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| **STATE AID SELF-ASSESSMENT FORM**  **for applications submitted under the call 09I02-03-V01  “Transformation and Innovation Consortia”** | | |
| Short name of the project[[1]](#footnote-2) |  | |
| Short name of the entity[[2]](#footnote-3) |  | |
| **CLASSIFICATION OF THE ENTITY** | | |
| 1. Is the assessed entity *an organization dedicated to research and knowledge dissemination or a research organization*? | | Vyberte položku. |
| *.........*  *If the answer is „yes“, i.e. the assessed entity is an organization dedicated to research and knowledge dissemination or a research organization according to point 16 letter ff) of the Framework[[3]](#footnote-4), enter here the main activity of the assessed entity and:*   1. *website link or* 2. *attach a scan of the document to the application (and indicate the name of the document or application attachment for easier identification for the purposes of this self-assessment), e.g. internal directive, charter or another document,*   *from which it is clear what you claim and go to question No. 2.*  *If the answer is "no", go to question no. 2. Additional information is not requested in this case.* | | |
| **SUPPORT OF NON-ECONOMIC ACTIVITIES** | | |
| 1. Is it possible to qualify all activities of the assessed entity, included in the submitted project, as activities of a non-economic nature[[4]](#footnote-5) in accordance with the state aid rules? | | Vyberte položku. |
| *.........*  *If the answer is “****yes****” to this question along with the answer “yes” to the previous question, state the* ***justification of the non-economic nature*** *based on chapter 2.1.1 of the Framework.*  *If the answer is “yes” to this question along with the answer “****no****” to the previous question, state the* ***justification of the non-economic nature*** *based on chapter 2 of the Commission Notice on the notion of State aid.[[5]](#footnote-6)*  *If the project (in the part implemented by the entity completing this assessment) also includes investments in (installation of new or modernization of existing) research infrastructure used* ***exclusively*** *for non-economic purposes:*   1. *Identify the infrastructure (brief designation and description of what it consists of)* 2. *Describe what non-economic activities this infrastructure will be used for*   *If the project (in the part implemented by the entity completing this assessment) also includes investments in (installation of new or modernization of existing) research infrastructure used* ***almost exclusively*** *for non-economic purposes (see more closely point 21 of the Framework):*   1. *Identify the infrastructure (brief designation and description of what it consists of);* 2. *Calculate the annual capacity of the infrastructure;* 3. *Describe how the annual infrastructure capacity was calculated;* 4. *Describe how this infrastructure will be used both within and outside of project implementation, including the expected share of its annual capacity (during the entire period of its economic life – asset depreciation) for non-economic and economic purposes (up to 20% of the annual capacity);* 5. *Describe how it will be ensured that the limit (20%) of annual capacity for economic purposes is not exceeded;*   *The assessment is completed; all* ***activities*** *of the assessed entity that are included in the project will be (after verification of the information provided in this assessment and in the application, including the annexes) fully financed (100%) from the RRP funds in case the project is approved and a grant agreement is concluded with the applicant.*  *If the answer is "****no****", i.e. if the assessed entity within the project:*   1. *carries out only economic activities (it is an enterprise that transforms the results of the project into its economic activity – offering goods and/or services on the market) or* 2. *carries out* ***economic*** *activities in addition to non-economic activities, state that "Activities of a non-economic nature are included in the work packages" and the number of the work packages in which the non-economic activities are included and the justification of their non-economic nature as in the case of the answer "yes" and/or* 3. *invests in (installation of new or modernization of existing) research infrastructure, the planned use of which for economic activity will exceed 20% of its annual capacity, state that "The project will also include investments in research infrastructure that will be used for economic purposes in excess of 20% of its annual capacity capacities"*   *and go to question No. 3.* | | |
| **SUPPORT OF ECONOMIC ACTIVITIES** | | |
| 1. Does the assessed entity perform economic activities within the project? | | Vyberte položku. |
| *.........*  *If the answer is "****yes****", indicate the number of the work packages in which economic activities are included (including investments in research infrastructure that will be used for economic purposes at a rate exceeding 20% of its annual capacity).*  *At the same time (with the exception of the case that the only "economic" activity is investment in research infrastructure, which will be used for economic purposes at a rate exceeding 20% of its annual capacity), indicate whether:*   1. *"other companies which together with the assessed entity form one economic unit are not involved in the implementation of the project" or* 2. *"other companies which together with the assessed entity form one economic unit are also involved in the implementation of the project" and add their identification – short name from the project description.*   *In case that the project includes (also) investments in (the installation of new or modernization of existing) research infrastructure, the utilization rate of which for economic purposes* ***exceeds 20%*** *of its total annual capacity (i.e. it subjects to the state aid scheme):*   1. *Identify the infrastructure (brief designation and description of what it consists of);* 2. *Calculate the annual capacity of the infrastructure;* 3. *Describe how the annual infrastructure capacity was calculated;* 4. *Describe how this infrastructure will be used both within and outside of project implementation, including the expected share of its annual capacity (during the entire period of its economic life – asset depreciation) for non-economic and economic purposes;* 5. *Describe how it will be ensured that the limit of annual capacity for economic purposes is not exceeded (according to point iv.).*   *The test is assessment; the activities included in the work packages listed in this section must be in accordance with the state aid scheme. In the case of investments in the research infrastructure mentioned in this section, these investments will fall under the state aid scheme to the extent corresponding to the planned share of the annual capacity of the research infrastructure for economic purposes; the remaining part of the investment will be supported outside the scope of state aid rules* | | |

**Instructions and explanations for the form**

The aim of this simplified self-assessment is to include the activities of each entity that participates in the implementation of the project (it incurs costs in connection with the implementation of the project in accordance with the conditions of the call):

1. under the ***Scheme of state aid to support research, development and innovation within component 9 of the Slovak Resilience Recovery Plan*** (in the assessment, only the term "state aid scheme" is used), which is available at [https://vaia.gov.sk/](https://vaia.gov.sk/wp-content/uploads/2023/03/Schema_SP_VVaI_K9POO-SA.106633.pdf?csrt=3003162182056910973) and/or
2. outside the state aid scheme,

which has a direct consequence on the calculation of the share of funding provided for eligible costs included in the project. In case the project is approved and a contract is concluded with the applicant on the provision of funding, the activities included in the project according to letter b) will be financed in full (100%), while the activities under letter a) will be financed to the extent corresponding to the size category of the entity and the type of activity (industrial research, experimental development or investment in research infrastructure). For specific financing rates (aid intensity), see Art. K paragraph 7 of the state aid scheme or condition no. 5 in the call text.

The combination of economic and non-economic activities in one entity should, as a rule, only occur in cases of investments in research infrastructure, if the research organization plans to use this infrastructure for economic purposes at a rate exceeding 20% of its total annual capacity. The research infrastructure financed within the project will be included in a separate work package or several work packages so that any separate work package does not include infrastructure which is:

1. not subject to a state aid scheme (i.e. no more than 20% of its annual capacity is allocated to economic activities) and
2. subject to a state scheme (i.e. more than 20% of its annual capacity is allocated to economic activities).

Please write additional information to the answers to individual questions directly in the first line that begins with periods (please rewrite them). The instructions below this line further define the data requirements to be provided in the given section. After completing the required data, delete these instructions. The instructions for adding information are written in green if you answer "yes" to a specific question, and in red if you answer "no". As it follows from the first paragraph of this section, the assessment must be submitted **for every single entity that participates in the implementation of the project**.

**Definitions of selected concepts**

***Economic activity*** or ***activity of an economic nature*** is any activity that consists in offering goods and/or services on the market. For more information on the classification of activities between economic or non-economic, see chapter 2.1.1 [Framework](https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:52014XC0627(01)) and chapter 2 of the [Notice on the concept of state aid](https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX%3A52016XC0719%2805%29), or chapter 7, which discusses the conditions under which infrastructure investments are not subject to state aid conditions.

*An* ***economic unit*** is a group of legally separate entities that have controlling shares and other functional, economic and organizational links. For the purposes of providing state aid, such a group of entities is considered a relevant enterprise (recipient of aid) for the purpose of verifying the cumulation of aid as well as the condition of an enterprise in difficulty.

***A*** ***research and knowledge dissemination organization*** or ***research organization*** **is an entity** (such as universities or research institutes, technology transfer agencies, innovation intermediaries, physical or virtual collaborative research-oriented entities) regardless of its legal status (public or private entity) or a form of funding, **whose main objective is to independently carry out basic research, industrial research or experimental development or to widely disseminate the results of such activities through teaching, publishing or knowledge transfer**. If such an entity also carries out economic activities, the funding, costs and benefits associated with such economic activities must be accounted for separately. Enterprises that can decisively influence such an entity, for example in the capacity of shareholders or members, must not have preferential access to the results achieved by the entity.

***An enterprise*** is any entity performing an economic activity, regardless of its legal status (the public or private nature of the entity does not affect whether or not the entity has the status of an enterprise), the method of funding, and regardless of whether it makes a profit. Enterprises are also entities of the non-profit sector, e.g. civic associations, non-profit organizations, associations of legal entities, as well as universities, research institutions (including public research institutions), if they carry out economic activity. An entity performing both economic and non-economic activities is considered an enterprise only in connection with the performance of economic activities, provided that these two types of activities and their costs, funding and income can be clearly separated. Costs and benefits related to economic activities must be accounted for separately to avoid cross-subsidization of the economic activity.

***A project*** under this call may include activities belonging to one or more categories of research and development and which is intended to fulfill an indivisible task of a precise economic, scientific or technical nature with clearly in advance defined goals. A project usually consists of several work packages, activities or services and includes clear objectives, activities to be carried out to achieve these objectives (including their expected costs), and specific outputs as a basis for evaluating the results of these activities and comparing them with the relevant objectives. When it is not possible to clearly separate two or more projects from each other, especially if these projects have no prospects for technological success on their own, they are considered to be a single project.

1. Enter the short name of the project from the application form. [↑](#footnote-ref-2)
2. Enter the short name of the entity that you entered in the table “Identification of the entities involved in the implementation of the project” in the Project Description. [↑](#footnote-ref-3)
3. Communication from the Commission (2014/C 198/01): Framework for State aid for research and development and innovation; <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:52014XC0627(01)> [↑](#footnote-ref-4)
4. For the purposes of this assessment, an activity of a non-economic nature (meaning an activity outside the scope of state aid rules according to point 207 of Commission Notice on the notion of State aid) also includes an investment in research infrastructure that is to be used almost exclusively for non-economic purposes, i.e. the annual capacity for economic activity will not exceed 20% of the total annual capacity of the research infrastructure in question. [↑](#footnote-ref-5)
5. Commission Notice on the notion of State aid as referred to in Article 107(1) of the Treaty on the Functioning of the European Union <https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX%3A52016XC0719%2805%29> [↑](#footnote-ref-6)