The information collected in this form allows us to determine if your company/undertaking/enterprise is eligible for assistance and is separate from any Application Form used.

|  |
| --- |
| **Company Details** |
| Name (as per Companies House) |  |
| Registered address  |  |
|  | Postcode |  |
| Local address (if different to above) |  |
|  | Postcode |  |
| Website |  |
| Contact Name |  | Position/Role |  |
| Email |  |
| Telephone |  | Mobile |  |
|  |
| **Company Data** (please refer to Companies House & HMRC data – links in the Guidance section at the end of this form) |
| Main Activity |  |
| Date Estab. | dd/mm/yyyy | Company Number |  |
| Tax Reference | (for sole traders) | VAT Reg. Number |  |
| Sector |  | SIC Code (optional) |  |
| Company Type |  | Sole Trader |  | Partnership |  | Community/Social |  | Unincorporated association |
|  | PLC |  | LLP |  | Ltd |  | Other (please describe): |  |
| Trading Status |  | Trading |  | Not Trading / Dormant (Note: may not be eligible for assistance) |
| Local Authority you pay business rates to: |  |
|  |
| **Company Finances & Staff Data:**  |
| Accounts (include a copy of your last filed accounts) | Last accounts date: | dd/mm/yyyy | Next accounts date: | dd/mm/yyyy |
| Last accounts turnover: | £ | Last accounts balance sheet: | £ |
| Salary/Wage Cost | £ | Pre-Tax Profit | £ | Depreciation | £ |
| Current Staff Numbers: (please use Full Time Equivalent (FTE) figures in which a full-time post is 1.0 and a half-time post is 0.5, etc.) |
| Males: |  | Females: |  | Total: |  |  |
| Jobs forecast at risk: (please use Full Time Equivalent (FTE) figures in which a full-time post is 1.0 and a half-time post is 0.5, etc.) |
| Males: |  | Females: |  | Total: |  |  |
|  |
| **Innovation Indicators:**  |
| Annual R&D expenditure in the last complete financial year: | £ |
| Number of product and process innovations in last three complete financial years: |  |
|  |
| **Company Ownership** (please tick either YES or NO – If YES then please complete Annex A below – if NO then ignore Annex A) |
| For latest guidance see: <https://ec.europa.eu/docsroom/documents/42921> |
| Does this enterprise have more than 25% capital or voting rights in other enterprises and/or do external parties have more than 25% capital or voting rights in this company? Please tick Yes or No ---> |  | Yes |
|  | No |
| **Annex A: Company Ownership Details** (Only complete if you answered YES above - please insert more lines as needed). |
| Enterprise Name & Company Number | Type(Investor, University, Local Authority, etc.) | In similar or adjacent market to you? (Y/N) | Staff Numbers(FTE) | Turnover(£) | OR | Balance Sheet(£) | Percent Ownership(%) |
|  |  |  |  |  | or |  |  |
|  |  |  |  |  | or |  |  |
|  |  |  |  |  | or |  |  |
|  |
| **Owner/Manager Diversity Details** (please tick the relevant options) |
| Ethnicity |  | White |  | Mixed |  | Other |  | Prefer not to say |
|  |  | Black |  | Asian |
| Age |  | 16-24 |  | 25-49 |  | 50-64 |  | 65+ |  | Prefer not to say |
| **51% of the Senior Management are…** (please tick the relevant options) |
|  |  | Female |  | Disabled |  | Non-White |  | None |  | Prefer not to say |
|  |
| **State Aid Declaration** (please complete one line for each item of state aid you have received and insert more lines as needed).**IMPORTANT:** If you answered “Yes” to the Company Ownership question, you must also declare the State Aid received by the enterprises you listed in Annex A as it also counts to your total allowance under State Aid regulations. |
| Details of Funding(add more lines as needed) | Value of Assistance(always give Euro value) | Date Received | Type of State Aid |
| Enterprise Name | Funding Source | Activity Funded | £ | € | dd/mm/yyyy | De Minimis, GBER, etc. |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
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|  |  |  |  |  |  |  |
| Please do not leave blank. If nil please write “NIL” | **TOTALS** |  |  |  |  |
|  |
| **Sustainability & the Circular Economy** |
| In order to promote sustainability and participation in the circular economy please visit the WRAP website: <http://www.wrap.org.uk/>  |
|  |
| **Data Privacy Notice** |
|  | This form is part of the auditable evidence chain for the assistance provided. Please read our data privacy notice here: <http://www.lancaster.ac.uk/research/research-enterprise-services/project-support-unit/psu-data-protection/>  |
|  | Tick here to confirm you have read and understood the data privacy notice and agree to the data you provide being stored and |
|  | shared as described in the data privacy notice. |
|  |
| **Company/Undertaking/Enterprise Sign Off** |
|  | Tick here to confirm that this Company/Undertaking/Enterprise is not currently undergoing a ‘state aid recovery case’. |
|  | Tick here to confirm that this Company/Undertaking/Enterprise does not meet the criteria of an ‘Undertaking in Difficulty’. |
| By signing this form you confirm that the details entered are, to the best of your knowledge and ability, correct and current at the time of signing. Please note that the responsibility for the accuracy of data you enter lies with you and entering incorrect data could result in assistance being withdrawn and associated costs & interest being reclaimed. Additionally, by signing this form you confirm you are willing to provide wet-ink counter signatures to any of the project assistance paperwork you have supplied electronic signatures for if required. |
| Name & Position |  | Electronic Signature (with date stamp) |  |
| **Project Team Sign Off** |
| Name & Position |  | Electronic Signature (with date stamp) |  |
|  |
| **Annex B: Eligibility Statement – For Project Team Use Only.** (Please tick all relevant) |
| Using the relevant SME definition & funding guidance, the data supplied in this form indicates the potential beneficiary is: |
|  | An eligible SME (micro) |  | An eligible SME (small) |  | An eligible SME (medium) |  | Not an SME |
|  | Autonomous |  | A Partnership |  | Linked |  | Social/Community |
|  | In an eligible location |  | In an eligible sector |  | State Aid eligible |  | Is trading |
|  | Not an “Undertaking in difficulty” |  | Not undergoing “State Aid Recovery” |

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| **Guidance Notes to assist with the completing of the ‘Initial Contact Form’** |
| Company Addresses | We ask for both of these as some companies have a registered address outside of the eligible area of the project so we also need a local business address to show your company operates inside the project boundaries. |
| Company Data (inc. finances and headcount) | We ask for this data for two reasons. The first is to ensure your company meets the eligibility criteria of an SME eligible for assistance from the project (see below for more details on SME eligibility). The second is to take some baseline measurements we can then use to measure improvement due to project assistance.* Salary/Wage Cost is defined as total employee costs including employer NI and pension contributions over a given period e.g. 12 months.
* Pre-tax profit is defined as the profits made by the company before tax deductions are made over a given period e.g. 12 months.
* Depreciation is seen as the change in the market value of capital over a given period e.g. 12 months.

We ask about jobs forecast at risk in order to measure the number of jobs safeguarded by the project assistance.At the end of the assistance these will be requested again to allow us to monitor the impact of the assistance. |
| Innovation Indicators | We ask about your annual R&D expenditure and the number of product and process innovations in the last three complete financial years in order to analyse the innovation-readiness impact of the project assistance.Annual R& D expenditure in the last complete financial year is your expenditure on research and development activity focused on scientific or technological challenges in order to create or significantly modify new products, processes or services. This includes your own estimates of expenditure on staff, external contractors, specialist equipment, and materials and consumables.The number of product and process innovations in the last three complete financial years refers to the introduction of a product, process or service that is new or has significantly improved characteristics or intended uses; or the implementation of a new or significantly improved production or delivery method. These can be new to your firm and/or new to the market. |
| Company Number, VAT number & Tax Reference (UTR) | We ask this so we can check if your company is a registered undertaking. Not being so does not automatically make your company ineligible for assistance. Tax reference is required if you a sole trader. |
| Activity, Sector & the SIC code | We ask for this data so we can check if your company operates in a sector eligible for assistance from the project. Please note the Standard Industrial Classification (SIC) code is optional and should you need more information on SIC codes please click on the following link for more details: <https://www.gov.uk/government/publications/standard-industrial-classification-of-economic-activities-sic>  |
| Company Type and Trading Status | We ask for this so we can ensure that your company is in one of the eligible categories for assistance from the project. Please click on the following link for more details on the various types of company status: <https://www.gov.uk/business-legal-structures/overview> Please note that non-trading and dormant enterprises may not eligible for assistance. You may need to provide evidence of trading such as audited accounts and/or invoices and bank statements. |
| Local Authority Business Rates | We ask this to help us check if your company operates inside the project boundaries in some rare cases where the postcode of the business address does not make this clear (usually around local authority boundaries). |
| Company Ownership, SME Criteria, and Annex A | We ask about this so we can determine if your company is eligible for assistance from the project. If you answer YES then we will require you to complete Annex A and also the State Aid Declaration for the enterprises listed in Annex A.. The data you add in Annex A will help the project team determine if you are an eligible autonomous, linked, or partnership enterprise under the European Commission’s SME criteria. For full details on the EC SME definitions, please see: <https://ec.europa.eu/docsroom/documents/42921> |
| Diversity Information | We ask about the Owner/Manager ethnicity, gender and age in order to complete our returns to the European Commission – they use that data to analyse if the funds are helping the widest range of the population as possible.We ask about the Senior Management ethnic, gender, and disability balance in order to complete our returns to the European Commission – they use that data to analyse if the funds are helping the widest range of the company types as possible.Non-white is defined as Black, Asian or Minority Ethnic (BME/BAME), the terminology normally used in the UK to describe people of non-white descent: <http://www.irr.org.uk/research/statistics/definitions/>.Disability is defined under the Equality Act 2010 as someone with a physical or mental impairment that has a ‘substantial’ and ‘long-term’ negative effect on their ability to do normal daily activities: <https://www.gov.uk/definition-of-disability-under-equality-act-2010>.  |
| State Aid Declaration | We ask about your previous State Aid values as we have a duty in law to ensure your company is eligible to receive the state aid value of the project assistance. Informing us of all state aid your company and all linked enterprises has received helps us determine if the value of the assistance proposed by the project team will exceed thresholds set by the European Commission. Exceeding these thresholds would mean your company would be in receipt of illegal state aid and therefore liable to pay back the value of all received state aid plus interest, something we do not want to see happen to any of the companies we assist.In order to avoid public funding distorting competition within the European common market, the European Commission sets limits on the levels of assistance that the public sector can provide to businesses (“the State Aid rules”). The assistance provided to you by the university will comply with the state aid rules by applying De Minimis Exemption, EC Regulation 1407/2013 and/or the General Block Exemption Regulation (GBER), EC Regulation 651/2014. Your advisor will clarify which scheme your support falls under (one or the other or both) and you will receive notification, either at the outset or at intervals, confirming the value and nature of the State Aid your business has received.Please note that the responsibility for managing your company’s state aid threshold remains with you and your undertaking and we can only act and advise you based on the information you declare in this form. Please ensure you declare all state aid correctly, giving us the type of state aid, value, date and reason for all linked enterprises you have listed in Annex A. For the purposes of the relevant legislation, you must retain state aid information for at least three years from the date on this form and be able to produce it on request by the UK public authorities or the European Commission. Please seek legal advice if you are unsure about your state aid obligations.For more details on state aid (including *de minimis* and GBER) see: <https://www.gov.uk/guidance/state-aid>For historic Euro conversion rates see: <https://ec.europa.eu/info/funding-tenders/procedures-guidelines-tenders/information-contractors-and-beneficiaries/exchange-rate-inforeuro_en> |
| Annex B – Eligibility Statement | This is reserved for the project team to complete – here they will take the data you have provided and record if your company is eligible to receive assistance from the project. **Project Teams:** To correctly asses eligibility you must consult the funding rules and EC SME definition. |
| Company Sign Off | Here we require you confirm the contents of the Eligibility Form as well as ticking to confirm your company is not a ‘Firm in Difficulty’ or under a ‘Recovery of State Aid Order’ (see below for more details of these) and also your confirmation of any diagnostic assistance undertaken by the project if applicable. Please remember that the data you enter must be accurate otherwise the assistance could be withdrawn and associated costs reclaimed. |
| Undertaking in Difficulty (at or before 31/12/2019 – pre-Covid-19) | We ask you to confirm this because we are not able to assist companies meeting this criteria. For more information please see “Communication from the Commission — Community guidelines on State aid for rescuing and restructuring firms in difficulty” Document 52004XC1001(01): <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex:52004XC1001(01)>**Please note:** If you feel Covid-19 is responsible for your company becoming an Undertaking in Difficulty you may still be eligible for assistance. Please alert the project to this fact as there are criteria to be met they can discuss with you. |
| Recovery of State Aid Order | We ask you to confirm this because we are not able to assist companies under such an order. |