

Supplementary Information Sheet for research and development aid: individual aid

This supplementary information sheet must be used for the notification of any individual aid covered by the Regulation on the state aid for research and development.

1. Research stage

Research and development stages qualifying for aid

1.1. Feasibility studies:

☐ yes ☐ no

If yes, to which stage of research does the study refer?

☐ fundamental research

☐ applicative research

☐ pre-competitive development

If yes, give examples of major projects:

.....

1.2. Fundamental research:

☐ yes ☐ no

If yes, give examples of major projects:

.....

1.3. Applicative research:

☐ yes ☐ no

If yes, give examples of major projects:

.....

1.4. Pre-competitive development:

☐ yes ☐ no

If yes, give examples of major projects:

.....

1.5. Patent applications and renewals by SMEs:

☐ yes ☐ no

If yes, which stage of research is concerned?

☐ fundamental research

☐ applicative research

☐ pre-competitive development

2. Additional information on the recipient of the aid

2.1. Higher-education or research establishments

☐ yes ☐ no

If yes, give an estimate of the number of establishments involved:

.....

If yes state whether other firms receive aid:

☐ yes ☐ no

Are these higher-education or research establishments in the public sector?

☐ yes ☐ no

2.2. Other (please specify).....

3. Cooperative Research

To enable the Competition Council to check whether contributions from public research establishments to an R&D project constitute aid, please answer the following questions:

3.1. Do the projects provide that public, non-profit-making research or higher-education establishments carry out research on behalf of or in collaboration with industry?

☐ yes ☐ no

If yes, please clarify:

- Do the public, non-profit-making research or higher-education establishments receive payment at the market rate for the services they provide?

☐ yes ☐ no

or

- Do the undertakings participants bear the full cost of the project?

☐ yes ☐ no

or

- Where results which do not give rise to intellectual property rights may be widely disseminated, are any intellectual property rights fully allocated to the public, non-profit-making establishments?

☐ yes ☐ no

or

- Do the public, non-profit-making establishments receive from the undertakings participants (holders of intellectual property rights resulting from the research project) compensation equivalent to the market price for those rights and for the results that do not give rise to intellectual property rights but may be widely disseminated to interested third parties?

☐ yes ☐ no

3.2. Are the projects carried out in collaboration with several firms?

☐ yes ☐ no

If yes, what are the conditions governing such collaboration?

.....

4. Research acquired by the state

4.1. Do projects stipulate that the public authorities may commission R&D from firms?

☐ yes ☐ no

If yes, is there an open tender procedure?

☐ yes ☐ no

4.2. Do projects stipulate that the public authorities may buy the results of R&D from firms?

☐ yes ☐ no

If yes, is there an open tender procedure?

☐ yes ☐ no

5. Type Of Aid

☐ Aid linked to an R&D contract signed with undertakings (please specify):

.....

☐ Advance repayable if the project is successful (please specify the amount and procedures for repayment; in particular, give the criteria for measuring "success"):.....

☐ Other (please specify):

.....

6. Eligible Expenditure

☐ Costs of personnel employed solely on the research activity:

.....

☐ Costs of durable assets used solely and on a continual basis for the research activity (equipment and instruments):

☐ Costs of land and premises used solely and on a continual basis (except where transferred commercially) for the research activity:

☐ Costs of consultancy and equivalent services used exclusively for the research activity, including the research, technical knowledge and patents, etc. bought from outside sources

☐ Additional overheads incurred directly as a result of the research activity:
.....

If appropriate, give a breakdown of research costs by aided and non-aided R&D:
.....

Give a breakdown of the budget between firms, research centres and universities:
.....

7.Aid intensity

7.1. Gross aid intensity:

Definition stage or feasibility studies:
.....

Fundamental research:

Applicative research:

Pre-competitive development:

7.2. For aid in support of patent applications and renewals by SMEs, specify the research activities which first led to the patents concerned:
.....

Planned intensity:.....

7.3. Does the same R&D activity cover several stages of research?

☐ yes ☐ no

If yes, which?

Specify the aid intensity applied:
.....

7.4. Bonuses applicable, if any:

7.4.1. For aid granted to SMEs, give the bonus applicable, if any:
.....

7.4.2. Are the research activities in accordance with a specific project or programme undertaken as part of the national framework program for research and technological development (R&D)?

☐ yes ☐ no

If yes, what is the bonus applicable?
.....

Please give also the exact title of the specific project or programme undertaken as part of the national framework program for R&D, if possible using the "call identifier".

Does the project in accordance with a specific project or program undertaken as part of the national framework program for R&D involve cross-border cooperation between firms and public research bodies or between at least two independent partners in two Member States, where its results are widely disseminated and published?

☐ yes ☐ no

If yes, what is the bonus applicable?

.....

7.4.3. Are the aided R&D activities located in a region eligible at the time the aid is granted?

☐ yes

☐ no

Give the bonus applicable:

7.4.4. If the research activities are not in accordance with a specific project or program undertaken as part of the Community's current framework programme for R&TD, clarify whether at least one of the following conditions is met:

- the project involves effective cross-border cooperation between at least two independent partners in two Member States, particularly in the context of coordinating national R&TD policies

☐ yes ☐ no

- the project involves effective cooperation between firms and public research bodies, particularly in the context of coordination of national R&TD policies

☐ yes ☐ no

- the project's results are widely disseminated and published, patent licences are granted or other appropriate steps are taken under conditions similar to those for the dissemination of Community R&TD results

☐ yes ☐ no

Where at least one of the above conditions is met, give any bonus applicable:

.....

Where there is a combination of bonuses and aid intensities, give the maximum aid intensity applicable for each stage of research:

.....

8.Incentive Effect Of The Aid

8.1. How has expenditure on research and development increased or decreased?

.....

8.2. Is the aid used for R&D activities over and above the recipient's traditional activities?

☐ yes ☐ no

8.3. Is R&D-linked scientific and/or technological activity being created?

☐ yes ☐ no

8.4. How has the number of people engaged in R&D activities evolved?

.....

8.5. Has there been job creation linked to R&D activities?

☐ yes ☐ no

If yes, give the estimated number of jobs created:

.....

8.6. Have jobs been safeguarded as a result of R&D activities?

☐ yes ☐ no

8.7. What is the firm's turnover?

8.8. Are there additional costs linked to cross-border cooperation?

☐ yes ☐ no

8.9. Indicate the measures planned for exploiting in part or in full the results of the research

8.10. Are measures planned to enable SMEs to participate?

☐ yes ☐ no

If yes, indicate what they are:

8.11. Other incentive factors, such as commercial and technological risk:

.....

8.12. In the case of individual, close-to-the-market research projects to be undertaken by large firms, what factors have been taken into account to ensure that the aid has an incentive effect on R&D?

8.13. Demonstrate that the application for aid was made before the R&D activities started:

9. Multinational aspects

9.1. Do the projects (scheme/program) have any multinational aspects (e.g. Esprit or Eureka projects)?

☐ yes ☐ no

If yes, specify:

9.2. Do the R&D projects involve cooperation with partners in other countries?

If yes, state:

a) which other Member State(s).....

b) which other third country or countries

.....

c) which firm(s) in other countries

9.3. Give a breakdown of the total cost by partner:
.....

10. Access to results

Who will own the R&D results in question?
.....

10.1. Are any conditions attached to the granting of licenses in respect of the results?
.....

10.2. Are there any rules governing the general publication/dissemination of the R&D results?

☐ yes ☐ no

10.3. Indicate the measures planned for the subsequent use/development of the results:
.....

10.4. Is there provision for the results of publicly financed R&D projects to be made available to undertakings on a non-discriminatory basis?

☐ yes ☐ no

11. Information and control measures

11.1. Give the information/control measures used to ensure that the aided projects are in line with the objectives laid down by the relevant legislation:
.....

11.2. Specify the arrangements for informing the Competition Council about implementation of the scheme:
.....

11.3. Other useful information, including an estimate of the number of jobs created or safeguarded:

12. Other information

Please give any other information you consider necessary to assess the measure(s) in question under the Regulation on the state aid for research and development, published in the Official Gazette, Ist Part, no.850 on September the 16th, 2004.