*PART III.13.A*

*Supplementary Information Sheet on investment aid to airports*

*It is recommended that this supplementary information sheet be completed in addition to the “General information” form, for the notification of any investment aid covered by the Authority´s Guidelines on State aid to airports and airlines*[[1]](#footnote-1).

1. *Additional information on the beneficiary, investment project and aid*

1.1. Beneficiary

1.1.1. Is the aid awarded directly to the owner of the airport?

|  |  |
| --- | --- |
| yes | no |

1.1.2. If the answer to point 1.1.1 is no, please describe, if applicable, (i) the legal entity/-ies receiving the aid, and (ii) the legal entity/-ies transferring the aid to an intermediate entity or to the airport carrying out the investment project:

Click here to enter text.

1.1.3. If the answer to point 1.1.1 is no, please explain how the national authorities ensure that that there is no advantage granted at the intermediary levels:

Click here to enter text.

1.1.4. In the case of individual aid, please describe the legal, organisational and financial relationships between the recipient of the aid and (i) the undertakings with which it forms part of a group of undertakings; (ii) its subsidiaries; (iii) any other associated enterprises, including joint ventures.

In the case of aid schemes, please describe the method by which the aid granting authority will assess the legal, organisational and financial relations enumerated above:

Click here to enter text.

1.1.5. Please specify whether the beneficiary will also operate the infrastructure:

|  |  |
| --- | --- |
| yes | no |

1.1.6. If the answer to the above question is no, please describe (i) the procedure by which the infrastructure operator will be chosen/respectively has been chosen, and (ii) selection criteria:

Click here to enter text.

1.1.7. Where the airport or airports are used by the national armed forces, the police force, non-economic air rescue services, or any other air service of a non-economic nature, please specify (a) the nature of the service(s) and (b) the rate of airport capacity utilisation (e.g. use of the runway and other airport facilities, expressed as a percentage of annual aircraft movements):

Click here to enter text.

1.1.8. Please provide the following passenger traffic data of the airport(s) receiving the aid:

(a) Airports with a commercial passenger traffic history of more than two financial years: Average annual passenger traffic during the two financial years preceding the year in which the aid is notified or actually granted.

(b) Airports with a commercial passenger traffic history of less than two financial years: Forecasted average annual passenger traffic during the two financial years after the beginning of the operation of commercial passenger air traffic.

(c) For all airports, forecasted average annual passenger traffic during the projected economic lifetime of the subsidised infrastructure.

Please provide the data in the form of a table, as follow:

|  |  |
| --- | --- |
| Year | Total number of passengers |
| Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. |

Passenger numbers must be counted “one-way” and for each individual route; e.g. a passenger flying to the airport and back would be counted twice. If the airport is part of a group of airports, passenger traffic data must be established on the basis of each individual airport.

1.2. The investment project

1.2.1. Please describe the investment project and all underlying estimates, and provide the *ex-ante* business plan (in form of an excel table) on which the project is based. The business plan should cover the economic lifetime of the investment. All estimates should be based on sound demand forecasts. Please explain if, and to what extent, those estimates were taken into account in the beneficiary airport's business plan:

Click here to enter text.

1.2.2. Please provide the following information on the investment project:

|  |  |
| --- | --- |
| Date of application for the aid: | Click here to enter text. |
| Date of start of works on the investment project: | Click here to enter text. |
| Planned end of works on the investment project: | Click here to enter text. |
| Planned date of the start of operation of the investment: | Click here to enter text. |
| Planned date on which the full capacity is reached: | Click here to enter text. |

1.2.3. Please provide, in one single table, a detailed breakdown of all works to be undertaken, their source of financing, their scheduled duration, related cost items and planned date of entry into operation.

Please indicate for each cost item whether and why it should be regarded as an investment cost (i) directly related to infrastructure of a non-economic nature within the public policy remit (e.g. for safety, air traffic control and any other activities for which an EFTA State is responsible as part of its official powers as a public authority), or (ii) related to aeronautical airport infrastructure of an economic nature (e.g. runway, ground handling infrastructure), or (iii) related to non-aeronautical infrastructure of an economic nature (e.g. parking, hotels):

|  |  |  |  |
| --- | --- | --- | --- |
| Type of works | Financing | Cost structure | Timing |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. |

1.2.4. Please provide an overview of (i) the total eligible investment costs[[2]](#footnote-2) of an economic nature, and (ii) the total eligible costs of a non-economic nature. Costs must be discounted to their current value; the discount rate must be indicated.

Please indicate in that overview which part of the notified aid will support investments belonging to category (i) and which to category (ii):

Click here to enter text.

1.2.5. If investment costs related to non-aeronautical activities of an economic nature will also be financed through State aid, please explain on what basis the authorities consider such aid compatible with the internal market:

Click here to enter text.

1.2.6. Did you or do you commit to carry out an Environmental Impact Assessment (“EIA”) for the investment? (point 20 of the Guidelines on State aid to airports and airlines)?

|  |  |
| --- | --- |
| yes | no |

If no, please explain why an EIA is not required for this project:

Click here to enter text.

1.3. Activities of a non-economic nature falling within the public policy remit

1.3.1. Please confirm whether the investment covers activities that fall under the responsibility of the State in the exercise of its official powers as a public authority (e.g. traffic control, police, customs, firefighting, activities necessary to safeguard civil aviation against acts of unlawful interference). Investments relating to the infrastructure and equipment necessary to perform such activities are considered in general to be of a non-economic nature and thus do not fall within the scope of State aid rules. Please include relevant investments in the table provided in section 1.2.3:

|  |  |
| --- | --- |
| yes | no |

1.3.2. Please provide the national, regional or any other legal instrument concerning the notion of activities falling within the public policy remit, and their financing. In the absence of any such legal instrument, please clarify how those activities are usually financed by the relevant authorities:

Click here to enter text.

1.3.3. Please provide evidence showing that the public financing of non-economic activities does not lead to undue discrimination between airports. Discrimination arises in situations where, under the relevant legal order, civil airports normally have to bear certain costs inherent to their non-economic activities, whereas certain civil airports do not have to cover such costs. Please specify the material and territorial applicability of the national rules applicable to the financing of non-economic activities of airports and, if applicable, the level of regional competence in that matter:

Click here to enter text.

1.3.4. Please confirm, supported by relevant evidence, that the compensation of costs incurred in relation to non-economic activities will be strictly limited to such costs, and that any cross-subsidisation of economic activities through such compensation is effectively excluded:

Click here to enter text.

1.3.5. Please confirm that the airport will maintain separate cost accounts for economic and non-economic activities:

Click here to enter text.

2. *Compatibility assessment of the measure*

2.1. Contribution to a well-defined objective of common interest

2.1.1. Does the investment aid:

(a)  Increase the mobility of EEA citizens and the connectivity of the regions by establishing access points for intra-EEA flights?

Click here to enter text.

(b)  Combat air traffic congestion at major EEA hub airports?

Click here to enter text.

(c)  Facilitate regional development?

Click here to enter text.

Please specify how the investment aid contributes to each of the objective chosen.

2.1.2. Is the investment aimed at creating new airport capacity?

|  |  |
| --- | --- |
| yes | no |

2.1.3. If the answer to the question in point 2.1.2 is “yes”, please demonstrate on the basis of the *ex-ante* business plan referred to in section 1.2 (The investment project) that the new infrastructure will, in the medium-term, meet the forecasted demand of the airlines, passengers and freight forwarders in the catchment area of the airport.

2.1.4. In the case of individual investment aid: is the beneficiary airport located in the same catchment area[[3]](#footnote-3) as another airport that is *not* operating at or near full capacity?

|  |  |
| --- | --- |
| yes | no |

If yes, please provide the following information: (a) size and shape of the catchment area; (b) the travelling distance and time between the beneficiary airport and airports in the same catchment area; (c) passenger traffic of other airports in the same catchment area over the 5 years preceding the year of notification; (d) the expected total demand and total capacity in the catchment area of the aided airport in at least the next 10 years, according to the business plan in the worst, base and best case scenarios:

Click here to enter text.

2.1.5. In the case of aid schemes: Please (a) indicate the location and the catchment areas of eligible airports in the area of territorial applicability of the scheme; (b) the travelling distance and time between eligible airports and airports in the same catchment area; (c) the method and criteria the national authorities will use to define the size and shape of catchment areas and the capacity utilisation of airports in the same catchment area:

Click here to enter text.

2.1.6. In the case of individual investment aid: If the answer to point 2.1.4 is “Yes”, please provide information identifying the likely effect of the investment on the use of existing infrastructure in the same catchment area. That information must demonstrate medium-term prospects for use, must be based on sound passenger and freight traffic forecasts, and must be incorporated in the beneficiary airport's *ex-ante* business plan:

Click here to enter text.

2.1.7. In the case of individual investment aid: If the answer to point 2.1.4 is “Yes”, please provide traffic projections in terms of passenger numbers in the worst, base and best case scenarios and explain why, in your view, such projections justify investment aid for the creation of additional capacity or for maintaining existing capacity:

Click here to enter text.

2.2. Need for State intervention

2.2.1. In case of individual investment aid: please explain, on the basis of the business plan of the airport, to what extent the airport's ability to cover its capital costs depends on the airport's size in terms of annual passenger traffic:

Click here to enter text.

2.2.2. In case of individual investment aid: please explain why the airport could not obtain sufficient private financing:

Click here to enter text.

2.2.3. In the case of aid schemes: Please confirm that the aid granting authority will verify the need for State intervention in each individual case on the basis of (i) the size of the airport[[4]](#footnote-4); (ii) the airport's ability to attract private financing:

Click here to enter text.

2.3. Appropriateness of the measure

2.3.1. Please demonstrate that the aid in question is appropriate to achieve the intended objective or resolve the problems which it is meant to address. In particular, please explain how the authorities have established that the same objective cannot be reached, and that the same problem cannot be resolved, with less distortive policy or aid instruments and that the aid in question is an appropriate policy instrument. For example, if the aid is granted in forms that provide a direct pecuniary advantage[[5]](#footnote-5), please demonstrate why other potentially less distortive forms of aid such as repayable advances or forms of aid that are based on debt or equity instruments[[6]](#footnote-6) are not appropriate:

Click here to enter text.

2.4. Incentive effect of the aid

2.4.1. In the case of individual investment aid: please confirm that works on the notified individual investment started only after submission of the application for the aid to the granting authority. Please provide a copy of the aid application sent to the granting authority by the beneficiary and documentary evidence of the date of the start of works:

Click here to enter text.

2.4.2. In the case of aid schemes: please confirm that works on eligible investment projects will start only after submission of the individual application for the aid to the granting authority:

Click here to enter text.

2.4.3. In the case of individual investment aid: please describe the levels of intended activity in a scenario with aid and a counterfactual scenario without aid. Please provide supporting evidence, for example internal documentation relating to alternative activities considered by the beneficiary airport in its internal decision making:

Click here to enter text.

2.4.4. In the case of individual investment aid: in the presence of a counterfactual scenario with alternative activities, please compare both scenarios to specify the additional activity that would only be undertaken with the aid (counterfactual analysis).

In the case of individual investment aid: In the absence of a counterfactual scenario with alternative activities, please specify the capital cost funding gap established on the basis of the beneficiary airport's *ex-ante* business plan. The capital cost funding gap is the difference between the positive and negative cash flows, including investment costs into fixed capital assets over the lifetime of the investment in net present value terms:

Click here to enter text.

2.4.5. In the case of aid schemes: please confirm (a) that the granting authority will award individual aid under the aid scheme only after it has verified that there is an incentive effect, by comparing the levels of intended activity with aid and without aid (counterfactual analysis) or, in the absence of alternative activities without aid, by establishing the capital cost funding gap on the basis of the beneficiary airport's *ex-ante* business plan[[7]](#footnote-7); (b) describe all underlying input data, parameters and assumptions that the aid granting authority will assess for the purposes of the incentive effect analysis:

Click here to enter text.

2.5. Proportionality of the aid

2.5.1. In the case of individual investment aid: in the presence of a counterfactual scenario with alternative activities, please (a) provide in the form of excel-tables the *ex-ante* business plans for the scenario with aid and the counterfactual scenario without aid; (b) on that basis specify the net extra costs, net of extra revenues, which result from undertaking the aided project or activity rather than the counterfactual project/activity; (c) explain all underlying input data, parameters and assumptions.

The business plans should cover the period of the economic lifetime of the investments:

Click here to enter text.

2.5.2. In the case of individual investment aid: in the absence of a counterfactual scenario with alternative activities, please (a) provide in the form of an excel-table the *ex-ante* business plan of the beneficiary airport; (b) indicate on that basis the capital costs funding gap which is the net present value of the difference between the positive and negative cash flows, including investment costs, over the economic lifetime of the investment; (c) explain all underlying input data, parameters and assumptions:

Click here to enter text.

2.5.3. In the case of aid schemes: please commit (a) to investigate in each case the counterfactual scenario without aid, on the basis of *ex-ante* business plans; (b) to establish the extra costs, net of extra revenues, which result from undertaking the aided project or activity rather than the counterfactual project or activity in cases where a counterfactual scenario with alternative activities exists; (c) to establish the capital costs funding gap, which is the net present value of the difference between the positive and negative cash flows, including investment costs, over the economic lifetime of the investment, in cases where no alternative activities would have taken place.

Please describe all underlying input data, parameters and assumptions that the aid granting authority will assess for the purposes of the investigations and analysis:

Click here to enter text.

2.5.4. Aid intensity:

Please indicate the maximum percentage of the eligible costs to be covered by investment aid (“aid intensity”); including any top-ups on the basic aid intensity:

Click here to enter text.

Where an aid scheme applies to airports of various sizes, please indicate the maximum aid intensity applicable to the following groups of airports:

|  |  |
| --- | --- |
| Size of airport based on average passenger traffic (passengers per annum) | Maximum investment aid intensity |
| > 3-5 million | Click here to enter text. |
| 1-3 million | Click here to enter text. |
| < 1 million | Click here to enter text. |

2.6. Avoidance of negative effects on competition and trade

2.6.1. Please confirm that the airport, including all infrastructure and equipment for which investment aid is granted, will be open to all potential users and not be dedicated to one specific user:

Click here to enter text.

2.6.2. Please specify the provisions made to ensure that airport capacity will be allocated to users on the basis of pertinent, objective, transparent and non-discriminatory criteria:

Click here to enter text.

2.7. Notification of individual aid under an investment aid scheme

2.7.1. The following individual aid measures under the investment aid scheme must be notified pursuant to Article 1(3) of Part 1 of Protocol 3 to the Surveillance and Court Agreement:

(a) investment aid to airports with average annual traffic above 3 million passengers;

(b) investment aid with an aid intensity exceeding 75 % to an airport with average annual traffic below 1 million passengers, with the exception of airports located in remote regions;

(c) investment aid granted for the relocation of airports;

(d) investment aid financing a mixed passenger and freight airport handling more than 200000 tonnes of freight during the two financial years preceding that in which the aid is notified;

(e) investment aid aimed at the creation of a new passenger airport (including the conversion of an existing airfield into a passenger airport);

(f) investment aid aimed at the creation or development of an airport located within 100 kilometres distance or 60 minutes travelling time by car, bus, train or high-speed train from an existing airport.

1. The Authority’s Guidelines on State aid to airports and airlines as adopted by Decision No 216/14/COL, published in OJ L 318, 24.11.2016, p. 17 and EEA Supplement No 66 on the same date. [↑](#footnote-ref-1)
2. The costs relating to the investments in airport infrastructure, including planning costs, ground handling infrastructure (such as baggage belts, etc.) and airport equipment can be eligible as investment aid to airports. Investment costs relating to non-aeronautical activities (in particular parking, hotels, restaurants, and offices) are ineligible. The investment costs relating to the provision of ground handling services (such as buses, vehicles, etc.) are ineligible, insofar as they are not part of ground handling infrastructure. [↑](#footnote-ref-2)
3. Catchment area of an airport means a geographic market boundary that is normally set at around 100 kilometres or around 60 minutes travelling time by car, bus, train or high-speed train; however, the catchment area of a given airport may be different and needs to take into account the specificities of each particular airport. The size and shape of the catchment area varies from airport to airport, and depends on various characteristics of the airport, including its business model, location and the destinations it serves. [↑](#footnote-ref-3)
4. Please use the following categories of sizes: airports with annual passenger traffic up to 200000 passengers; airports with annual passenger traffic of between 200000 and 1 million; airports with annual passenger traffic of 1–3 million. [↑](#footnote-ref-4)
5. For example, direct grants, exemptions or reductions in taxes, social security or other compulsory charges, or the supply of land, goods or services at favourable prices, etc. [↑](#footnote-ref-5)
6. For example, low-interest loans or interest rebates, state guarantees, the purchase of a shareholding or an alternative provision of capital on favourable terms. [↑](#footnote-ref-6)
7. The capital cost funding gap is the difference between the positive and negative cash flows including investment costs into fixed capital assets over the lifetime of the investment in net present value terms. [↑](#footnote-ref-7)