER procurement contracts were launched. Progress in the projects under the Broader Approach Agreement with Japan included the completion and adoption of the Integrated Design for the JT-60SA tokamak in Japan. The construction of JT-60SA can now begin.

A panel of independent high-level experts appointed by the Commission carried out a review motivated by the need to support the rapid and efficient development of fusion as an energy source and to maintain in the programme the facilities needed to fulfil its medium and long term objectives. The report of the panel outlined a vision of the R&D required and reviewed the significant facilities (existing, under construction and proposed) needed to support this R&D. The panel underlined the quality of the research community, the coherence of the programme and the essential role played by the European fusion laboratories. It recommended a roadmap for facilities, prioritised according to their importance for ITER and DEMO[27].

Integration of the Fusion Programme under the coordination of EFDA (the European Fusion Development Agreement) was further strengthened in 2008 through additional Euratom financial support for priority training and research actions, including the procurement of a High Performance Computer (HPC) for Fusion Applications as a joint research infrastructure in support of ITER and DEMO. EFDA also coordinated the scientific exploitation of the JET facility, which is aimed at consolidating the ITER design, defining auxiliary systems and optimising future ITER operations. Preparations for a shutdown of the facility which will begin in 2009 to install further ITER-relevant components made substantial progress.

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[27] DEMO (DEMOnstration Power Plant) is a proposed nuclear fusion power plant that is intended to build upon the expected success of the ITER

3.   SIMPLIFICATION

3.1   Simplification measures in FP7

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

Against this background the European Commission has undertaken a number of initiatives to simplify the implementation of the Framework Programmes. While gradual improvements have been achieved in previous years, the launch of FP7 offered the unique opportunity to simplify procedures in a far more fundamental way.

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

Certification of costs – fewer audit certificates

The number of audit certificates has been substantially reduced in FP7 compared to FP6: Only beneficiaries receiving more than € 375.000 will have to provide a certificate (in FP6, every beneficiary had to submit at least one audit certificate at the end of the project, regardless of the amount involved). A simulation based on the population of FP6 contracts shows that only 18% of the participations receive EC contributions above € 375.000. For the current population of signed FP7 grants, this figure is somewhat higher (29%). Nevertheless, this still means that for more than two thirds of FP7 participations no certificates would be necessary.

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

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

Unique registration of participating legal entities

Repeated requests for the same documents on the existence and legal status of participants were a major cause of complaints in previous Framework Programmes. Since the start of FP7, the principle of unique registration has been introduced. A central validation team has been in operation since mid-2007. Legal documents have to be provided only once, and validation by the central team holds for all future participations in FP7. The Unique Registration Facility (URF), a Web-based system where the participants themselves can access and change their legal data online, is in full operation since May 2008. More than 13.000 entities are already registered. The unique identifier (Participant Identification Code - PIC) given to each legal entity is now used in all systems for FP7 proposal and grant management. It has already had positive effects on FP7 grant and programme management:

§ It provides easy traceability of participations through the complete project lifetime and in all IT systems. It improves thus the quality and coherence of statistics and reporting.

§ It allows an easy propagation of changes to the legal entity data to all systems and parties concerned in all grants in which an organisation participates.

§ It provides for a more coherent implementation and extrapolation of audit results.

§ It gives each organisation the possibility of easy monitoring of their participations in FP7 (via the Legal Entity Appointed Representative - LEAR, who has online access to the list of participation of his/her organisation).

Certification of methodology

Methodology certification tackles one of the main sources of errors that beneficiaries made as participants in former research Framework Programmes, i.e. the use of incorrect cost rates. The beneficiary's method of calculating personnel costs and indirect costs, either calculated as an average or an actual rate, can therefore be certified, providing reassurance that the method conforms to the FP7 Grant Agreement requirements.

Methodology certification reduces the administrative burden, waiving the need for separate audit certificates for interim payments. Procedures for the final payment are also made easier, as for claimed personnel costs and indirect costs auditors only need to verify that the calculation complies with the certified methodology.

Applied correctly, certification will also result in a lower error rate; in the end, error correction activities will require less time and effort. The criteria for certification have been decided recently[28].

Grant agreement negotiation

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

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

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

Project reporting

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

§ The reporting guidelines and the structure of reports were considerably streamlined.

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[28] COMMISSION DECISION C(2009)4705 on the adoption of interim implementing rules for the provisions of article 31.3 of the Regulation (EC) No 1906/2006 and 30.3 of the Council Regulation (Euratom) No 1908/2006 concerning average personnel costs, and article II.14.1 of the model Grant Agreement adopted on 10 April 2007 and article II.14.1 of the model Grant Agreement for 'frontier' research actions adopted on 16 April 2007 in the context of the implementation of the Seventh Framework Programmes of the European Community (2007-2013) and the European Atomic Energy Community (2007-2011) concerning ex-ante certification of the methodology of calculation of the average personnel costs (23. June 2009).

§ Striving for an extension of average reporting and payment periods from 12 months (in FP6) to 18 months. This could reduce the overall number of reports and payment transactions by 17% (estimation based of simulations on the FP6 portfolio), thus reducing the workload both for the participants and the Commission Services. It should be noted that 24 months reporting periods have already been introduced for Marie Curie grants.

§ The amount of data collected in reports is considerably reduced. Detailed questionnaires on wider societal implications will no longer be required with each intermediate report but only once (in the final report).

§ A Web-based electronic system for the submission of financial statements (Forms C) is in operation since December 2008. It provides for automatic checking and online support to beneficiaries to reduce the errors in the forms and helps thus rationalising the payment processes.

§ A Web-based electronic system for the scientific-technical reporting is in preparation that will simplify interactions between participants and the Commission and will provide better possibilities for the dissemination of project results.

Amendments

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

Streamlining and harmonisation of documentation

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

The Research Participant Portal

The Research Participant Portal is an ambitious endeavour of all research DGs together with DG DIGIT to bring all interactions between the Commission and the participants in the Framework Programme(s) under a common IT platform. Important steps towards this goal were made in 2008. A first version of the portal is now online, integrating currently the Unique Registration Facility, and the FP7 document service[29]. The next systems to be integrated are the grant negotiation system NEF and the systems for financial and scientific project reporting.

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[29] http://ec.europa.eu/research/participants/portal/appmanager/participants/portal

3.2 Perception of Simplification in FP7 by National Contact Points

In the NCP Survey[30] conducted in the context of the 2008 monitoring exercise FP7 National Coordinators and FP7 Coordinators for Specific Fields were asked to rate the *user-friendliness* of the FP7 administrative and financial procedures both in absolute and relative terms (relative to procedures in FP6). Respondents were also asked to rate the ease of use of FP7 relative to other comparable funding schemes.

37,4% of respondents agreed (or strongly agreed) that overall FP7 is getting simpler to use in terms of its financial and administrative procedures compared to previous Framework Programmes. However, about 15% believe FP7 to be more difficult.

Table 14: Assessment by NCPs of the ease of use of FP7 compared to previous Framework Programmes

Ease of use of FP7 compared to previous Framework Programmes	Ratings (%)*				
	5 strongly agree	4 agree	3 average	3 disagree	1 strongly disagree
FP7 is getting simpler to use in terms of administrative and financial procedures, compared to previous Framework Programmes.	4,2	33,2	**37,7**	12,5	2,8

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

NCPs were asked to compare FP7 with FP6 on specific aspects of the project cycle. The responses (Table 15) reveal that the degree of improvement varied over the project cycle from the point of view of the NCPs. Perhaps most strikingly, nearly half the respondents (49%) believed that application procedures were easier than in FP6. Additionally, large numbers of respondents agreed with the proposition that FP7 was more user-friendly than FP6 as regards finding information on calls, and IT tools. With respect to grant negotiation and project management, the numbers are less favourable, in particular when looking at the financial aspects of project management, where a significant minority believe that despite the efforts made to simplify procedures, financial aspects are more complex in FP7 than in FP6. A significant number of respondents also believed that grant negotiation was more difficult in FP7 than in FP6.

The free text comments given by NCPs shed some light on the above findings. Although most agreed that there had been incremental improvements in many areas, the general view could be summarised as 'still a long way to go'. There was a degree of consensus that the proliferation of new IT tools (and the teething problems experienced with these) as well as new initiatives such as JTIs, ERC, and Article 169 initiatives had mitigated or even reversed the attempts to simplify procedures overall as researchers had found these confusing or unhelpful. However, it was conceded by many that this will improve over time. Initial difficulties with the URF also account for some of the unhappiness with the negotiation process in FP7. Most of the discontent with existing procedures was aimed at the financial reporting requirements and general administration (especially with regard to SMEs), whereas there was mostly satisfaction with the application procedures and in particular the functioning of EPSS (Electronic Proposal Submission System).

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[30] 879 FP7 National Coordinators and FP7 Coordinators for Specific Fields in 39 Member States and Associated States were contacted in June 2009; 289 responded, representing 37 different countries.

Table 15: Assessment by NCPs of the ease of use of FP7 in 2008 compared to FP6

Ease of use of FP7 – compared to FP6	Ratings (%)*		
	Easier than in FP6	Same as in FP6	More difficult than in FP6
Finding information on the Framework Programme	37,7	**43,9**	1,4
Finding information on open calls	**42,2**	38,1	1,7
Application procedures (proposal submission)	**49,1**	29,1	2,4
Grant negotiation	20,4	**38,4**	12,8
Project management - general	20,8	**41,5**	7,3
Project management – financial aspects & requirements	**30,4**	27,3	19,7
Project reporting and project reviews	27,0	**33,9**	6,6
IT tools	**36,7**	19,7	8,7
Communication with Commission Services	14,9	**47,8**	12,1

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

When respondents were asked to rate in absolute terms the ease of use of FP7 for the same range of administrative and financial procedures/aspects, a similar pattern emerges (Table 16). Issues relating to information on FP7, information on calls and the application procedures themselves are rated very highly, with around 70% of respondents rating these aspects as 'good' or 'excellent'. As with the comparative question, the results also confirm the dissatisfaction of a significant minority of NCPs with respect to the financial aspects of project management and grant negotiation.

Table 16: Assessment by NCPs of the ease of use of FP7 in 2008 in absolute terms

Ease of use of FP7 – in absolute terms	Ratings (%)*				
	5 excellent	4 good	3 satisfactory	3 poor	1 very poor
Finding information on FP7	14,5	**54,3**	27,7	1,4	0
Finding information on open calls	19,0	**54,3**	22,8	0,7	0
Application procedures (proposal submission)	14,2	**55,4**	25,3	2,1	0
Grant negotiation	1,0	33,6	**37,0**	14,5	0,3
Project management - general	3,5	**37,0**	36,0	6,6	0,3
Project management – financial aspects & requirements	3,5	31,8	**36,3**	15,9	1,7
Project reporting and project reviews	3,1	32,9	**37,7**	6,6	0,3
IT tools	8,0	**30,4**	29,8	9,0	1,7
Communication with Commission Services	8,0	**37,4**	29,8	11,8	0

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

It must be emphasised, however, that the overall trend observable from this absolute rating 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 either 'satisfactory' or better never falls below 68%.

Respondents were also invited to list (in free text) up to 3 issues they believed were negatively affecting the quality of research and affecting the implementation of FP7. It is not possible to list every issue here, but a number of themes emerged. The most frequently recurring concern was the time to grant and the uncertainty about the contract start date. The elements here that received most comment were the length of the negotiation phase and the delays in the validation process, including the financial viability check. The next most common theme was the complexity of many facets of the programme – the guidelines, the

structure, and the procedures, but particularly the financial reporting procedures. This was held to be the most important deterrent to industry and SME participation. Other issues mentioned (consistent with the comments above) included:

§ The proliferation of IT tools.

§ The inconsistency in the interpretation of legal and financial guidelines by Project Officers, and the lack of a single authoritative source to handle legal queries in particular.

§ Oversubscription of topics

§ Poor partner search-facilities and the lack of knowledge of the research actors in some Member States.

§ Lack of clarity of intellectual property rules.

§ The auditing regime in general and in particular the recent intensified audit activities which were held to be blocking resources of research institutions.

§ The lack of coordination between the Commission and the dedicated agencies set up to implement elements of the FP.

§ The variation in approach and terminology across themes and programmes.

§ The rotation of Project Officers.

§ The professionalization of the FP application process has led to an undue emphasis on 'grantsmanship' rather than ideas and innovations.

§ The trend toward larger projects discourages potential applicants.

Despite the critical nature of many of the comments and responses, it was interesting to note that when NCPs were asked to rate the ease of use of FP7 similar international research actions or large national schemes, nearly two-fifths rated FP7 as 'about the same' or 'less complex', equal to the number who rated it 'more complex' (see Table 17). Where FP7 was considered more complex, the reporting requirements, given the sums of money involved, were singled out as the aspect that was much more complex than national programmes.

Table 17: Assessment by NCPs of the ease of use of FP7, in 2008, compared with similar international research actions or large national schemes

Ease of use of FP7 - compared with other programmes	Ratings (%)*				
	5 much less complex	4 less complex	3 about the same	3 more complex	1 much more complex
Ease of the use of FP7 compared with similar international research actions or large national schemes	3,1	14,2	24,9	**39,4**	8,0

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

4.   IMPACTS AND ACHIEVEMENTS

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

Based on the FP7 revised project reporting system, the information provided in the future should be far more substantial than under previous Framework Programmes. At the time of the writing of this report however, considering that FP7 started only in 2007, this type of information is not available yet.

The new systems for financial and scientific reporting (as well as the grant negotiation system NEF) are the next systems to be integrated under the Research Participant Portal. The Research Participant Portal is an Internet portal for FP7 Participants with the aim to bring all interactions between the Commission and the participants in the Framework Programme(s) under a common IT platform and hence to become, over time, the participants' gateway and single entry point to interact with the European Commission. The Research Participant Portal will eventually host a full range of web applications that will facilitate the management of proposals and projects throughout their lifecycle.

Important steps towards this goal were made in 2008. A first version of the portal is now online, integrating currently the Unique Registration Facility, and the FP7 document service. It is foreseen to integrate the projects reporting systems around the end of 2009/beginning of 2010. First systematic results are expected to be available for the 2009 Monitoring Report.

Although it is too early in the life-cycle of FP7 to point to measurable outcomes and achievements, already the effective deployment of the available funds is having an impact on the European science system. Successive rounds of competitive peer-review have resulted in the selection of more than five thousand high-quality proposals, releasing approximately 9,3 billion euro in additional funding for transnational research cooperation and mobility. These extra resources support the work of thousands of researchers across Europe and beyond, as well as significantly expanding the scientific labour force by enabling the recruitment of thousands of contract researchers and postdoctoral students. It provides much-needed funding for critical scientific infrastructure and equipment. As well as these additional inputs, the Framework Programme has a no-less crucial impact on the scope, scale and ambition of European research, as demonstrated by many independent studies[31]. The additional research activity thus stimulated has had as yet an intangible impact on the wider social and economic realm, but the full fruit of such an investment will only become apparent over time.

The Ex-post Evaluation of FP6 which was carried out by a high-level independent expert group in 2008[32] found evidence of substantial positive effects as a result of Framework Programme funding. The report concluded that "FP6's large investment in RTD produced high-quality research and results of scientific, industrial, social and policy interest". With respect to research quality, the panel noted that "the available evidence suggests FP assessment procedures, the high level of competition for FP awards, and the widespread use of FP participation as a 'seal of quality' at national level has combined to attract the participation of some of the best researchers in Europe, contributing in turn to ensuring that the work performed will be of high quality". It went on to say that "it is clear that FP6 had a

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[31] See Evaluation Studies and Reports (http://ec.europa.eu/research/evaluations/index_en.cfm?pg=fp6-evidence)

[32] http://ec.europa.eu/research/evaluations/index_en.cfm?pg=fp6

positive influence on both industrial competitiveness and competitivity, namely the ability of companies to compete".

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

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[33] which states that:

"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[34] which was presented by the Commission at the same time as the FP7 proposal provides further detail:

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

The introduction of a new monitoring system under FP7 that is also supposed to complement, where applicable, the DG RTD evaluation strategy, is further supported by the 2007 Special Report[35] of the European Court of Auditors concerning the Commission's system for evaluation and monitoring the Framework Programmes where the need for better coordination of evaluation and monitoring activities and the need to improve the relevance and credibility of these activities in terms of the decision making process were highlighted.

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

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[33] 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).

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).

[34] 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).

[35] 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)

The annual Monitoring exercise has already provided input for the Progress Report on FP7 implementation[36], and will contribute to the FP7 Interim Review, foreseen in 2010.

§ Key Features, Indicators, Coverage

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

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

§ Complementarity to existing systems of data gathering and monitoring at operational level and within different DGs; extensive use made of existing data sources and information from other reports (e.g. Annual 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 (following the style being adopted in the Annual Management Plan);

§ The indicators selected to allow coverage of the entire range of activities carried out under the FP, while also ensuring that the assessment is sensitive to the distinctive character of each element;

§ Review whenever necessary.

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

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

INDICATOR / ISSUE	SUB-INDICATOR	MAIN DATA SOURCE	MONITORING REPORT
1. Promotion of FP7	1.1 Number of information days	Annual NCP Survey	Section 1.7
	1.2 Number of attendees at information days	Annual NCP Survey	Section 1.7
	1.3 Commission organised meetings of NCPs	DG RTD	Section 1.7
2. Performance of the calls	2.1 Success rate (overall) by priority area and funding scheme	CORDA	Section 1.2
	2.2 Success rate for different types of organisation by priority area and funding scheme	CORDA	Section 1.2
	2.3 Success rate for different types of organisation by priority area and funding scheme & success rates per country	CORDA	Section 1.2

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[36] Communication form 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)

	3.1	Overall quality assessment of the proposal evaluators on the FP proposal evaluation process (evaluators survey)	Annual Evaluators' Survey	Section 1.4
3. Performance of the proposal evaluation and redress procedure	3.2	Assessment of quality by the evaluators between the FP evaluation process and other equivalent systems (evaluators survey)	Annual Evaluators' Survey	Section 1.4
	3.3	Time to grant agreement	CORDA	Section 1.8
	3.4	Percentage of experts reimbursed within the specified 45 days	DG RTD/PMO	Section 1.9
	3.5	Redress cases upheld (i.e. leading to a re-evaluation) – numbers and percentages	DG RTD	Section 1.5
4. Quality of on-going research projects	4.1	Average results of independent project review process by priority area	Data from new reporting system (not existing yet for 2008)	see info Section 4
	4.2	Percentage of projects by priority area covered by reviews	Data from new reporting system (not existing yet for 2008)	see info Section 4
5. Project performance by outputs	5.1	Average number of project publications per project by priority area and funding scheme	Data from new reporting system (not existing yet for 2008)	see info Section 4
	5.2	Average number of other forms of dissemination activities per project by priority area and funding scheme	Data from new reporting system (not existing yet for 2008)	see info Section 4
	5.3	Average number of different types of intellectual property protection per project by priority area and funding scheme	Data from new reporting system (not existing yet for 2008)	see info Section 4
6. FP activity	6.1	Total number of active projects by priority area	CORDA	Section 1.2
	6.2	Average financial size of projects by priority area and funding scheme	CORDA	Section 1.2
	6.3	Participation by types of organisation by priority area funding scheme	CORDA	Section 1.2
	6.4	Participation totals per country	CORDA	Section 1.2
7. Achieving gender equality	7.1	Number of male and female coordinators in proposals	CORDA	Section 1.3
	7.2	Number of male and female coordinators in projects	CORDA	Section 1.3
	7.3	Gender breakdown (by seniority) of project participants	CORDA	Section 1.3
	7.4	Percentage of male and female members in Advisory Groups and Programme Committees	DG RTD	Section 1.3
8. Observing sound ethical principles in FP research	8.1	Number of projects going through the review process/ % by area/ programme	DG RTD	Section 1.6
	8.2	Number of ethics reviews where the result showed insufficient attention had been given in proposal	DG RTD	Section 1.6
	8.3	Number of projects stopped as a results of the ethics review	DG RTD	Section 1.6
	8.4	Number of ethics screenings	DG RTD	Section 1.6
9. Performance International Cooperation activities	9.1	Total numbers of participations of Third Countries by priority area and funding scheme	CORDA	Section 1.2
	9.2	Success of Third Countries in calls by priority area and funding scheme	CORDA	Section 1.2
	9.3	EC contribution to Third Countries	CORDA	Section 1.2
	9.4	Number of international outgoing/incoming fellowships	DG RTD	
10.Simplification	10.1	Do stakeholders perceive that the FP is getting simpler to use in terms of financial and administrative procedures?	Annual NCP Survey	Section 3.2
	10.2	How do stakeholders find the ease of use of the FP, compared to similar international research actions and large national schemes?	Annual NCP Survey	Section 3.2
	10.3	Are there any aspects of FP procedures which are adversely affecting to a significant extent the quality of research carried out and the quality of participation in the FP?	Annual NCP Survey	Section 3.2

The FP7 monitoring system is intended to cover all activities under the Framework Programme, with direct (in house) research actions carried out by the Joint Research Centre (JRC)[37] being the only exception.

The coverage is predominately for implementation issues and in a more limited way (reflecting data availability) research outputs.

This Monitoring Report covers the year 2008. It should be kept in mind that at the time of the writing of the report, information on grant agreements resulting from "2008 calls" can only be limited, considering that negotiations related to some of these "2008 calls" are still ongoing. One consequence of the limitations in data availability is that it is not possible to be both informative and consistent in the definition of "2008" throughout the report. Where reference is made to "2008 calls", calls with a "2008 call-ID" are included. Where little or no information is available for 2008, the report refers to the latest available data.

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[37] Monitoring of JRC direct actions is carried out through the Annual Activity Reports (http://ec.europa.eu/atwork/synthesis/aar/doc/jrc_aar.pdf) 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 B.1: Included and retained proposals, applicants, budgets of projects (in million euro) and corresponding success rates for FP7 calls concluded in 2007 and 2008.

	PROPOSALS										
SPECIFIC PROGRAMME	Included				Retained				Success rates		
	2007		2008		2007		2008		2007	2008	2007+2008
COOPERATION	8.430	59,8%	3.071	27,2%	1.454	46,8%	565	23,8%	17,2%	18,4%	17,6%
IDEAS	547	3,9%	2.044	18,1%	201	6,5%	263	11,1%	36,7%	12,9%	17,9%
PEOPLE	3.404	24,2%	4.563	40,4%	1.102	35,5%	1.268	53,5%	32,4%	27,8%	29,7%
CAPACITIES	1.644	11,7%	1.572	13,9%	332	10,7%	256	10,8%	20,2%	16,3%	18,3%
EURATOM	63	0,4%	38	0,3%	18	0,6%	18	0,8%	28,6%	47,4%	35,6%
Total	**14.088**	**100,0%**	**11.288**	**100,0%**	**3.107**	**100,0%**	**2.370**	**100,0%**	**22,1%**	**21,0%**	**21,6%**
	APPLICANTS										
SPECIFIC PROGRAMME	Included				Retained				Success rates		
	2007		2008		2007		2008		2007	2008	2007+2008
COOPERATION	81.580	80,4%	31.005	53,5%	16.049	73,1%	6.779	54,2%	19,7%	21,9%	20,3%
IDEAS	604	0,6%	2.718	4,7%	214	1,0%	331	2,6%	35,4%	12,2%	16,4%
PEOPLE	6.063	6,0%	12.884	22,2%	2.075	9,5%	2.707	21,7%	34,2%	21,0%	25,2%
CAPACITIES	12.591	12,4%	10.927	18,8%	3.334	15,2%	2.397	19,2%	26,5%	21,9%	24,4%
EURATOM	661	0,7%	462	0,8%	270	1,2%	282	2,3%	40,8%	61,0%	49,2%
Total	**101.499**	**100,0%**	**57.996**	**100,0%**	**21.942**	**100,0%**	**12.496**	**100,0%**	**21,6%**	**21,5%**	**21,6%**
	PROJECT COST										
SPECIFIC PROGRAMME	Included				Retained				Success rates		
	2007		2008		2007		2008		2007	2008	2007+2008
COOPERATION	39.302,5	91,1%	15.323,2	66,1%	7.739,4	86,0%	3.204,1	63,8%	19,7%	20,9%	20,0%
IDEAS	789,7	1,8%	4.128,3	17,8%	287,3	3,2%	596,3	11,9%	36,4%	14,4%	18,0%
CAPACITIES	2.728,1	6,3%	3.544,8	15,3%	835,2	9,3%	1.092,1	21,7%	30,6%	30,8%	30,7%
EURATOM	309,4	0,7%	163,4	0,7%	130,0	1,4%	125,1	2,5%	42,0%	76,6%	53,9%
Total	**43.141,2**	**100,0%**	**23.168,1**	**100,0%**	**8.999,0**	**100,0%**	**5.022,3**	**100,0%**	**20,9%**	**21,7%**	**21,1%**
	EC CONTRIBUTION										
SPECIFIC PROGRAMME	Included				Retained				Success rates		
	2007		2008		2007		2008		2007	2008	2007+2008
COOPERATION	27.632,8	90,0%	10.088,7	59,6%	5.468,8	84,5%	2.178,2	61,6%	19,8%	21,6%	20,3%
IDEAS	770,9	2,5%	4.008,8	23,7%	279,1	4,3%	588,8	16,7%	36,2%	14,7%	18,2%
CAPACITIES	2.088,7	6,8%	2.748,7	16,2%	636,0	9,8%	712,0	20,1%	30,5%	25,9%	27,9%
EURATOM	202,3	0,7%	78,1	0,5%	78,9	1,2%	52,1	1,5%	39,0%	66,7%	46,7%
Total	**30.704,1**	**100,0%**	**16.930,3**	**100,0%**	**6.468,6**	**100,0%**	**3.534,1**	**100,0%**	**21,1%**	**20,9%**	**21,0%**

Table B.2: Numbers of EU27 applicants and requested Community financial contribution in retained proposals for FP7 calls concluded in 2007 and 2008 by country.

	COUNTRY	APPLICANTS				EC CONTRIBUTION				EC CONTR. / APPL.	
		No.		Success rate		€M		Success rate		€K	
		2007	2008	2007	2008	2007	2008	2007	2008	2007	2008
EU MEMBER STATES	**AT - Austria**	575	286	21,1%	19,5%	176,6	85,5	20,9%	19,2%	307,1	299,0
	BE - Belgium	973	483	27,6%	23,9%	305,6	123,5	27,1%	22,3%	314,0	255,7
	BG - Bulgaria	161	91	15,2%	16,2%	18,7	11,6	11,8%	11,2%	116,4	127,6
	CY - Cyprus	74	48	15,9%	17,7%	8,9	7,8	8,9%	15,1%	120,2	162,7
	CZ - Czech Republic	281	155	21,6%	19,4%	51,7	24,5	19,3%	15,6%	184,0	157,9
	DE - Germany	3.029	1.550	24,1%	22,2%	1.154,8	557,3	24,7%	24,9%	381,2	359,5
	DK - Denmark	444	252	24,8%	23,6%	143,4	91,6	23,1%	25,6%	323,1	363,5
	EE - Estonia	108	57	22,8%	23,1%	19,5	7,8	20,9%	18,4%	180,8	137,0
	EL - Greece	683	362	16,0%	15,2%	178,3	82,7	14,7%	11,7%	261,0	228,4
	ES - Spain	1.435	898	19,3%	20,2%	380,9	201,0	18,2%	17,4%	265,4	223,8

FI - Finland	505	254	23,7%	23,7%	181,6	116,7	23,7%	28,0%	359,7	459,3
FR - France	2.185	1.192	26,4%	24,8%	762,4	401,9	27,4%	26,6%	348,9	337,1
HU - Hungary	306	178	18,0%	21,8%	46,2	27,4	12,4%	17,5%	150,9	154,2
IE - Ireland	269	144	23,4%	21,8%	68,3	22,0	20,0%	12,9%	253,9	152,9
IT - Italy	1.945	1.081	17,6%	18,0%	585,6	318,5	16,9%	17,0%	301,1	294,6
LT - Lithuania	70	55	15,7%	24,0%	9,0	7,7	11,7%	25,1%	128,5	140,4
LU - Luxembourg	31	15	18,1%	17,2%	7,9	1,4	15,7%	5,5%	253,2	93,9
LV - Latvia	58	33	21,5%	21,0%	7,8	3,0	15,2%	12,3%	135,1	90,9
MT - Malta	49	18	23,6%	14,6%	4,0	1,9	11,8%	8,7%	82,3	106,6
NL - Netherlands	1.227	694	26,8%	24,6%	411,3	229,6	24,9%	24,4%	335,2	330,9
PL - Poland	422	228	17,8%	16,5%	80,1	35,8	15,5%	10,2%	189,7	157,0
PT - Portugal	328	224	18,3%	19,2%	66,8	40,3	15,1%	16,0%	203,7	180,0
RO - Romania	234	120	13,6%	16,0%	30,3	15,5	9,2%	9,4%	129,5	129,3
SE - Sweden	822	425	25,2%	23,9%	275,9	139,3	22,9%	24,2%	335,7	327,9
SI - Slovenia	179	88	15,9%	16,6%	33,5	10,0	15,0%	9,6%	187,1	113,3
SK - Slovakia	105	61	17,9%	21,4%	14,9	7,1	12,4%	12,0%	141,8	116,9
UK - United Kingdom	2.631	1.605	23,8%	23,8%	832,8	568,0	21,8%	26,3%	316,5	353,9
Total	**19.129**	**10.597**	**21,9%**	**21,3%**	**5.856,9**	**3.139,6**	**21,4%**	**21,4%**	**306,2**	**296,3**

CANDIDATE AND ASSOCIATED COUNTRIES

AL - Albania	7	6	8,2%	18,2%	0,4	0,2	5,2%	8,5%	58,7	33,0
BA - Bosnia-Herzegovina	7	5	6,8%	17,9%	0,6	0,2	6,5%	12,0%	84,2	33,9
CH - Switzerland	692	443	24,4%	27,0%	246,5	178,9	24,4%	30,7%	356,2	403,8
HR - Croatia	68	36	17,5%	14,6%	9,1	8,1	14,6%	15,1%	134,0	225,0
IL - Israel	277	187	19,1%	21,1%	87,1	61,8	17,2%	13,6%	314,5	330,3
IS - Iceland	38	26	22,5%	26,3%	8,8	6,3	19,7%	21,6%	230,6	242,9
LI - Liechtenstein	1	2	5,3%	25,0%	0,4	0,4	8,7%	24,9%	375,6	198,1
ME - Montenegro	8	10	15,7%	34,5%	0,4	0,5	9,1%	12,4%	49,9	48,9
MK - FYROM	20	16	15,6%	20,3%	2,4	3,3	14,2%	17,8%	119,0	206,8
NO - Norway	332	221	22,6%	23,8%	97,0	70,8	19,7%	21,1%	292,2	320,5
RS - Serbia	50	29	12,8%	12,9%	11,3	4,2	13,3%	7,3%	225,1	145,7
TR - Turkey	141	114	12,7%	13,0%	25,2	14,9	8,9%	3,3%	178,4	130,8
Total	**1.641**	**1.095**	**20,0%**	**21,5%**	**489,1**	**349,6**	**19,4%**	**17,6%**	**298,0**	**319,3**

THIRD COUNTRIES WITH S&T AGREEMENTS

AR - Argentina	33	23	19,8%	26,7%	3,3	1,4	15,3%	17,3%	101,2	63,0
AU - Australia	45	40	31,3%	45,5%	1,2	1,1	26,2%	36,5%	25,6	28,6
BR - Brazil	32	49	10,5%	27,8%	4,0	4,1	8,1%	20,0%	124,7	84,2
CA - Canada	49	33	26,5%	28,0%	1,8	1,2	18,6%	25,2%	36,0	36,2
CL - Chile	14	13	13,7%	24,5%	1,5	0,6	11,4%	9,0%	104,7	44,7
CN - China	77	51	15,2%	23,7%	10,4	2,5	16,0%	12,1%	134,6	48,6
EG - Egypt	11	21	6,9%	22,3%	0,7	0,5	2,9%	5,1%	60,2	23,7
IN - India	90	41	22,1%	25,2%	11,4	3,2	18,7%	19,8%	126,3	78,9
KR - S Korea	11	6	32,4%	30,0%	0,7	0,5	32,4%	43,7%	66,4	77,3
MA - Morocco	22	20	15,4%	31,3%	2,4	0,5	14,0%	9,1%	110,4	25,2
MX - Mexico	17	14	16,8%	19,4%	1,5	1,0	13,1%	10,7%	90,9	72,7
NZ - N Zealand	11	21	35,5%	50,0%	1,1	0,1	30,5%	9,5%	98,1	7,1
RU - Russia	119	116	19,8%	21,8%	19,0	9,9	17,6%	14,6%	159,4	85,2
TN - Tunisia	13	15	11,4%	30,0%	1,8	0,2	11,2%	6,6%	135,3	16,6
UA - Ukraine	38	40	15,6%	24,2%	4,1	2,3	13,0%	15,5%	108,5	56,9
US - United States	196	152	29,9%	27,6%	8,9	2,4	25,7%	13,9%	45,2	15,8
ZA - S Africa	52	24	26,3%	23,3%	7,1	1,4	19,1%	10,2%	135,6	58,3
Total	**830**	**679**	**20,3%**	**26,2%**	**80,7**	**33,1**	**15,9%**	**14,7%**	**97,2**	**48,7**
OTHER THIRD COUNTRIES	**342**	**125**	**19,8%**	**18,7%**	**42,0**	**11,8**	**17,9%**	**16,6%**	**122,9**	**94,3**
ALL COUNTRIES	**21.942**	**12.496**	**21,6%**	**21,5%**	**6.468,6**	**3.534,0**	**21,1%**	**20,9%**	**294,8**	**282,8**

Table B.3: Minimum, median, average and maximum time to grant in days for FP7 calls concluded in 2007 and 2008 (up to 11/08/2009) by thematic area.

Specific Programme	Thematic Area	Retained proposals	Signed grants	Minimum	Median	Average	Maximum
COOPERATION	Health	319	312	96	431	437	674
COOPERATION	Food, Agriculture and Fisheries, and Biotechnology	123	114	282	455	451	574
COOPERATION	Information and Communication Technologies	580	587	178	226	246	466
COOPERATION	Nanosciences, Nanotechnologies, Materials and new Production Technologies	251	168	198	402	392	609
COOPERATION	Energy	118	98	133	337	339	544
COOPERATION	Environment (including Climate Change)	141	115	47	530	519	594
COOPERATION	Transport (including Aeronautics)	244	158	223	536	507	784
COOPERATION	Socio-economic sciences and Humanities	97	97	223	432	430	782
COOPERATION	Space	18	21	94	539	505	724
COOPERATION	Security	44	49	228	529	490	789
COOPERATION	General Activities	1	11	112	196	263	493
IDEAS	ERC	464	576	160	301	300	459
PEOPLE	Marie-Curie Actions	2.508	1.760	122	288	291	607
CAPACITIES	Research Infrastructures	137	127	127	390	366	586
CAPACITIES	Research for the benefit of SMEs	226	149	177	401	405	471
CAPACITIES	Regions of Knowledge	32	32	234	272	333	589
CAPACITIES	Research Potential	80	81	239	365	367	469
CAPACITIES	Science in Society	73	66	56	391	371	568
CAPACITIES	Support for the coherent development of research policies	7	9	53	180	203	337
CAPACITIES	Activities of International Cooperation	25	24	230	323	336	654
EURATOM	Fusion Energy	3	3	409	409	413	422
EURATOM	Nuclear Fission and Radiation Protection	33	31	133	291	344	583
Total		**5.524**	**4.589**	**47**	**318**	**333**	**789**

Table B.4: Gender of Individual participants in FP7 funded projects in signed grant agreements by individual role and role of participant organisation in the project.

ROLE	COORDINATOR			PARTICIPANT			ALL		
	F	M	TOTAL	F	M	TOTAL	F	M	TOTAL
Contact Person	1.327	1.763	3.090	5.229	8.571	13.800	6.556	10.334	16.890
Contact Person for Legal Aspects	648	810	1.458	1.971	2.749	4.720	2.619	3.559	6.178
Contact Person for Scientific Aspects	464	1.808	2.272	2.571	9.212	11.783	3.035	11.020	14.055
Fellow	304	554	858	--	--	--	304	554	858
Principal Investigator	98	375	473	--	--	--	98	375	473
First Administrative Officer	590	2.279	2.869	1.872	10.133	12.005	2.462	12.412	14.874
Secondary Administrative Officer	522	1.178	1.700	1.599	4.758	6.357	2.121	5.936	8.057
Total	**3.953**	**8.767**	**12.720**	**13.242**	**35.423**	**48.665**	**17.195**	**44.190**	**61.385**

ANNEX C: STATISTICAL RESULTS OF NCP SURVEY ON FP7 PROMOTION AND IMPLEMENTATION IN 2008

Status : Active
Date open : 2009-06-22
End date : 2009-07-13
There are   289 responses matching your criteria of a total of   289 records in the current set of data.

Search criteria

All data requested

A. Information on responding NCP

A.3 Please, indicate the country of your NCP.

	Number of requested records	% Requested records	% of total number records
Germany	30	(10.4%)	(10.4%)
Bulgaria	19	(6.6%)	(6.6%)
Israel	18	(6.2%)	(6.2%)
Austria	16	(5.5%)	(5.5%)
Denmark	15	(5.2%)	(5.2%)
France	12	(4.2%)	(4.2%)
Poland	12	(4.2%)	(4.2%)
The Netherlands	12	(4.2%)	(4.2%)
Spain	11	(3.8%)	(3.8%)
Romania	10	(3.5%)	(3.5%)
Turkey	10	(3.5%)	(3.5%)
Greece	9	(3.1%)	(3.1%)
Cyprus	8	(2.8%)	(2.8%)
Finland	8	(2.8%)	(2.8%)
Italy	8	(2.8%)	(2.8%)
Estonia	7	(2.4%)	(2.4%)
Ireland	7	(2.4%)	(2.4%)
Norway	7	(2.4%)	(2.4%)
Hungary	6	(2.1%)	(2.1%)
Serbia	6	(2.1%)	(2.1%)
Slovenia	6	(2.1%)	(2.1%)
Latvia	5	(1.7%)	(1.7%)
Portugal	5	(1.7%)	(1.7%)
Sweden	5	(1.7%)	(1.7%)
Switzerland	5	(1.7%)	(1.7%)
Belgium	4	(1.4%)	(1.4%)
Malta	4	(1.4%)	(1.4%)
United Kingdom	4	(1.4%)	(1.4%)
Czech Republic	3	(1%)	(1%)
FYR of Macedonia	3	(1%)	(1%)
Iceland	3	(1%)	(1%)
Slovakia	3	(1%)	(1%)
Lithuania	2	(0.7%)	(0.7%)
Luxembourg	2	(0.7%)	(0.7%)
Montenegro	2	(0.7%)	(0.7%)
Bosnia and Herzegovina	1	(0.3%)	(0.3%)
Croatia	1	(0.3%)	(0.3%)
Albania	0	(0%)	(0%)
Liechtenstein	0	(0%)	(0%)

B. Information and Views in the context of the 2008 Monitoring exercise of FP7

B.1.1 Promotion of FP7 - information days 2008 - total: Please, indicate the total number of FP7 information days organised by your NCP in 2008.

	Number of requested records	% Requested records	% of total number records
> 7	110	(38.1%)	(38.1%)
1 - 3	105	(36.3%)	(36.3%)
4 - 7	56	(19.4%)	(19.4%)
0	10	(3.5%)	(3.5%)
Not applicable	7	(2.4%)	(2.4%)
Don't know	1	(0.3%)	(0.3%)

B.1.2 Promotion of FP7 - attendees at 2008 information days: Please, indicate an estimate of the total number of attendees at these 2008 information days.

	Number of requested records	% Requested records	% of total number records
> 100	166	(57.4%)	(57.4%)
51 - 100	58	(20.1%)	(20.1%)
11 - 50	43	(14.9%)	(14.9%)
Not applicable	13	(4.5%)	(4.5%)
< 10	5	(1.7%)	(1.7%)
Don't know	4	(1.4%)	(1.4%)

B.2.1 FP7 Implementation 2008 - available information: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2008, the information available on FP7 calls?

	Number of requested records	% Requested records	% of total number records
4 (= good)	158	(54.7%)	(54.7%)
3 (= satisfactory)	73	(25.3%)	(25.3%)
5 (= excellent)	42	(14.5%)	(14.5%)
2 (= poor)	10	(3.5%)	(3.5%)
No opinion	6	(2.1%)	(2.1%)
1 (= very poor)	0	(0%)	(0%)

B.2.2 FP7 Implementation 2008 - proposal evaluation procedures: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2008, the procedures for the evaluation of proposals submitted under FP7?

	Number of requested records	% Requested records	% of total number records
4 (= good)	151	(52.2%)	(52.2%)
3 (= satisfactory)	92	(31.8%)	(31.8%)
2 (= poor)	23	(8%)	(8%)
No opinion	11	(3.8%)	(3.8%)
5 (= excellent)	8	(2.8%)	(2.8%)
Not applicable	3	(1%)	(1%)
1 (= very poor)	1	(0.3%)	(0.3%)

B.2.3 FP7 Implementation 2008 - redress procedures: Based on your own observation and the feedback received from researchers and stakeholders in your country, how would you rate, for 2008, the procedures for redress?

	Number of requested records	% Requested records	% of total number records
3 (= satisfactory)	72	(24.9%)	(24.9%)
No opinion	64	(22.1%)	(22.1%)
2 (= poor)	53	(18.3%)	(18.3%)
4 (= good)	44	(15.2%)	(15.2%)
Not applicable	23	(8%)	(8%)
1 (= very poor)	12	(4.2%)	(4.2%)
5 (= excellent)	6	(2.1%)	(2.1%)

B.2.4 FP7 Implementation 2008 - 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 2008, the procedures for ethics reviews and screenings in FP7?

	Number of requested records	% Requested records	% of total number records
4 (= good)	93	(32.2%)	(32.2%)
No opinion	83	(28.7%)	(28.7%)
3 (= satisfactory)	57	(19.7%)	(19.7%)
Not applicable	17	(5.9%)	(5.9%)
5 (= excellent)	13	(4.5%)	(4.5%)
2 (= poor)	13	(4.5%)	(4.5%)
1 (= very poor)	0	(0%)	(0%)

B.2.5 FP7 Implementation 2008 - grant negotiations: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2008, the handling of FP7 grant negotiations by Commission Services?

	Number of requested records	% Requested records	% of total number records
3 (= satisfactory)	119	(41.2%)	(41.2%)
4 (= good)	107	(37%)	(37%)
2 (= poor)	34	(11.8%)	(11.8%)
No opinion	20	(6.9%)	(6.9%)
5 (= excellent)	6	(2.1%)	(2.1%)
Not applicable	2	(0.7%)	(0.7%)
1 (= very poor)	1	(0.3%)	(0.3%)

B.2.6 FP7 Implementation 2008 - project management: Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2008, the management of FP7 projects by Commission Services?

	Number of requested records	% Requested records	% of total number records
3 (= satisfactory)	129	(44.6%)	(44.6%)
4 (= good)	112	(38.8%)	(38.8%)
No opinion	25	(8.7%)	(8.7%)
5 (= excellent)	13	(4.5%)	(4.5%)
2 (= poor)	8	(2.8%)	(2.8%)
Not applicable	2	(0.7%)	(0.7%)
1 (= very poor)	0	(0%)	(0%)

B.2.7 FP7 Implementation 2008 - simplification (1): Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that FP7 - in general - is getting simpler to use in terms of administrative and financial procedures, compared to previous Framework Programmes?

	Number of requested records	% Requested records	% of total number records
3 (= average)	109	(37.7%)	(37.7%)
4 (= agree)	96	(33.2%)	(33.2%)
2 (= disagree)	36	(12.5%)	(12.5%)
No opinion	22	(7.6%)	(7.6%)
5 (= strongly agree)	12	(4.2%)	(4.2%)
1 (= strongly disagree)	8	(2.8%)	(2.8%)
Not applicable	6	(2.1%)	(2.1%)

B.2.8 FP7 Implementation 2008 - simplification (2): Based on your own observations and the feedback received from researchers and stakeholders in your country, please rate, for 2008, the ease of the use of FP7 for the following administrative and financial aspects or procedures, compared to FP6:

Finding information on Framework Programme:

	Number of requested records	% Requested records	% of total number records
Same as in FP6	127	(43.9%)	(43.9%)
Easier than in FP6	109	(37.7%)	(37.7%)
No opinion	35	(12.1%)	(12.1%)
Not applicable	14	(4.8%)	(4.8%)
More difficult than in FP6	4	(1.4%)	(1.4%)

Finding information on open calls:

	Number of requested records	% Requested records	% of total number records
Easier than in FP6	122	(42.2%)	(42.2%)
Same as in FP6	110	(38.1%)	(38.1%)
No opinion	36	(12.5%)	(12.5%)
Not applicable	16	(5.5%)	(5.5%)
More difficult than in FP6	5	(1.7%)	(1.7%)

FP7 application procedures (proposal submission):

	Number of requested records	% Requested records	% of total number records
Easier than in FP6	142	(49.1%)	(49.1%)
Same as in FP6	84	(29.1%)	(29.1%)
No opinion	39	(13.5%)	(13.5%)
Not applicable	17	(5.9%)	(5.9%)
More difficult than in FP6	7	(2.4%)	(2.4%)

FP7 grant negotiations:

	Number of requested records	% Requested records	% of total number records
Same as in FP6	111	(38.4%)	(38.4%)
No opinion	62	(21.5%)	(21.5%)
Easier than in FP6	59	(20.4%)	(20.4%)
More difficult than in FP6	37	(12.8%)	(12.8%)
Not applicable	20	(6.9%)	(6.9%)

FP7 project management (in general):

	Number of requested records	% Requested records	% of total number records
Same as in FP6	120	(41.5%)	(41.5%)
Easier than in FP6	60	(20.8%)	(20.8%)
No opinion	52	(18%)	(18%)
Not applicable	36	(12.5%)	(12.5%)
More difficult than in FP6	21	(7.3%)	(7.3%)

FP7 project management - financial aspects and requirements:			
	Number of requested records	% Requested records	% of total number records
Easier than in FP6	88	(30.4%)	(30.4%)
Same as in FP6	79	(27.3%)	(27.3%)
More difficult than in FP6	57	(19.7%)	(19.7%)
No opinion	44	(15.2%)	(15.2%)
Not applicable	21	(7.3%)	(7.3%)

FP7 project reporting and project reviews:			
	Number of requested records	% Requested records	% of total number records
Same as in FP6	98	(33.9%)	(33.9%)
Easier than in FP6	78	(27%)	(27%)
No opinion	55	(19%)	(19%)
Not applicable	39	(13.5%)	(13.5%)
More difficult than in FP6	19	(6.6%)	(6.6%)

FP7 IT tools (e.g. NEF):			
	Number of requested records	% Requested records	% of total number records
Easier than in FP6	106	(36.7%)	(36.7%)
No opinion	76	(26.3%)	(26.3%)
Same as in FP6	57	(19.7%)	(19.7%)
More difficult than in FP6	25	(8.7%)	(8.7%)
Not applicable	25	(8.7%)	(8.7%)

Communication with Commission Services (e.g. Project Officer, Financial Officer) in FP7:			
	Number of requested records	% Requested records	% of total number records
Same as in FP6	138	(47.8%)	(47.8%)
No opinion	54	(18.7%)	(18.7%)
Easier than in FP6	43	(14.9%)	(14.9%)
More difficult than in FP6	35	(12.1%)	(12.1%)
Not applicable	19	(6.6%)	(6.6%)

B.2.9 FP7 Implementation 2008 - simplification (3): Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2008, the ease of the use of FP7 for the following administrative and financial aspects or procedures in absolute terms?			
Finding information on FP7:			
	Number of requested records	% Requested records	% of total number records
4 (= good)	157	(54.3%)	(54.3%)
3 (= satisfactory)	80	(27.7%)	(27.7%)
5 (= excellent)	42	(14.5%)	(14.5%)
No opinion	5	(1.7%)	(1.7%)
2 (= poor)	4	(1.4%)	(1.4%)
Not applicable	1	(0.3%)	(0.3%)
1 (= very poor)	0	(0%)	(0%)

Finding information on FP7 open calls:			
	Number of requested records	% Requested records	% of total number records
4 (= good)	157	(54.3%)	(54.3%)
3 (= satisfactory)	66	(22.8%)	(22.8%)
5 (= excellent)	55	(19%)	(19%)
No opinion	7	(2.4%)	(2.4%)
2 (= poor)	2	(0.7%)	(0.7%)
Not applicable	2	(0.7%)	(0.7%)
1 (= very poor)	0	(0%)	(0%)

FP7 application procedures (proposal submission):			
	Number of requested records	% Requested records	% of total number records
4 (= good)	160	(55.4%)	(55.4%)
3 (= satisfactory)	73	(25.3%)	(25.3%)
5 (= excellent)	41	(14.2%)	(14.2%)
No opinion	7	(2.4%)	(2.4%)
2 (= poor)	6	(2.1%)	(2.1%)
Not applicable	2	(0.7%)	(0.7%)
1 (= very poor)	0	(0%)	(0%)

FP7 grant negotiations:

	Number of requested records	% Requested records	% of total number records
3 (= satisfactory)	107	(37%)	(37%)
4 (= good)	97	(33.6%)	(33.6%)
2 (= poor)	42	(14.5%)	(14.5%)
No opinion	31	(10.7%)	(10.7%)
Not applicable	8	(2.8%)	(2.8%)
5 (= excellent)	3	(1%)	(1%)
1 (= very poor)	1	(0.3%)	(0.3%)

FP7 project management (in general):

	Number of requested records	% Requested records	% of total number records
4 (= good)	107	(37%)	(37%)
3 (= satisfactory)	104	(36%)	(36%)
No opinion	25	(8.7%)	(8.7%)
Not applicable	23	(8%)	(8%)
2 (= poor)	19	(6.6%)	(6.6%)
5 (= excellent)	10	(3.5%)	(3.5%)
1 (= very poor)	1	(0.3%)	(0.3%)

FP7 project management - financial aspects and requirements:

	Number of requested records	% Requested records	% of total number records
3 (= satisfactory)	105	(36.3%)	(36.3%)
4 (= good)	92	(31.8%)	(31.8%)
2 (= poor)	46	(15.9%)	(15.9%)
No opinion	24	(8.3%)	(8.3%)
5 (= excellent)	10	(3.5%)	(3.5%)
Not applicable	7	(2.4%)	(2.4%)
1 (= very poor)	5	(1.7%)	(1.7%)

FP7 project reporting and project reviews:

	Number of requested records	% Requested records	% of total number records
3 (= satisfactory)	109	(37.7%)	(37.7%)
4 (= good)	95	(32.9%)	(32.9%)
No opinion	32	(11.1%)	(11.1%)
Not applicable	24	(8.3%)	(8.3%)
2 (= poor)	19	(6.6%)	(6.6%)
5 (= excellent)	9	(3.1%)	(3.1%)
1 (= very poor)	1	(0.3%)	(0.3%)

FP7 IT tools (e.g. NEF):

	Number of requested records	% Requested records	% of total number records
4 (= good)	88	(30.4%)	(30.4%)
3 (= satisfactory)	86	(29.8%)	(29.8%)
No opinion	50	(17.3%)	(17.3%)
2 (= poor)	26	(9%)	(9%)
5 (= excellent)	23	(8%)	(8%)
Not applicable	11	(3.8%)	(3.8%)
1 (= very poor)	5	(1.7%)	(1.7%)

Communication with Commission Services (e.g. Project Officer, Financial Officer):

	Number of requested records	% Requested records	% of total number records
4 (= good)	108	(37.4%)	(37.4%)
3 (= satisfactory)	86	(29.8%)	(29.8%)
No opinion	35	(12.1%)	(12.1%)
2 (= poor)	34	(11.8%)	(11.8%)
5 (= excellent)	23	(8%)	(8%)
Not applicable	3	(1%)	(1%)
1 (= very poor)	0	(0%)	(0%)

B.2.10 FP7 Implementation 2008 - simplification (4): Based on your own observations and the feedback received from researchers and stakeholders in your country, which aspects of FP7 procedures are negatively affecting the quality of research and inhibiting the implementation of FP7? Please, list up to 3 issues/problems.
(Free text question - no stats)

B.2.11 FP7 Implementation 2008 - dissemination of project findings (1):Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2008, the communication and dissemination of FP7 project findings by the project consortia?		
	Number of requested records	% Requested records	% of total number records
3 (= satisfactory)	95	(32.9%)	(32.9%)
4 (= good)	72	(24.9%)	(24.9%)
2 (= poor)	41	(14.2%)	(14.2%)
No opinion	40	(13.8%)	(13.8%)
Not applicable	29	(10%)	(10%)
5 (=excellent)	8	(2.8%)	(2.8%)
1 (= very poor)	4	(1.4%)	(1.4%)

B.2.12 FP7 Implementation 2008 - dissemination of project findings (2):Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate, for 2008, the communication and dissemination of FP7 project findings by the Commission?		
	Number of requested records	% Requested records	% of total number records
3 (= satisfactory)	96	(33.2%)	(33.2%)
4 (= good)	93	(32.2%)	(32.2%)
No opinion	33	(11.4%)	(11.4%)
2 (= poor)	28	(9.7%)	(9.7%)
Not applicable	22	(7.6%)	(7.6%)
5 (= excellent)	15	(5.2%)	(5.2%)
1 (= very poor)	2	(0.7%)	(0.7%)

B.3 Equal opportunities in FP7:Based on your own observations and the feedback received from researchers and stakeholders in your country, do you think that the way FP7 is designed and implemented provides equal opportunities for the participation of women and men?		
	Number of requested records	% Requested records	% of total number records
4 (= agree)	116	(40.1%)	(40.1%)
5 (= strongly agree)	72	(24.9%)	(24.9%)
3 (= average)	62	(21.5%)	(21.5%)
No opinion	26	(9%)	(9%)
2 (= disagree)	9	(3.1%)	(3.1%)
Not applicable	3	(1%)	(1%)
1 (= strongly disagree)	1	(0.3%)	(0.3%)

B.4 FP7 - Comparison with other funding schemes:Based on your own observations and the feedback received from researchers and stakeholders in your country, how would you rate the ease of the use of FP7, in 2008, compared with similar international research actions or large national schemes?		
	Number of requested records	% Requested records	% of total number records
2 (= more complex)	114	(39.4%)	(39.4%)
3 (= about the same)	72	(24.9%)	(24.9%)
4 (= less complex)	41	(14.2%)	(14.2%)
No opinion	27	(9.3%)	(9.3%)
1 (= much more complex)	23	(8%)	(8%)
5 (= FP7 much less complex than other schemes)	9	(3.1%)	(3.1%)
Not applicable	3	(1%)	(1%)

C. User Feedback

C.1 Please, enter any suggestions or comments that you you may have regarding this NCP Survey on FP7. Thank you.
(Free text question - no stats)

ANNEX D: GLOSSARY

ARTEMIS	–	Embedded Computing Systems Joint Technology Initiative
BSG/MC	–	Research for the benefit of Specific Groups and Marie Curie Actions
Clean Sky	–	Aeronautics and Air Transport Joint Technology Initiative
CoM	–	Certificate on the methodology for personnel and indirect costs
CoMAv	–	Certificate on average personnel costs
CP/CP-CSA	–	Combination of Collaborative Project & Coordination and Support Action
CSA	–	Coordination and Support Action
DEMO	–	DEMOnstration Power Plant (proposed nuclear fusion power plant)
DIS	–	Dedicated Implementation Structures
ECTF	–	European Clean Transport Facility
EFDA	–	European Fusion Development Agreement
EG	–	Expert Group
EIB	–	European Investment Bank
ENIAC	–	Nanoeletronics Technologies 2020 Joint Technology Initiative
ENP	–	European Neighbourhood Partnership
EPSS	–	Electronic Proposal Submission System
ERA	–	European Research Area
ERAB	–	European Research Area Board
ERC	–	European Research Council
ERCEA	–	European Research Council Executive Agency
ESFRI	–	European Strategy Forum on Research Infrastructures
ESR	–	Evaluation Summary Report
ETP	–	European Technology Platform
EURAB	–	European Advisory Board
FCH	–	Hydrogen and Fuel Cells Joint Technology Initiative
FP6	–	Sixth Framework Programme
FP7	–	Seventh Framework Programme
F4E	–	Fusion for Energy European Joint Undertaking
GIF	–	Generation IV International Forum
HES	–	Higher or Secondary Education Organisation
IAPP	–	Marie Curie Industry-Academia Pathways and Partnerships
ICT	–	Innovation & Communication Technology
IDG-TP	–	Implementing Geological Disposal Technology Platform"
IMI	–	Innovative Initiative Medicines Joint Technology Initiative
IRSES	–	Marie Curie International Research Staff Exchange Scheme
ITER	–	International Tokamak (magnetic confinement fusion) research engineering project (originally the International Thermonuclear Experimental Reactor)
ITN	–	Marie Curie Initial Training Networks
JAC	–	Joint-Assessment Committee
JRC	–	Joint Research Centre
JTI	–	Joint Technology Initiative
LEAR	–	Legal Entity Appointed Representative
MELODI	–	Multidisciplinary European Low-Dose Initiative

NCP	–	National Contact Point
NoE	–	Network of Excellence
OTH	–	Other
PRC	–	Private for Profit Organisation (excluding Education)
PUB	–	Public Body (excluding Research and Education)
RDI	–	Research Development Innovation
REC	–	Research Organisation
RO	–	Redress Office
ROs	–	Research Organisations
ROSATOM	–	State Atomic Energy Corporation (Russia)
RSFF	–	Risk Sharing Financial Facilities
ScC	–	Independent Scientific Council
SET	–	Strategy Energy Technology
SFIC	–	Strategic Forum for International Cooperation
SICAs	–	Specific International Coordination Actions
SiS	–	Science in Society
SNE-TP	–	Sustainable Nuclear Energy Technology Platform
SRA	–	Strategic Research Agenda
SSH	–	Socio-economic Sciences and Humanities
URF	–	Unique Registration Facility

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FURTHER INFORMATION

Further reports (Evaluation Studies and Reports, e.g. FP6 Ex-post Evaluation evidence base, previous Monitoring Reports, etc.) can be found on the **DG RTD Evaluation website**:

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