PART I.

*GENERAL INFORMATION*

1. *Status of the notification*

Does the information transmitted on this form concern:

(a) [ ]  a pre-notification? If so, you may not need to complete the entire form at this stage but to agree with the EFTA Surveillance Authority (“the Authority”) which information is required for a preliminary assessment of the proposed measure.

(b) [ ]  a notification pursuant to Article 1(3) of Part I of Protocol 3 (“Protocol 3”) to the Agreement between the EFTA States on the establishment of a Surveillance Authority and a Court of Justice (“SCA”)?

(c) [ ]  a simplified notification under Article 4(2) of the Authority’s Decision No 195/04/COL[[1]](#footnote-1)? If so, please complete only the Simplified Notification Form in Annex II.

(d)[ ]  a measure which does not constitute State aid within the meaning of Article 61(1) of the EEA Agreement but is notified to the Authority for reasons of legal certainty?

 If you have selected point (d) above, please indicate below why the notifying EFTA State considers that the measure does not constitute State aid within the meaning of Article 61(1) of the EEA Agreement. Please provide a full assessment of the measure in light of each of following four criteria, stressing in particular the criteria that you consider not to be met in the planned measure:

 Does the notified measure imply a transfer of public resources or is it imputable to the State?

 Click here to enter text.

 Does the notified measure confer an advantage upon undertakings?

 Click here to enter text.

 Is the measure discretionary, available only to a limited number of undertakings, in a limited number of sectors of the economy or does it entail any territorial restrictions?

 Click here to enter text.

 Does the measure affect competition on the internal market or threaten to distort intra-EEA trade?

 Click here to enter text.

1. *Identification of the aid grantor*

 EFTA State concerned:

 Click here to enter text.

 Region(s) concerned (at NUTS level 2); include information on their regional aid status:

 Click here to enter text.

 Contact person(s):

 Name:

Click here to enter text.

 Address:

 Click here to enter text.

 Phone(s):

 Click here to enter text.

 E-mail(s):

 Click here to enter text.

Please indicate the name, the address (including web address) and the e-mail contact of the granting authority:

 Name:

 Click here to enter text.

 Address:

 Click here to enter text.

 Web address:

 Click here to enter text.

 E-mail:

 Click here to enter text.

Contact person at the Mission to the European Union of the EFTA State concerned or any other contact point designated by the EFTA State

 Name:

 Click here to enter text.

 Phone(s):

 Click here to enter text.

 E-mail:

 Click here to enter text.

If you would like a copy of the official correspondence sent by the Authority to the EFTA State to be forwarded to other national authorities, please indicate here their name, address (including their web address) and e-mail contact:

 Name:

 Click here to enter text.

 Address:

 Click here to enter text.

 Web address:

 Click here to enter text.

 E-mail:

 Click here to enter text.

3. *Beneficiaries*

3.1. Location of the beneficiary(ies)

(a) [ ]  in (an) unassisted region(s):

Click here to enter text.

(b) [ ]  in region(s) eligible for assistance under Article 61(1)(a) of the EEA Agreement (specify the region(s) at NUTS level 2):………………………………...…………………………………...

(c) [ ]  in region(s) eligible for assistance under Article 61(1)(c) of the EEA Agreement(specify the region(s) at NUTS level 3 or lower):……………………………...…………………….

3.2. If applicable, location of the project(s)

(a) [ ]  in (an) unassisted region(s):

Click here to enter text.

(b) [ ]  in region(s) eligible for assistance under Article 61(1)(a) of the EEA Agreement(specify the region(s) at NUTS level 2):

Click here to enter text.

(c) [ ]  in region(s) eligible for assistance under Article 61(1)(c) of the EEA Agreement (specify the region(s) at NUTS level 3 or lower):

Click here to enter text.

3.3. Sector(s) affected by the aid measure (i.e. in which the aid beneficiaries are active):

(a) [ ]  Open to all sectors

(b) [ ]  Sector specific. If so, please specify the sector(s) at NACE group level[[2]](#footnote-2):

Click here to enter text.

3.4. In the case of an aid scheme, please specify:

3.4.1. Type of beneficiaries:

(a) [ ]  large enterprises

(b) [ ]  small and medium-sized enterprises (SMEs)

(c) [ ]  medium-sized enterprises

(d) [ ]  small enterprises

(e) [ ]  micro enterprises

3.4.2. Estimated number of beneficiaries:

(a) [ ]  under 10

(b)[ ]  from 11 to 50

(c)[ ]  from 51 to 100

(d) [ ]  from 101 to 500

(e) [ ]  from 501 to 1000

(f) [ ]  over 1000

3.5. In the case of individual aid, either granted within the scope of a scheme or as ad hoc aid, please specify:

3.5.1. Name of the beneficiary(ies):

 Click here to enter text.

3.5.2. Type of beneficiary(ies):

 Click here to enter text.

 [ ]  SME

 Number of employees:

 Click here to enter text.

 Annual turnover (full amount in national currency, in the last financial year):

 Click here to enter text.

 Annual balance-sheet total (full amount in national currency, in the last financial year):

 Click here to enter text.

 Existence of linked enterprise or partner enterprises (please attach a declaration according to paragraph 30 of the Chapter of the Authority’s State Aid Guidelines on aid to micro, small and medium-sized enterprises[[3]](#footnote-3) attesting to either the autonomous, linked or partner status of the beneficiary undertaking[[4]](#footnote-4)):

 Click here to enter text.

 [ ]  Large enterprise

3.6. Is the beneficiary(ies) an undertaking in difficulty[[5]](#footnote-5)?

|  |  |
| --- | --- |
| [ ]  yes | [ ]  no |

3.7. Outstanding recovery orders

3.7.1. In the case of individual aid:

 The authorities of the EFTA State commit to suspend the award and/or payment of the notified aid if the beneficiary still has at its disposal earlier unlawful aid that was declared incompatible by a Authority Decision (either as individual aid or aid under an aid scheme being declared incompatible), until that beneficiary has reimbursed or paid into a blocked account the total amount of unlawful and incompatible aid and the corresponding recovery interest.

|  |  |
| --- | --- |
| [ ]  yes | [ ]  no |

 Please provide the reference to the national legal basis concerning this point:

 Click here to enter text.

3.7.2. In the case of aid schemes:

 The authorities of the EFTA State commit to suspend the award and/or payment of any aid under the notified aid scheme to any undertaking that has benefited from earlier unlawful aid declared incompatible by a Authority Decision (either as an individual aid or an aid under an aid scheme being declared incompatible), until that undertaking has reimbursed or paid into a blocked account the total amount of unlawful and incompatible aid and the corresponding recovery interest.

|  |  |
| --- | --- |
| [ ]  yes | [ ]  no |

 Please provide the reference to the national legal basis concerning this point:

 Click here to enter text.

4. *National Legal Basis*

4.1. Please provide the national legal basis of the aid measure including the implementing provisions and their respective sources:

 National legal basis:

Click here to enter text.

 Implementing provisions (where applicable):

 Click here to enter text.

 References (where applicable):

 Click here to enter text.

4.2. Please enclose with this notification one of the following:

(a) [ ]  a copy of the relevant extracts of the final text(s) of the legal basis (together with a web address which provides direct access to it, if available)

(b)[ ]  a copy of the relevant extracts of the draft text(s) of the legal basis (together with a web address which provides direct access, if available)

4.3. In case of a final text, does the final text contain a stand-still clause whereby the aid granting body can only grant the aid after the Authority has authorised the aid?

 [ ]  Yes

 [ ]  No: has a provision been included to that effect in the draft text?

 [ ]  Yes

 [ ]  No: please explain why such a provision was not included in the text of the legal basis.

 Click here to enter text.

4.4. Where the text of the legal basis contains a stand-still clause, please indicate whether the date of granting of the aid will be:

 [ ]  the date of the approval by the Authority

[ ]  the date of the commitment of the national authorities to grant the aid, subject to the approval of the Authority

 Click here to enter text.

5. *Identification of the Aid, Objective and Duration*

5.1. Title of the aid measure (or name of the beneficiary of the individual aid)

 Click here to enter text.

5.2. Brief description of the objective of the aid

 Click here to enter text.

5.3. Does the measure concern the national co-financing of an European Fund for Strategic investment (EFSI)[[6]](#footnote-6) project?

 [ ]  No

 [ ]  Yes: please attach the European Investment Bank application form to the notification form

5.4. Type of aid

5.4.1. Does the notification relate to an aid scheme?

 [ ]  No

 [ ]  Yes: Does the scheme amend an existing aid scheme?

 [ ]  No

 [ ]  Yes: Are the conditions laid down for the simplified notification procedure pursuant to Article 4(2) of the Authority’s Decision No 195/04/COL fulfilled?

 [ ]  Yes: Please use and complete the Simplified Notification Form (see Annex II).

 [ ]  No: Continue with this form, and specify whether the original scheme which is being amended was notified to the Authority

 [ ]  Yes: please specify:

 Aid number[[7]](#footnote-7):

Click here to enter text.

 Date of Authority approval (reference of the Decision of the Authority) if relevant or exemption number: …/…/…;

 Click here to enter text.

 Duration of the original scheme:

 Click here to enter text.

 Please specify which conditions are being amended in relation to the original scheme and why:

 Click here to enter text.

 [ ]  No: please specify when the scheme was implemented:

 Click here to enter text.

5.4.2. Does the notification relate to individual aid[[8]](#footnote-8)?

 [ ]  No

 [ ]  Yes: please indicate whether:

 [ ]  the aid is based on an approved/block-exempted scheme which should be individually notified. Please provide the reference to the approved scheme or to the exempted scheme:

 Title:

Click here to enter text.

 Aid number[[9]](#footnote-9):

Click here to enter text.

 Decision of Authority approval (where applicable):

Click here to enter text.

 [ ]  individual aid is not based on a scheme

5.4.3. Does the system of financing form an integral part of the aid measure (for example, by applying parafiscal levies in order to raise the necessary funds to allow for the aid to be granted)?

 [ ]  No

 [ ]  Yes: if yes, the system of financing should be notified as well.

5.5. Duration

[ ]  Scheme

 Indicate the planned last date until which individual aid may be granted under the scheme. If the duration exceeds 6 years please indicate why a longer period is indispensable to achieve the objectives of the aid scheme.

 Click here to enter text.

[ ]  Individual aid

 Indicate the planned date when the aid will be granted[[10]](#footnote-10):

 Click here to enter text.

 If the aid will be paid out in instalments, indicate the planned date(s) of each instalment:

 Click here to enter text.

6. *Compatibility of the aid*

Common assessment principles

6.1. Please indicate the primary objective and, where applicable, the secondary objective(s), of common interest to which the aid contributes:

|  |  |  |
| --- | --- | --- |
|  | *Primary objective**(please tick only one)* | *Secondary objective*[[11]](#footnote-11) |
| Broadband infrastructures | [ ]  | [ ]  |
| Closure aid | [ ]  | [ ]  |
| Compensation of damage caused by natural disasters or exceptional occurrences | [ ]  | [ ]  |
| Culture | [ ]  | [ ]  |
| Aid or disadvantaged workers and/or workers with disabilities | [ ]  | [ ]  |
| Energy infrastructures | [ ]  | [ ]  |
| Energy efficiency | [ ]  | [ ]  |
| Environmental protection | [ ]  | [ ]  |
| Execution of an important project of common European interest | [ ]  | [ ]  |
| Heritage conservation | [ ]  | [ ]  |
| Promotion of export and internationalisation | [ ]  | [ ]  |
| Regional development (including territorial cooperation) | [ ]  | [ ]  |
| Remedy for a serious disturbance in the economy | [ ]  | [ ]  |
| Renewable energy | [ ]  | [ ]  |
| Rescuing undertakings in difficulty | [ ]  | [ ]  |
| Research, development and innovation | [ ]  | [ ]  |
| Restructuring undertakings in difficulty | [ ]  | [ ]  |
| Risk finance | [ ]  | [ ]  |
| Sectorial development | [ ]  | [ ]  |
| Services of general economic interest (SGEI) | [ ]  | [ ]  |
| SMEs | [ ]  | [ ]  |
| Social support to individual consumers | [ ]  | [ ]  |
| Sport and multifunctional recreational infrastructures | [ ]  | [ ]  |
| Training | [ ]  | [ ]  |
| Airport infrastructure or equipment | [ ]  | [ ]  |
| Airport operation | [ ]  | [ ]  |
| Start-up aid to airlines for the development of new routes | [ ]  | [ ]  |
| Coordination of transport | [ ]  | [ ]  |

6.2. Please explain the need for EFTA State intervention. Please note that the aid must be targeted towards a situation where it can bring about a material improvement which cannot be delivered by the market itself, by remedying a well-defined market failure.

Click here to enter text.

6.3. Please indicate why the aid is an appropriate instrument to address the objective of common interest as defined in point 6.1. Please note that the aid will not be considered compatible if less distortive measures make it possible to achieve the same positive contribution.

Click here to enter text.

6.4. Please indicate whether the aid has an incentive effect (that is, when the aid changes the behaviour of an undertaking leading it to engage in additional activity which it would not have engaged in without the aid or would only have engaged in such activity in a restricted or different manner).

|  |  |
| --- | --- |
| [ ]  yes | [ ]  no |

 Please indicate whether activities which started before the submission of an application for aid are eligible.

|  |  |
| --- | --- |
| [ ]  yes | [ ]  no |

 If they are eligible, please explain how the incentive effect requirement is complied with.

Click here to enter text.

6.5. Please indicate why the aid granted is proportionate insofar as it amounts to the minimum needed to induce investment or activity.

Click here to enter text.

6.6. Please indicate the possible negative effects of the aid on competition and trade and specify the extent to which they are outweighed by the positive effects.

Click here to enter text.

6.7. In accordance with the Chapter of the Authority’s State Aid Guidelines on transparency[[12]](#footnote-12), please indicate whether the following information will be published on a single national or regional website: the full text of the approved aid scheme or the individual aid granting decision and its implementing provisions, or a link to it; the identity of the granting authority/(ies); the identity of the individual beneficiary(ies), the aid instrument[[13]](#footnote-13) and amount of aid granted to each beneficiary(ies); the objective of the aid, the date of granting, the type of undertaking (for example SME, large company); the Authority’s aid measure reference number; the region where the beneficiary is located (at NUTS level 2) and the principal economic sector of the beneficiary(ies) (at NACE group level)[[14]](#footnote-14).

|  |  |
| --- | --- |
| [ ]  yes | [ ]  no |

6.7.1. Please provide the address(es) of the website(s) on which the information will be made available:

Click here to enter text.

6.7.2. If applicable, please provide the address(es) of the central website retrieving information from the regional website(s):

Click here to enter text.

6.7.3. If the address(es) of the website referred to in point 6.7.2 are not known at the time of the submission of the notification, the EFTA State must undertake to inform the Authority once those websites are created and the addresses are known.

7. *Aid instrument, Aid amount, Aid intensity and Means of funding*

7.1. Aid instrument and aid amount

Specify the form of the aid and the aid amount[[15]](#footnote-15) made available to the beneficiary(ies) (where appropriate, for each measure):

|  |  |
| --- | --- |
| Aid instrument | Aid amount or budget allocation[[16]](#footnote-16) |
| Overall | Annual |
| [ ]  **Grants (or similar in effect)** (a) [ ]  Direct grant (b) [ ]  Interest rate subsidy (c) [ ]  Debt write-off |  |  |
| [ ]  **Loans (or similar in effect)** (a) [ ]  Soft loan (including details of how the loan is secured and its duration) (b) [ ]  Repayable advances (c) [ ]  Tax deferral |  |  |
| [ ]  **Guarantee**Where appropriate, provide a reference to the Authority decision approving the methodology to calculate the gross grant equivalent and information on the loan or other financial transaction covered by the guarantee, the security required and the premium to be paid, the duration, etc.Click here to enter text. |  |  |
| [ ]  Any form of **equity or quasi-equity** interventionClick here to enter text. |  |  |
| [ ]  **Tax advantage or tax exemption** (a) [ ]  Tax allowance (b) [ ]  Tax base reduction (c) [ ]  Tax rate reduction (d)[ ]  Reduction of social security contributions (e) [ ]  Other (please specify)………….…..…………… |  |  |
| [ ]  **Other** (please specify)……………………………………………………………Please indicate the instruments to which it would broadly match as regards its effect…………………………………………………………… |  |  |

 For guarantees, please indicate the maximum amount of loans guaranteed:

 Click here to enter text.

 For loans, please indicate the maximum (nominal) amount of the loan granted:

 Click here to enter text.

7.2. Description of the aid instrument

 For each aid instrument chosen from the list in point 7.1, please describe the conditions of application of the aid (such as the tax treatment, whether the aid is awarded automatically based on certain objective criteria or whether there is an element of discretion by the awarding authorities):

 Click here to enter text.

7.3. Source of funding

7.3.1. Specify the financing of the aid:

(a) [ ]  General budget of the State/region/local

(b) [ ]  Through parafiscal charges or taxes affected to a beneficiary. Please provide full details of the charges and the products/activities on which they are levied (specify in particular whether products imported from other Contracting Parties are liable to the charges). If applicable, please annex a copy of the legal basis of the financing.

 Click here to enter text.

 (c) [ ]  Accumulated reserves

 (d) [ ]  Public enterprises

 (e)[ ]  Structural fund co-financing

 (f) [ ]  Other (please specify)

 Click here to enter text.

7.3.2. Is the budget adopted annually?

 [ ]  Yes

 [ ]  No. Please specify what period it covers:

Click here to enter text.

7.3.3. If the notification concerns changes to an existing scheme, please indicate the budgetary effects for each of the aid instruments of the notified changes to the scheme on the:

 Overall budget Click here to enter text.

 Annual budget[[17]](#footnote-17) Click here to enter text.

7.4. Cumulation

 Can the aid be cumulated with aid or *de minimis* aid[[18]](#footnote-18) received from other local, regional or national aid[[19]](#footnote-19) to cover the same eligible costs?

 [ ]  Yes. If available, please provide the name, purpose and objective of the aid

 Click here to enter text.

 Please explain the mechanisms put in place in order to insure that the cumulation rules are respected:

 Click here to enter text.

 [ ]  No

8. *Evaluation*

8.1. Is the scheme considered for evaluation?

 [ ]  No

 If the scheme is not considered for evaluation, please explain why you consider the criteria for evaluation not to be fulfilled.

 Click here to enter text.

 [ ]  Yes

 According to which criteria is the scheme considered for *ex post* evaluation:

(a) [ ]  A scheme with large aid budget;

 (b) [ ]  A scheme containing novel characteristics;

 (c) [ ]  A scheme where significant market, technology or regulatory changes can be foreseen;

(d) [ ]  A scheme that you plan for evaluation even if the other criteria referred to in this point do not apply.

 If any of the criteria referred to in this point are fulfilled, please indicate the period of evaluation and complete the supplementary information sheet for the notification of an evaluation plan in Annex 1, Part III.8[[20]](#footnote-20).

 Click here to enter text.

8.2. Please indicate whether any *ex-post* evaluation has already been carried out for a similar scheme (where relevant, with a reference and a link to any relevant websites)

 Click here to enter text.

9. *Reporting and Monitoring*

 In order to enable the Authority to monitor the aid scheme and individual aid, the notifying EFTA State undertakes to:

[ ]  Annually submit to the Authority the reports provided for by Article 21 of Protocol 3.

[ ]  Maintain for at least 10 years from the date of award of the aid (individual aid and aid granted under the scheme) detailed records containing the information and supporting documentation necessary to establish that all compatibility conditions are met, and provide them, on a written request, to the Authority within a period of 20 working days or such longer period as may be fixed in the request.

 For fiscal aid schemes:

[ ]  In case of schemes under which fiscal aid is granted automatically based on tax declarations of the beneficiaries, and where there is no *ex ante* control that all compatibility conditions are met for each beneficiary, the EFTA State undertakes to put in place an appropriate control mechanism, by which it regularly verifies (for example once per fiscal year), at least *ex post* and on a sample basis, that all compatibility conditions are met, and to impose sanctions in case of fraud. In order to enable the Authority to monitor fiscal aid schemes, the notifying EFTA State undertakes to maintain detailed records of the controls for at least 10 years from the date of the controls, and provide them, on a written request, to the Authority within a period of 20 working days or such longer period as may be fixed in the request.

10. *Confidentiality*

 Does the notification contain confidential information[[21]](#footnote-21) which should not be disclosed to third parties?

 [ ]  Yes. Please indicate which of the form are confidential and provide reasons for confidentiality.

 Click here to enter text.

 [ ]  No

11. *Other Information*

 Where applicable, please indicate any other information relevant for the assessment of the aid.

Click here to enter text.

12. *Attachments*

Please list all documents which are attached to the notification and provide paper copies or internet addresses which allow access to the documents concerned.

Click here to enter text.

13. *Declaration*

 I certify that to the best of my knowledge the information provided on this form, annexes and attachments is accurate and complete.

 Date and place of signatureClick here to enter text.

 Signature:Click here to enter text.

 Name and position of person signingClick here to enter text.

14. *Supplementary Information Sheet*

14.1. Based on the information submitted in the general information form, please select the applicable supplementary information sheet to be completed:

 (a)[ ]  Supplementary information sheets on regional aid

 1.[ ]  investment aid

 2. [ ]  operating aid

 3. [ ]  individual aid

 (b) [ ]  Supplementary information sheet on research, development and innovation aid

(c) [ ]  Supplementary information sheets on aid for restructuring and rescuing undertakings in difficulty

 1. [ ]  rescue aid

 2. [ ]  restructuring aid

 3. [ ]  aid schemes

 (d) [ ]  Supplementary information sheet on audiovisual production aid

 (e)[ ]  Supplementary information sheet on aid for broadband aid

 (f) [ ]  Supplementary information sheet on environment and energy aid

 (g) [ ]  Supplementary information sheet on risk finance aid

 (h) [ ]  Supplementary information sheet on aid to the transport sector:

 1. [ ]  investment aid to airports

 2. [ ]  operating aid to airports

 3. [ ]  start-up aid to airlines

 4. [ ]  aid of a social character under Article 61(2)(a) of the EEA Agreement

 5. [ ]  aid for maritime transport

 (i) [ ]  Supplementary information sheet for the notification of an evaluation plan

14.2. For aid which is not covered by any supplementary information sheet, please select the relevant provision of the EEA Agreement, guideline or another text applicable to State aid:

 (a) [ ]  Short term export credit[[22]](#footnote-22)

 (b) [ ]  Emissions Trading Systems[[23]](#footnote-23)

 (c) [ ]  Banking Communication[[24]](#footnote-24)

 (d) [ ]  Communication on important projects of common European interest[[25]](#footnote-25)

 (e) [ ]  Services of General Economic Interest (Article 59(2) of the EEA Agreement)[[26]](#footnote-26)

 (f) [ ]  Article 49 of the EEA Agreement

 (g) [ ]  Article 61(2)(a) of the EEA Agreement

 (h) [ ]  Article 61(2)(b) of the EEA Agreement

 (i) [ ]  Article 61(3)(a) of the EEA Agreement

 (j) [ ]  Article 61(3)(b) of the EEA Agreement

 (k)[ ]  Article 61(3)(c) of the EEA Agreement

 (m) [ ]  Other(s), please specify

 Click here to enter text.

 Please provide a justification for the compatibility of the aid falling in the categories selected in this point:

 Click here to enter text.

 *For practical reasons, it is recommended to number the documents provided as annexes and to refer to those document numbers in the relevant sections of the supplementary information sheets.*

1. College Decision No 195/04/COL on the implementing provisions referred to under Article 27 in Part II of Protocol 3 to the Agreement between the EFTA States on the Establishment of a Surveillance Authority and a Court of Justice, published in [OJ L 139, 25.5.2006, p. 37](http://eur-lex.europa.eu/legal-content/EN/AUTO/?uri=OJ:L:2006:139:TOC) and the EEA Supplement No 26, p. 1. [↑](#footnote-ref-1)
2. NACE Rev. 2, or subsequent legislation amending or replacing it; NACE is the statistical classification of economic activities in the European Union as laid down in Regulation (EC) No 1893/2006 of the European Parliament and of the Council of 20 December 2006 establishing the statistical classification of economic activities NACE Revision 2 and amending Council Regulation (EEC) No 3037/90 as well as certain EC Regulations on specific statistical domains (OJ L 393, 30.12.2006, p. 1), referred to at point 2 of Annex XXI to the EEA Agreement by Joint Committee Decision No 61/2007, published in OJ L 266, 11.10.2007 p. 25 and EEA Supplement No 48, 11.10.2007, p. 18. [↑](#footnote-ref-2)
3. The Authority’s Guidelines on aid to micro, small and medium-sized enterprises, as adopted by Decision 94/06/COL, published in OJ L 36, 5.2.2009, p. 2 and EEA Supplement No 6 on the same date. [↑](#footnote-ref-3)
4. In the case of partner and linked enterprises, please note that the amounts reported for the aid beneficiary should take into account the number of employees and the financial data of the linked enterprises and/or partner enterprises. [↑](#footnote-ref-4)
5. The Authority´s Guidelines on State aid for rescuing and restructuring non-financial undertakings in difficulty, as adopted by Decision No 321/14/COL, published in OJ L 271, 16.10.2015 p. 35 and in EEA Supplement No 62, 15.10.2015. [↑](#footnote-ref-5)
6. Regulation (EU) 2015/1017 of the European Parliament and of the Council of 25 June 2015 on the European Fund for Strategic Investments, the European Investment Advisory Hub and the European Investment Project Portal and amending Regulations (EU) No 1291/2013 and (EU) No 1316/2013 — the European Fund for Strategic Investments (OJ L 169, 1.7.2015, p. 1). [↑](#footnote-ref-6)
7. Authority’s registration number of the authorised or block-exempted scheme. [↑](#footnote-ref-7)
8. According to Article 1(e) of Part II of Protocol 3, individual aid means aid that is not awarded on the basis of an aid scheme and notifiable award of aid on the basis of a scheme. [↑](#footnote-ref-8)
9. Authority’s registration number of the authorised or block-exempted scheme. [↑](#footnote-ref-9)
10. The date of the legally binding commitment to award the aid. [↑](#footnote-ref-10)
11. A secondary objective is one for which, in addition to the primary objective, the aid will be exclusively earmarked. For example, a scheme for which the primary objective is research and development may have as a secondary objective small and medium-sized enterprises (SMEs) if the aid is earmarked exclusively for SMEs. The secondary objective may also be sectorial, in the case for example of a research and development scheme in the steel sector. [↑](#footnote-ref-11)
12. Adopted by Decision 302/14/COL, published in OJ L 15 22.01.2015, p.103 and EEA Supplement No 4 on the same date. [↑](#footnote-ref-12)
13. Grant/Interest rate subsidy, Loan/Repayable advances/Reimbursable grant, Guarantee, Tax advantage or tax exemption, Risk finance, Other (please specify). If the aid is granted through multiple aid instruments, the aid amount must be provided by instrument. [↑](#footnote-ref-13)
14. Such a requirement can be waived with respect to individual aid awards below EUR 500000. For schemes in the form of tax advantages, the information on individual aid can be provided in the following ranges (in EUR million): [0.5-1]; [1-2];[2-5]; [5-10]; [10-30]; [30 and more]. [↑](#footnote-ref-14)
15. Overall amount of aid planned, expressed in full national currency amounts. For tax measures, estimated overall revenue loss due to tax concessions. If the average annual State aid budget of the scheme exceeds EUR 150 million, please fill in the section on evaluation. [↑](#footnote-ref-15)
16. For information on aid amounts or budget at any chapter of this form and supplementary forms, give the full amount in national currency. [↑](#footnote-ref-16)
17. In case of an average annual State aid budget of the scheme above EUR 150 million, please fill in the section on Evaluation of this notification form. The Evaluation requirement does not apply to aid schemes covered by the Supplementary information sheet on Agriculture aid. [↑](#footnote-ref-17)
18. Commission Regulation (EU) No 1407/2013 of 18 December 2013 on the application of Articles 107 and 108 of the Treaty on the Functioning of the European Union to *de minimis* aid (OJ L 352, 24.12.2013, p. 1), referred to at point 1ea of Annex XV to the EEA Agreement by Joint Committee Decision No 98/2014, published in OJ L 310, 30.10.2014, p.65-66 and EEA Supplement No 63, 30.10.2014, p. 56. [↑](#footnote-ref-18)
19. European Union funding centrally managed by the European Commission that is not directly or indirectly under the control of the EFTA State does not constitute State aid. Where such European Union funding is combined with other public funding, only the latter will be considered for determining whether notification thresholds and maximum aid intensities are respected, provided that the total amount of public funding granted in relation to the same eligible costs does not exceed the maximum funding rates laid down in the applicable Union legislation. [↑](#footnote-ref-19)
20. For guidance, see the Commission Staff Working Document Common methodology for State aid evaluation, SWD(2014)179 final of 28.5.2014 under http://ec.europa.eu/competition/state\_aid/modernisation/state\_aid\_evaluation\_methodology\_en.pdf. [↑](#footnote-ref-20)
21. For guidance see Article 122 of the EEA Agreement that refers to information about undertakings, their business relations or their cost components. The European Union courts have generally defined business secrets as information of which not only disclosure to the public but also mere transmission to a person other than the one that provided the information may seriously harm the latter's interest in Case T-353/94 *Postbank* v *Commission* ECLI:EU:T:1996:119, paragraph 87. [↑](#footnote-ref-21)
22. The Authority’s Guidelines on short-term export-credit insurance, as adopted by Decision No 28/13/COL, published in OJ L 343, 19.12.2013, p. 25 and EEA Supplement No 71 on the same date. [↑](#footnote-ref-22)
23. The Authority’s Guidelines on certain State aid measures in the context of the greenhouse gas emission allowance trading scheme post 2012, as adopted by Decision No 522/12/COL, published in OJ L 296, 7.11.2013, p. 25, and EEA Supplement No 62 on the same date. [↑](#footnote-ref-23)
24. The Authority’s Guidelines on the application from 1 December 2013, of state aid rules to support measures in favour of banks in the context of the financial crisis, as adopted by Decision No 464/13/COL, published in OJ L 264, 4.9.2014, p.6 and EEA Supplement No 50 on the same date. [↑](#footnote-ref-24)
25. The Authority’s Guidelines for the analysis of the compatibility with the functioning of the EEA Agreement of state aid to promote the execution of important projects of common European interest, as adopted by Decision No 084/16/COL. Not published in OJ and the EEA Supplement at the time of adoption of these guidelines. [↑](#footnote-ref-25)
26. The Authority’s Guidelines on the application of the state aid rules to compensation granted for the provision of services of general economic interest, as adopted by Decision 012/12/COL, published in OJ L 161, 13.6.2013, p.12 and EEA Supplement No 34 on the same date. [↑](#footnote-ref-26)