

IPCEI Communication - applicable criteria¹

A. Eligibility criteria

1. Definition of a project (integrated project) ☐
 - a. Common structure, and/or ☐
 - b. Roadmap, and/or ☐
 - c. Programme ☐
 - d. Coherent systemic approach ☐
 - e. Description of the different components
 - f. Description of the direct participants
 - g. Description of the individual projects ☐
 - h. Necessity and complementarity of individual projects within each WS² ☐
 - i. Necessity of each WS and complementarity with other WS ☐
2. Common European interest ☐

General cumulative criteria

- a. Important contribution to one or more Union objectives ☐
- b. Overcoming important market or systemic failures or societal challenges ☐
- c. At least four Member States involved, unless justified otherwise ☐
- d. The benefits of the project must be defined in a concrete and identifiable manner ☐
- e. Positive spillover effects generated beyond the participating MS and undertakings and the sectors concerned ☐
 - i. Spillover of knowledge not protected by IP ☐
 - ii. Spillover of knowledge protected by IP ☐
 - iii. Spillover effects during FID ☐
 - iv. Other spillover effects ☐
 - v. Spillover effects for environmental, energy, transport health or digital projects ☐
- f. Open procedure for MS ☐
- g. Significant co-financing by the aid beneficiaries ☐
- h. Respect of the 'do not significant harm' principle and no environmental harmful subsidies involved ☐

¹ This list is based on [the draft IPCEI Communication](#) that was subjected to a public consultation on 23 February 2021.

² The participating Member States (MS) in the already approved IPCEIs chose to structure them alongside a number of structural components (i.e. work streams (WS) or technology fields (TF)). Neither of these names nor such structure is mandatory.

General positive indicators

- a. Involvement of the Commission or any other EU body in the design of the project ☐
- b. Involvement of the Commission or any other EU body in the selection of the project
- c. Governance structure of the project involving the Commission ☐
- d. Description of collaborative interactions within the project ☐
- e. Description of collaborative interactions outside the project ☐
- f. Co-financing by a Union fund centrally managed by the MS or not ☐
- g. Selection of beneficiaries through a competitive, transparent and non-discriminatory procedure ☐

Specific criteria

- a. Major innovative nature or important added value in terms of R&D&I in the light of the global state-of-the-art in the sector concerned ☐
 - b. Projects with First Industrial Development (FID) ☐
 - i. Concern “the development of a new product or service with high research and innovation content and/or the deployment of a fundamentally innovative production process” ☐
 - ii. Do not relate to “regular upgrades without an innovative dimension of existing facilities and the development of newer versions of existing products” ☐
 - iii. Consist in the “upscaling of pilot facilities, demonstration plants or of the first-in-kind equipment and facilities covering the steps subsequent to the pilot line including the testing phase” ☐
 - iv. Correspond to neither mass production nor commercial activities ☐
 - v. “Follow on from an R&D&I activity and itself contains a very important R&D&I component which constitutes an integral and necessary element for the successful implementation of the project”
 - vi. Both the R&D&I and FID activities are covered by the project ☐
 - c. Environment, energy, transport, health or digital projects ☐
 - i. They do not cover R&D&I nor FID ☐
 - ii. Concern environmental, energy, transport, health or digital projects that are of great importance for the sector concerned or contribute significantly to the internal market ☐
3. Importance of the project
- a. Size and scope ☐
 - b. Technological and financial risks ☐

- c. Other risks (e.g. organizational, commercial e.t.c.)³ ☐

B. Compatibility criteria

1. Necessity of aid ☐
 - a. Incentive effect ☐
 - b. Counterfactual scenarios analysis (using board presentations, analyses, reports and studies) ☐
2. Proportionality of aid ☐
 - a. Funding gap analysis ☐
 - b. Eligible costs R&D&I ☐
 - c. Eligible costs FID ☐
 - d. Claw back mechanism ☐
 - e. Cumulation of aid ☐
3. Prevention of undue distortions of competition and balancing test ☐
 - a. Aid instrument appropriate with a view of the market failure or other important systemic failures ☐
 - b. Consideration of negative effects on undertakings in the product markets concerned including up — or downstream markets ☐
 - c. Analysis of risk of market foreclosure and dominance ☐
 - d. Analysis of the markets concerned and the position of the undertakings on these markets. ☐
 - e. Description of main competitors and customers ☐
 - f. For infrastructure projects: open and non-discriminatory access to the infrastructure and non-discriminatory pricing and network operation ☐
 - g. Analysis of negative effects on trade, including the risk of subsidy race ☐
 - h. Examination of measure conditional on relocation of activities ☐
 - i. Balancing test ☐
4. Transparency ☐
 - a. Are the companies subjected to national reporting obligations? ☐
 - b. Annual reporting to the Commission ☐

³ Although this is not required by the Communication, it could be provided as supplementary evidence of importance of a project.