

- (a) Supplementary information sheet 6.a is replaced by the following:

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**Part III.6.a**  
**Supplementary Information Sheet for research and  
development and innovation aid: Aid schemes**

*This supplementary information sheet must be used for the notification of any aid scheme<sup>1</sup> covered by the Community framework for State aid for research and development and innovation (hereinafter 'the R&D&I Framework')<sup>2</sup>. It must also be used for aid schemes for Research and Development to SMEs, which do not fall under a Block Exemption Regulation<sup>3</sup> as well as for aid intended for the production, processing and marketing of agricultural products.*

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<sup>1</sup> As regards the aid for promotion of execution of important projects of common European interest, the Commission may also consider a group of projects as together constituting a project. For details see Section 4 of Supplementary Information Sheet for research and development and innovation aid: individual aid (part III.6.b of Annex 1 to Commission Regulation (EC) No 794/2004).

<sup>2</sup> Community framework for state aid for research and development and innovation, OJ C 323, 30.12.2006, p.1.

<sup>3</sup> Currently Commission Regulation (EC) No 70/2001 of 12 January 2001 on the application of Articles 87 and 88 of the EC Treaty to State aid to small and medium-sized enterprises, OJ L 10, 13.1.2001, p. 33 as amended by Commission Regulation (EC) No 364/2004 of 25 February 2004 amending Regulation (EC) No 70/2001 as regards the extension of its scope to include aid for research and development, OJ L 63, 28.2.2004, p. 22; or any subsequent regulation replacing it.

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## 1. BASIC CHARACTERISTICS OF THE NOTIFIED MEASURE

*Please fill in the relevant parts of the notification form corresponding to the character of the notified scheme. Please find below a basic guidance.*

A) Please specify the type of aid and fill in the appropriate subsections of **Section 4** ("Compatibility of aid under article 87 (3) (c) of the EC Treaty") of this supplementary information sheet:

- ☐ Aid for R&D projects, *fill in Section 4.1;*
- ☐ Aid for technical feasibility studies, *fill in Section 4.2;*
- ☐ Aid for industrial property right costs for SMEs, *fill in Section 4.3;*
- ☐ Aid for young innovative enterprises, *fill in Section 4.4;*
- ☐ Aid for process and organisational innovation in services, *fill in Section 4.5;*
- ☐ Aid for innovations advisory services and for innovation support services, *fill in Section 4.6;*
- ☐ Aid for the loan of highly qualified personnel, *fill in Section 4.7;*
- ☐ Aid for innovation clusters, *fill in Section 4.8.*

*Furthermore, please fill in also **Section 5** ("Incentive effect and necessity of aid") and **Section 8** ("Reporting and monitoring") in order to provide the requested confirmations.*

B) Does the aid scheme involve research organisations<sup>4</sup>/innovation intermediaries?

☐ yes ☐ no

*If yes, please fill in **Section 2 and/or 3** ("Research organisations and innovation intermediaries" and "Indirect State aid to undertakings through publicly funded research organisations") of this supplementary information sheet.*

C) Can the aid be combined with other aid?

☐ yes ☐ no

*If yes, fill in **Section 6** ("Cumulation") of this supplementary information sheet.*

D) Does the R&D aid concern products listed in Annex I to the EC Treaty?

☐ yes ☐ no

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<sup>4</sup> For definition see Section 2.2. (d) of the R&D&I Framework.

*If yes, fill in **Section 7** ("Specific questions related to agriculture and fisheries") of this supplementary information sheet.*

- E)** Please confirm that if the SME specific aid<sup>5</sup>/bonus is granted, the beneficiaries comply with the SME definition as defined by the Community legislation<sup>6</sup>:

☐ yes

- F)** If the scheme involves commissioning/purchasing of R&D activities/results from undertakings by the public authorities, are the providers selected in an open tender procedure<sup>7</sup>?

☐ yes ☐ no

*If no, please note that such payments from the public authorities to undertakings would normally involve State aid.*

- G)** If applicable, please provide an exchange rate which has been used for the purposes of the notification: .....

- H)** Please confirm that any aid granted under the notified scheme will be notified individually to the Commission if it reaches the thresholds for a detailed assessment laid down in Section 7.1 of the R&D&I Framework.

☐ yes

- I)** All documents provided by the Member States as annexes to the notification form shall be numbered and document numbers shall be indicated in the relevant parts of this supplementary information sheet.

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<sup>5</sup> I.e. measures under Sections 4.3, 4.4, 4.6 and 4.7 of this supplementary information sheet. Please note that the measure under Section 4.4 is limited to small enterprises.

<sup>6</sup> See footnote 20.

<sup>7</sup> Cf. R&D&I Framework, Section 2.1.

## 2. RESEARCH ORGANISATIONS AND INNOVATION INTERMEDIARIES AS RECIPIENTS OF STATE AID<sup>8</sup>

### 2.1 Public funding of non-economic activities

- A) Do the research organisations or non-for-profit innovation intermediaries carry out an economic activity<sup>9</sup> (an activity consisting in offering goods and/or services on a given market)?

☐ yes ☐ no

If yes, please provide description of these activities:

.....  
.....

- B) If the same entity carries out activities of both economic and non-economic<sup>10</sup> nature, can the two kinds of activities and their costs and funding be clearly separated?

☐ yes ☐ no

If yes, provide details:

.....  
.....

*If yes, please note that public funding of non-economic activities does not fall under Article 87 (1) of the EC Treaty. If not, public funding of economic activities generally entails State aid.*

### 2.2 Public funding of economic activities

- C) Can the Member State prove that:

- the totality of the State funding is passed on from the research organisations or not-for-profit innovation intermediaries (carrying out economic activities) to the final recipients;

AND

- there is no advantage granted to the intermediaries?

<sup>8</sup> Cf. R&D&I Framework, Section 3.1.

<sup>9</sup> For details see Section 3.1.1 of R&D&I Framework (footnote 24).

<sup>10</sup> For details see Section 3.1.1 (2<sup>nd</sup> and 3<sup>rd</sup> paragraph) of R&D&I Framework.

☐

yes

☐

no

Please provide details and evidence:

.....

.....

*If yes, please note that the intermediary organisations may not be recipient of State aid. As regards the aid to final recipients, normal State aid rules apply.*

### 3. INDIRECT STATE AID TO UNDERTAKINGS THROUGH PUBLICLY FUNDED RESEARCH ORGANISATIONS<sup>11</sup>

#### 3.1 Research on behalf of undertakings

A) Are the projects supported under the notified scheme carried out by research organisations on behalf of undertakings?

☐ yes ☐ no

B) If yes, do the research organisations (acting as agent) render services to the undertakings (acting as principals) in situations, where:

- the agents receive payment of an adequate remuneration for their services,

☐ yes ☐ no

AND

- do the principals specify the terms and conditions of these services?

☐ yes ☐ no

Please provide details:

.....  
.....

C) Do the research organisations provide their services at market price?

☐ yes ☐ no

If there is no market price, do the research organisations provide their services at a price which reflects full costs plus a reasonable margin?

☐ yes ☐ no

Please provide details:

.....  
.....

*If a research organisation renders services and if the answer to one of the questions in Section C is yes, there will be normally no State aid passed to the undertakings through the research organisation.*

<sup>11</sup> Cf. R&D&I Framework, Section 3.2.

### 3.2 Collaboration of undertakings and research organisations

- A) Is the collaboration project carried out jointly by undertakings and research organisations?

☐ yes ☐ no

If yes, provide details on the partnerships.

.....  
.....

- B) If yes, do the participating undertakings bear the full cost of the projects supported under the notified scheme?

☐ yes ☐ no

Are the results which do not give rise to intellectual property rights widely disseminated AND are any intellectual property rights which result from the activity of the research organisations fully allocated<sup>12</sup> to the research organisations?

☐ yes ☐ no

Do the research organisations receive from the participating undertakings compensation equivalent to the market price for the intellectual property rights<sup>13</sup> which result from the activity of the research organisations carried out in the project and which are transferred to the participating undertakings?

☐ yes ☐ no

Please provide details (please note that any contribution of the participating undertakings to the costs of the research organisations shall be deducted from the compensation):

.....  
.....

---

<sup>12</sup> For details see Section 3.2.2 (footnote 28) of the R&D&I Framework.

<sup>13</sup> For details see Section 3.2.2 (footnote 29) of the R&D&I Framework.

- C) If none of the answers to questions of Section B is yes, the Member State may rely on individual assessment of the collaboration projects<sup>14</sup>.

Please provide an individual assessment of the collaboration projects, taking into account the above mentioned elements. Please attach also the contractual agreements to the notification.

*If none of the answers to questions of Section B is yes and if the individual assessment of the collaboration projects does not lead to the conclusion that there is no State aid, the Commission will consider the full value of the contribution of the research organisation to the project as aid to undertakings.*

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<sup>14</sup> There also may be no State aid where the assessment of the contractual agreement between the partners leads to the conclusion that any intellectual property rights to the R&D&I results as well as access rights to the results are allocated to the different partners of the collaboration and adequately reflect their respective interests, work packages, and financial and other contributions to the project.

#### 4. COMPATIBILITY OF AID UNDER ARTICLE 87 (3) (C) OF THE EC TREATY

##### 4.1 Aid for R&D projects<sup>15</sup>

###### 4.1.1 Research category<sup>16</sup>

A) Please indicate which R&D stages<sup>17</sup> are supported under the notified scheme:

- ☐ fundamental research;  
☐ industrial research;  
☐ experimental development.

Give examples of major projects to be covered by the notified scheme:

.....  
 .....

B) If individual R&D projects encompass different research categories, please explain how this will be taken into account in determining the maximum aid intensity of a given project (the maximum aid intensity applicable must reflect the stages of research involved).

.....  
 .....

###### 4.1.2 Eligible costs

*All eligible costs must be allocated to a specific category of R&D<sup>18</sup>. Please specify (or tick) below.*

	Fundamental research	Industrial research	Experimental development
Personnel costs			
Costs of instruments and			

<sup>15</sup> Cf. R&D&I Framework, Section 5.1.

<sup>16</sup> To classify the activities, you may refer to the Commission practice or the specific examples and explanations provided in the Frascati Manual on the Measurement of Scientific and technological Activities, proposed Standard Practice for Surveys on Research and Experimental Development (Organisation for Economic Co-operation and Development, 2002).

<sup>17</sup> For definitions see Section 2.2 (e), (f), (g) of the R&D&I Framework.

<sup>18</sup> Cf. Section 5.1.4 of the R&D&I Framework.

equipment  
 Costs for building and land  
 Cost of contractual research,  
 technical knowledge and  
 patents bought or licensed  
 from outside sources at  
 market prices  
 Additional overheads  
 incurred directly as a result  
 of the research project  
 Other operating expenses

#### 4.1.3 Aid intensities and bonuses

*The aid intensity is calculated on the basis of the eligible costs of the project. It must be established for each beneficiary of aid, including in a collaboration project<sup>19</sup>.*

##### **A) Basic intensities (without bonuses)<sup>20</sup>:**

	Fundamental research	Industrial research	Experimental development
Maximum aid intensity			

##### **B) Bonuses:**

Do the supported projects benefit from a bonus?

☐ yes ☐ no

*If yes, please specify below.*

- Is an SME bonus applied under the notified scheme?

☐ yes ☐ no

Specify the level of bonus applicable<sup>21</sup>: .....

- Is a bonus for effective collaboration between undertakings (i) or collaboration of an undertaking with a research organisation (ii) or (only for projects of industrial research) dissemination of results (iii) applied under the notified scheme?

☐ yes ☐ no

<sup>19</sup> In the case of State aid for an R&D project being carried out in collaboration between research organisations and undertakings, the combined aid deriving from direct government support for a specific research project and, where they constitute aid, contributions from research organisations to that project may not exceed the applicable aid intensities for each benefiting undertaking.

<sup>20</sup> The aid intensity may not exceed 100% for fundamental research, 50% for industrial research and 25% for experimental development.

<sup>21</sup> The aid intensity may be increased by 10 percentage points for medium-sized enterprises and by 20 percentage points for small enterprises.

(i) If a bonus for an effective collaboration between at least two undertakings, which are independent of each other, is applied, please confirm that the following conditions are fulfilled:

☐ no single undertaking bears more than 70% of the eligible costs of the collaboration project;

AND

☐ the project involves collaboration with at least one SME or the collaboration has a cross-border character, i.e. research and development activities are carried out in at least two different Member States.

Specify the level of bonus applicable<sup>22</sup>: .....

(ii) If a bonus for an effective collaboration between an undertaking and a research organisation, particularly in the context of coordination of national R&D policies, is applied, please confirm that the following conditions are fulfilled:

☐ the research organisation bears at least 10% of the eligible costs;

AND

☐ the research organisation has the right to publish the result of the research projects insofar as they stem from research implemented by that organisation.

Specify the level of bonus applicable<sup>23</sup>: .....

(iii) If in the case of industrial research a bonus for wide dissemination of the results of the project is applied, please specify at least one of the following methods of wide dissemination:

- ☐ technical and scientific conferences;
- ☐ publication in scientific or technical journals;
- ☐ availability in open access repositories (databases where raw research data can be accessed by anyone);
- ☐ availability through free or open source software.

Specify the level of bonus applicable<sup>24</sup>: .....

C) Specify the total aid intensity of the projects supported under the notified scheme (taking into account the bonuses) (%): .....

#### 4.1.4 Special conditions for repayable advance<sup>25</sup>

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<sup>22</sup> The aid intensity may be increased by 15 percentage points, but up to a maximum of 80%.

<sup>23</sup> The aid intensity may be increased by 15 percentage points, but up to a maximum of 80%. This bonus does not apply to the research organisation.

<sup>24</sup> The aid intensity may be increased by 15 percentage points, but up to a maximum of 80%.

A) Is the aid to the R&D projects granted in the form of a repayable advance?

☐ yes ☐ no

B) If yes, is the aid granted in the form of a repayable advance under the notified scheme expressed as gross grant equivalent<sup>26</sup>?

☐ yes ☐ no

If yes, what is the aid intensity of repayable advance expressed as gross grant equivalent<sup>27</sup> applicable under the notified scheme: .....

Furthermore, please provide the complete methodology applied AND the underlining verifiable data on which the above mentioned methodology has been based:

.....  
.....

C) If the aid cannot be expressed in gross grant equivalent, what is the level of the repayable advance expressed as a percentage of the eligible costs:

.....

In case the rates of repayable advance granted to the R&D project are higher than the rates indicated in Sections 5.1.2 and 5.1.3 (up to the maximum rates indicated in Section 5.1.5) of the R&D&I Framework, please:

- notify to the Commission the detailed information on the repayment in the case of success and define clearly what will be considered as a successful outcome of the research activities;

AND

- confirm the following:

☐ the measure provides that in case of successful outcome the advance is repaid with an interest rate at least equal to the applicable rate resulting from the application of the Commission notice on the method of setting the reference and discount rates<sup>28</sup>;

☐ in case of a success exceeding the outcome defined as successful, the Member State is entitled to request payments beyond payments of the advance amount including interest according to the reference rate foreseen by the Commission;

☐ in case of partial success, the Member State requires that the repayment secured is in proportion to the degree of success achieved.

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<sup>25</sup> Cf. R&D&I Framework, Section 5.1.5.

<sup>26</sup> Gross grant equivalent of a repayable advance reflects the probability that the advance will be repaid by the beneficiaries.

<sup>27</sup> The gross grant equivalent must fulfil the conditions on maximum aid intensities laid down in Sections 5.1.2 and 5.1.3 of the R&D&I Framework

<sup>28</sup> OJ C 273, 9.9.1997, p. 3. Also published under:  
[http://ec.europa.eu/comm/competition/state\\_aid/legislation/reference.html](http://ec.europa.eu/comm/competition/state_aid/legislation/reference.html).

#### 4.1.5 Special conditions for fiscal measures<sup>29</sup>

A) Is the aid to the R&D projects supported under the notified scheme granted in the form of a fiscal measure?

☐ yes ☐ no

If the aid for the R&D project is granted in the form of a fiscal measure, please provide evaluation studies in order to enable the Commission to assess the incentive effect of the R&D fiscal aid.

B) If yes, please specify how the aid intensities are calculated:

- ☐ on the basis of individual R&D project;
- ☐ as the ratio between the overall tax relief and the sum of all eligible R&D costs incurred in a period not exceeding three consecutive fiscal years;
- ☐ other : .....

Please provide details on the calculation method applied:

.....

.....

### **4.2 Aid for technical feasibility studies<sup>30</sup>**

#### 4.2.1 General conditions

The studies are preparatory to<sup>31</sup>:

- ☐ industrial research;
- ☐ experimental development.

#### 4.2.2 Aid intensities

Specify the maximum aid intensity<sup>32</sup> (%) for SMEs: .....

Specify the maximum aid intensity<sup>33</sup> (%) for large companies:.....

*The aid intensity is calculated on the basis of cost of feasibility studies of the project.*

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<sup>29</sup> Cf. R&D&I Framework, Section 5.1.6.

<sup>30</sup> Cf. R&D&I Framework, Section 5.2.

<sup>31</sup> To classify the activities, you may refer to the Commission practice or the specific examples and explanations provided in the Frascati Manual on the Measurement of Scientific and technological Activities, proposed Standard Practice for Surveys on Research and Experimental Development (Organisation for Economic Co-operation and Development, 2002); for definitions see Section 2.2 (e), (f), (g) of the R&D&I Framework.

<sup>32</sup> For SMEs, the aid intensity may not exceed 75% for studies preparatory to industrial research activities and 50% for studies preparatory to experimental development activities.

<sup>33</sup> For large companies, the aid intensity may not exceed 65% for studies preparatory to industrial research activities and 40% for studies preparatory to experimental development activities.

### **4.3 Aid for industrial property right costs for SMEs<sup>34</sup>**

#### **4.3.1 Conditions**

Which stage of research<sup>35</sup> is concerned?

- ☐ fundamental research;
- ☐ industrial research;
- ☐ experimental development.

#### **4.3.2 Eligible costs and aid intensities**

A) Specify the eligible costs<sup>36</sup>:

- ☐ costs preceding the grant of the right in the first legal jurisdiction: .....
- ☐ translation and other costs incurred in order to obtain the granting or validation of the right in other legal jurisdiction: .....
- ☐ costs incurred in defending the validity of the right during the official prosecution of the application and possible opposition proceedings: .....

B) Specify the maximum aid intensity (%)<sup>37</sup>: .....

### **4.4 Aid for young innovative enterprises<sup>38</sup> (for small enterprises)**

Please confirm that:

- A) ☐ the beneficiaries are exclusively small enterprises as defined by Community legislation<sup>39</sup>, in existence for less than 6 years at the time when the aid is granted;
- B) ☐ the beneficiaries are innovative enterprises.

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<sup>34</sup> Cf. R&D&I Framework, Section 5.3.

<sup>35</sup> For definitions see Section 2.2 (e), (f), (g) of the R&D&I Framework.

<sup>36</sup> For details see Section 5.3 (2<sup>nd</sup> paragraph) of the R&D&I Framework.

<sup>37</sup> Maximum aid levels correspond to the same levels of aid as would have qualified as R&D aid in respect of the research activities which first led to the industrial property rights concerned.

<sup>38</sup> Cf. R&D&I Framework, Section 5.4.

<sup>39</sup> See footnote 20.

Please confirm that the compliance with this condition is ensured through:

- ☐ an evaluation carried out by an external expert demonstrating that the beneficiary will in the foreseeable future develop products, services or processes which are technologically new or substantially improved compared to the state of the art in its industry in the Community, and which carry a risk of technological or industrial failure;

OR

- ☐ the evidence that the R&D expenses of the beneficiary represent at least 15% of its total operating expenses in at least one of the three years preceding the granting of the aid or in the case of a start-up enterprise without any financial history, in the audit of its current fiscal period, as certified by an external auditor.

Please provide details on how this is implemented:

.....  
.....

**C)** Specify the maximum aid amount applicable under the notified scheme:

.....

Please confirm that the aid for young innovative enterprises will not exceed:

- ☐ EUR 1 million in non-assisted areas;
- ☐ EUR 1.5 million in regions eligible for the derogation in Article 87 (3) (a) of the EC Treaty;
- ☐ EUR 1.25 million in regions eligible for the derogation in Article 87 (3) (c) of the EC Treaty.

**D)** Please confirm that:

- ☐ the beneficiaries didn't receive aid for young innovative enterprises before and will receive this type of aid only once during the period in which they qualify as a young innovative enterprise.

**E)** Do the enterprises benefit from a cumulation of aid?

☐ yes ☐ no

If yes, please indicate how the specific cumulation rules for young innovative enterprise aid (Section 5.4 of the R&D&I Framework) will be complied with.

.....  
.....

## 4.5 Aid for process and organisational innovation in services<sup>40</sup>

### 4.5.1 General conditions

**A)** To which type of innovation in service activities<sup>41</sup> does the notified scheme refer to?

- ☐ process innovation in service activities;  
☐ organisational innovation in service activities.

Please provide a detailed description of the innovation in service activities<sup>42</sup> (process and/or organisational):

.....  
.....  
.....  
.....

**B)** Please confirm that:

- ☐ the organisational innovation is related to the use and exploitation of Information and Communication Technologies (ICT) to change the organisation;
- ☐ the innovation is formulated as a project with an identified and qualified project manager, as well as identified project costs;
- ☐ the result of the aided project is the development of a standard, of a business model, methodology of concept, which can be systematically reproduced, possibly certified, and possibly patented;
- ☐ the process or organisational innovation is new or substantially improved compared to the state of the art in its industry in the Community;
- ☐ the process or organisational innovation projects entail a clear degree of risk;
- ☐ the aid is granted to large enterprises only if they collaborate with SMEs in the aided activity and that the collaborating SMEs incur at least 30% of the total eligible costs.

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<sup>40</sup> Cf. R&D&I Framework, Section 5.5.

<sup>41</sup> For definitions see Section 2.2 (i), (j) of the R&D&I Framework.

<sup>42</sup> In order to classify the activities, you may refer to the Commission practice or the specific definitions provided in the OSLO Manual, Guidelines for Collecting and Interpreting Innovation Data, 3<sup>rd</sup> Edition (Organisation For Economic Co-operation and Development, 2005).

Please provide details/evidence concerning all these elements:

.....  
.....

#### 4.5.2 Eligible costs and aid intensities

A) Please specify the eligible costs<sup>43</sup>:

Eligible costs

personnel costs  
costs of instruments and equipment  
costs for building and land  
cost of contractual research, technical knowledge and  
patents bought or licensed from outside sources at market  
prices  
additional overheads incurred directly as a result of the  
research project  
other operating expenses

B) Specify the maximum aid intensity<sup>44</sup> for large enterprises (%): .....

Specify the maximum aid intensity<sup>45</sup> for medium enterprises<sup>46</sup> (%): .....

Specify the maximum aid intensity<sup>47</sup> for small enterprises<sup>48</sup> (%): .....

*The aid intensity is calculated on the basis of the eligible costs of the projects.*

#### **4.6 Aid for innovation advisory services and for innovation support services<sup>49</sup>** **(for SMEs)**

##### 4.6.1 General conditions

A) Specify the maximum aid amount (not exceeding EUR 200 000 per beneficiary within any three year period): .....

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<sup>43</sup> For details see Section 5.1.4. Please note that in the case of organisational innovation, the costs of instruments and equipment cover costs of ICT instruments and equipment only.

<sup>44</sup> The maximum aid intensity is 15% of the eligible costs.

<sup>45</sup> The maximum aid intensity is 25% of the eligible costs.

<sup>46</sup> See footnote No 20.

<sup>47</sup> The maximum aid intensity is 35% of the eligible costs.

<sup>48</sup> Idem footnote No 46.

<sup>49</sup> Cf. R&D&I Framework, Section 5.6.

**B)** Please confirm that:

- ☐ if the service provider does not benefit from a national or European certification the aid will not cover more than 75% of the eligible costs;
- ☐ the beneficiaries use the State aid to buy the services at market price (or if the service provider is a non-for-profit entity, at a price which reflects its full costs plus a reasonable margin).

Please provide details on how this will be ensured.

.....  
.....

#### 4.6.2 Eligible costs

**A)** What type of aid is granted?

- ☐ aid for innovation advisory services;
- ☐ aid for innovation support services.

**B)** If it is an aid for innovation advisory services, specify the eligible costs:

- ☐ management consulting: .....
- ☐ technological assistance: .....
- ☐ technology transfer services: .....
- ☐ training: .....
- ☐ consultancy for acquisition, protection and trade in Intellectual Property Rights and for licensing agreements: .....
- ☐ consultancy on the use of standards: .....

**C)** If it is an aid for innovation support services, specify the eligible costs:

- ☐ office space: .....
- ☐ data banks: .....
- ☐ technical libraries services: .....
- ☐ market research: .....
- ☐ use of laboratory: .....
- ☐ quality labelling: .....
- ☐ testing and certification: .....

#### 4.6.3 Special conditions for a non-for-profit entity

*If the service providers are non-for-profit entities, the aid may be given in the form of a reduced price, as the difference between the price paid and the market price (or a price which reflects full costs plus a reasonable margin).*

A) Is the aid given in the form of a reduced price?

☐ yes ☐ no

If yes, provide evidence of the existence of a system ensuring transparency about the full costs of the innovation advisory and innovation support services provided, as well as about the price paid by the beneficiaries, so that the aid received can be measured and monitored.

.....  
.....

#### 4.7 **Aid for the loan of highly qualified personnel<sup>50</sup> (for SMEs)**

##### 4.7.1 General conditions

A) Where do the highly qualified personnel<sup>51</sup> come from?

☐ research organisations;  
☐ large enterprises.

Provide details (if possible) on research organisations and on large enterprises.

.....  
.....

B) Please confirm that:

☐ the seconded personnel are not replacing other personnel;  
☐ the seconded personnel are employed in a newly created function within the beneficiary undertaking;

Specify please this newly created function:

.....  
.....

☐ the seconded personnel have been employed for at least two years in the research organisations or the large enterprises which are sending the personnel on secondment;  
☐ the seconded personnel work on R&D&I activities within the SME receiving aid.

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<sup>50</sup> Cf. R&D&I Framework, Section 5.7.

<sup>51</sup> For definition see Section 2.2. (k) of the R&D&I Framework.

#### 4.7.2 Eligible costs and aid intensities

A) Specify the eligible costs:

☐ costs for borrowing and employing highly qualified personnel:

.....

☐ mobility allowance for the seconded personnel: .....

B) ☐ Please confirm that consultancy costs (payment of the service rendered by the expert without employing the expert in the undertaking) are excluded from eligible costs of the aid for the loan of highly qualified personnel.

C) Specify the maximum aid intensity<sup>52</sup> (%): .....

### **4.8 Aid for innovation clusters**<sup>53</sup>

#### 4.8.1 General conditions

A) What type of aid is granted to the beneficiaries?

☐ investment aid;

☐ operating aid for cluster animation.

B) Please confirm that:

☐ the aid is exclusively granted to the legal entities operating the innovation clusters;

☐ the beneficiaries are in charge of managing the participation and access to the clusters' premises, facilities and activities;

Please provide details:

.....

.....

---

<sup>52</sup> The maximum aid intensity is 50% of the eligible costs, for a maximum of 3 years per undertaking and per person borrowed.

<sup>53</sup> Cf. R&D&I Framework, Section 5.8.

☐ access to the clusters' premises, facilities and activities is not restricted.

**C)** Do the fees charged for using the cluster's facilities and for participating in the cluster's activities reflect their costs?

☐ yes ☐ no

If yes, please demonstrate how this is ensured:

.....  
.....

If not, please provide details (especially with respect to the existence of aid within the meaning of Article 87 (1) of the EC Treaty, see Section 3.1 of the R&D&I Framework):

.....  
.....

**D)** Please attach an analysis of the technological specialisation of the innovation cluster, existing regional potential, existing research capacity, presence of clusters in the Community with similar purposes and potential market volumes of the activities in the cluster:

.....  
.....

#### 4.8.2 Specific conditions concerning investment aid for cluster animation

**A)** What type of investment is carried out?

- ☐ setting up of innovation clusters;
- ☐ expansion of innovation clusters;
- ☐ animation of innovation clusters.

**B)** For which facilities is the aid granted?

- ☐ facilities for training and research centre;
- ☐ open-access research infrastructures, laboratory, testing facility;
- ☐ broadband network infrastructures.

**C)** Specify the eligible costs:

- ☐ costs relating to investment in land: .....
- ☐ buildings: .....
- ☐ machinery: .....
- ☐ equipment: .....

**D)** What is the basic aid intensity (%)<sup>54</sup>: .....

If applicable, what is the basic aid intensity for regions falling under Article 87 (3) (a) of the EC Treaty:

- with less than 75% of average EU-25 GDP per capita, outermost regions with higher GDP per capita and statistical effect regions (until 1 January 2011) (%)<sup>55</sup>: .....
- with less than 60% of average EU-25 GDP per capita (%)<sup>56</sup>: .....
- with less than 45% of average EU-25 GDP per capita (%)<sup>57</sup>: .....

If applicable, what is the basic aid intensity for statistical effect regions falling under Article 87 (3) (c) of the EC Treaty from 1 January 2011 (%)<sup>58</sup>: .....

**E)** Is any bonus granted to beneficiaries?

☐ yes ☐ no

*If yes, specify below:*

- Do you apply an SME bonus?

☐ yes ☐ no

Specify the level of bonus applicable to small enterprises<sup>59</sup>: .....

Specify the level of bonus applicable to medium-sized enterprises<sup>60</sup>: .....

- Do you apply a bonus for undertakings located in outermost regions?

☐ yes ☐ no

If yes, specify the level of bonus applicable to undertakings located in outermost regions:

- where their GDP per capita falls below 75% of EU-25 GDP average (%)<sup>61</sup>: .....
- other outermost regions (%)<sup>62</sup>: .....

---

<sup>54</sup> The maximum aid intensity is 15% of the eligible costs.

<sup>55</sup> The maximum aid intensity is 30% of the eligible costs.

<sup>56</sup> The maximum aid intensity is 40% of the eligible costs.

<sup>57</sup> The maximum aid intensity is 50% of the eligible costs.

<sup>58</sup> The maximum aid intensity is 20% of the eligible costs.

<sup>59</sup> The aid intensity may be increased by maximum 20 percentage points for small enterprises.

<sup>60</sup> The aid intensity may be increased by maximum 10 percentage points for medium-sized enterprises.

<sup>61</sup> The aid intensity may be increased by maximum 20 percentage points.

<sup>62</sup> The aid intensity may be increased by maximum 10 percentage points.

#### 4.8.3 Specific conditions concerning operating aid for cluster animation

A) For how long is such aid granted: ..... years

If the aid is granted for a longer period than 5 years, please provide convincing evidence in order to justify such longer period<sup>63</sup>.

.....  
.....

B) Is the aid degressive?

☐ yes ☐ no

C) Specify the eligible costs:

- ☐ marketing of the cluster to recruit new companies to take part in the cluster: .....
- ☐ management of the cluster's open-access facilities: .....
- ☐ organisation of training programmes, workshops and conferences to support knowledge sharing and networking between the members of the cluster: .....

D) Aid intensity:

- degressive aid (please specify degressive rates for each year)<sup>64</sup>:

.....

- non-degressive aid (%)<sup>65</sup>: .....

### **5. INCENTIVE EFFECT AND NECESSITY OF AID<sup>66</sup>**

<sup>63</sup> In any case, the period may never exceed 10 years.

<sup>64</sup> The intensity may amount 100% for the eligible costs the first year but must have fallen in a linear fashion to zero by the end of the fifth year.

<sup>65</sup> The maximum aid intensity is 50% of the eligible costs.

<sup>66</sup> Cf. R&D&I Framework, Chapter 6.

### **General condition**

Please confirm that when granting the aid under the notified measure, it will be ensured that the R&D&I activities of individual beneficiaries will not commence prior to their aid application or granting decision in case of fiscal aid.

☐ yes

Please provide details on how the compliance with this condition will be ensured.

.....  
.....

In case the aid is granted for projects of large enterprises, to SMEs if it exceeds EUR 7.5 million, for process and organisational innovation in services and for innovation clusters, please confirm that the incentive effect will be evaluated on the basis of at least one of the following indicators:

- ☐ increase in project size;
- ☐ increase in scope;
- ☐ increase in speed;
- ☐ increase in total amount spent on R&D&I;
- ☐ other: .....

Please provide details on how this evaluation will be carried out:

.....  
.....

## **6. CUMULATION<sup>67</sup>**

**A)** Is the aid granted under the notified scheme combined with other aid<sup>68</sup>?

<sup>67</sup> Cf. R&D&I Framework, Chapter 8.

<sup>68</sup> Please note that the aid for R&D&I shall not be cumulated with de minimis support in respect of the same eligible expenses in order to circumvent the maximum aid intensities laid down in the R&D&I Framework.

☐ yes ☐ no

**B)** If yes, please describe the cumulation rules applicable to the notified aid scheme:

.....  
.....  
.....  
.....

**C)** Please specify how the respect of cumulation rules will be verified in the notified aid scheme:

.....  
.....  
.....  
.....

**7. SPECIFIC QUESTIONS RELATING TO AGRICULTURE AND FISHERIES<sup>69</sup>**

**A)** Does the R&D aid concern products listed in Annex I to the EC Treaty?

☐ yes ☐ no

If yes, specify the type of products:

.....  
.....

**B)** If yes, please provide the answers to the following questions:

- is the aid of general interest to the particular sector or sub-sector concerned?

☐ yes ☐ no

If yes, provide evidence:

.....  
.....

- is the information that research will be carried out, and with which goal published on internet prior to the commencement of the research AND does the information published include an approximate date of the expected results and their place of publication on the internet, as well as a mention that the result will be available at no cost?

☐ yes ☐ no

If yes, provide evidence and specify the internet address:

.....  
.....

---

<sup>69</sup> Cf. R&D&I Framework, Chapter 9.

- are the results of the research made available on internet, for a period of at least 5 years AND can it be confirmed that the information on the internet will be published no later than any which may be given to members of any particular organisation?

☐

yes

☐

no

If yes, provide evidence:

.....

.....

- is the aid granted directly to the researching institution or body AND does it exclude the direct granting of non-research related aid to a company producing, processing or marketing agricultural products, as well as the provision of price support to producers of such products?

☐

yes

☐

no

If yes, provide evidence:

.....

.....

*If the answers to all four conditions of Section B above are yes, the aid intensity up to 100% can be allowed. If not, cases of R&D aid for products listed in Annex I to the EC Treaty are to be examined under the normal rules of the R&D&I Framework.*

C) Specify the total aid intensity (%): .....

D) Cooperation pursuant to Regulation No 1698/2005 on support for rural development by the EAFRD<sup>70</sup>

Has the cooperation been approved for Community co-financing under Article 29 of Regulation No 1698/2005 AND/OR is the State aid granted as additional financing pursuant to Article 89 of this Regulation under the same conditions and at the same intensity as the co-financing<sup>71</sup>?

☐

yes

☐

no

<sup>70</sup> Council Regulation (EC) No 1698/2005 of 20 September 2005 on support for rural development by the European Agricultural Fund for Rural Development (EAFRD), OJ L 277, 21.10.2005, p.1 as amended by Regulation (EC) no 1463/2006, OJ L 277 9.10. 2006, p.1.

<sup>71</sup> Commission will allow State aid for cooperation pursuant to Article 29 of Council Regulation (EC) No 1698/2005 of 20 September 2005 on support for rural development by the European Agricultural Fund for Rural Development (EAFRD) if such cooperation has been approved for Community co-financing under that Article and/or the State aid is granted as additional financing pursuant to Article 89 of Regulation (EC) No 1698/2005 under the same conditions and at the same intensity as the co-financing.

*If not, cases of R&D aid for products listed in Annex I to the EC Treaty are to be examined under the normal rules of the R&D&I Framework.*

## 8. REPORTING AND MONITORING<sup>72</sup>

### 8.1 Annual reports

*Please note that this reporting obligation is without prejudice to the reporting obligation pursuant to Commission Regulation (EC) No 794/2004 implementing Council Regulation (EC) No 659/1999<sup>73</sup>.*

A) Please undertake to submit annual reports on the implementation of the notified scheme to the Commission, containing all the elements listed below<sup>74</sup>:

- name of the beneficiary;
- aid amount per beneficiary;
- aid intensity;
- sectors of activity where the aided projects are undertaken.

☐ yes

B) Please undertake to explain in the annual report for all aid granted under an approved scheme to large undertakings how the incentive effect has been respected for aid given to such undertakings<sup>75</sup>.

☐ yes

### 8.2 Access to full text of schemes

A) Please undertake to publish the full text of the final aid schemes as approved by the Commission on the internet.

☐ yes

Please provide the internet address: .....

B) Please confirm that the scheme as approved by the Commission will not be applied before the information is published on the internet (as required under Section A above).

☐ yes

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<sup>72</sup> Cf. R&D&I Framework, Section 10.1.

<sup>73</sup> Commission Regulation (EC) No 794/2004 of 21 April 2004 implementing Council Regulation (EC) No 659/1999 laying down detailed rules for the application of Article 93 of the EC Treaty, OJ L 140, 30.4.2004, p.1.

<sup>74</sup> As regards the specific reporting requirements for fiscal aid and clusters, please see Section 10.1.1 (3rd and 4th paragraph) of the R&D&I Framework.

<sup>75</sup> Notably using the criteria specified in section 6 of the R&D&I Framework.

### **8.3    Information sheets, monitoring**

- A)** Please undertake, whenever aid for R&D&I is granted on the basis of aid schemes without falling under the duty for individual notification, and exceeds EUR 3 million<sup>76</sup>, to provide the Commission within 20 working days starting from the granting of the aid by the competent authority with the information requested in the standard form laid down in the Annex to the R&D&I Framework.

☐      yes

- B)** Please undertake to maintain detailed records regarding the granting of aid, with all information necessary to establish that the eligible costs and maximum allowable aid intensity have been observed.

☐      yes

- C)** Please undertake to ensure that detailed records referred to in Section B above are maintained for 10 years from the date on which the aid was granted.

☐      yes

- D)** Please undertake to submit the records referred to in Section B above on request of the Commission.

☐      yes

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<sup>76</sup> If applicable, please provide an exchange rate used when answering this question.

## **9. OTHER INFORMATION**

Please give any other information you consider necessary to assess the measure(s) in question under the Community Framework for state aid for research, development and innovation. "