**SME ENROLMENT FORM & STATE AID DECLARATION**

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| **Organisation Details** | | | | | | | | | | | | |
| Name of organisation | |  | | | | | | | | | | |
| Company Registration No.  OR Unique Tax Reference No. (Sole Traders or Individuals) | |  | | | | | Date of incorporation | |  | | | |
| Contact Name | |  | | | | | | | | | | |
| Position within organisation | |  | | | | | | | | | | |
| Company Address | |  | | | | | | | | | | |
| Company Postcode | |  | | | | | | | | | | |
| Telephone | |  | | | | | | | | | | |
| Company Website | |  | | | | | | | | | | |
| E-mail | |  | | | | | | | | | | |
| Business Trading Age at the start of support | |  | | | | | Nature and Sector of Business (SIC Code) | | |  | | |
| Financial Turnover for the last complete financial year prior to receiving support | | **£** | | | | | Annual R&D spend for the last complete financial year prior to receiving support | | | **£** | | |
| Number of product & process innovations in the last 3 financial years prior to receiving support | |  | | | | | Full time Equivalent Employment at the start of receiving support | | |  | | |
| Number of employees | | Male |  | | | Female | |  | | PNS | |  |
| Do you have an Equal Opportunities Policy | | YesNo | | | | | | | | | | |
| Do you have a Health and Safety Policy | | YesNo | | | | | | | | | | |
| Do you have an Environmental Sustainability Policy | | YesNo | | | | | | | | | | |
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| **Eligibility** | | | | | | | | | | | | |
| In order to receive support from the European Union you must meet certain requirements, would you please confirm the following about your organisation: | | | | | | | | | | | | |
| Has fewer than 250 employees | | | | | YesNo | | | | | | | |
| Not more than 25% of your organisation is owned by an enterprise that in itself is not an SME | | | | | YesNo | | | | | | | |
| Annual turnover does not exceed €50 million,  or  Annual balance sheet does not exceed €43 million | | | | | YesNo  YesNo | | | | | | | |
| **State Aid – see attached notes and table of values** | | | | | | | | | | | | |
| I declare that the comprehensive amount of De Minimis received by the company/organisation over the last three rolling years does not exceed the threshold [see guidance notes attached for explanation] and is as follows (if nil then insert the word Nil): | | | | | | | | | | | | |
| **Year 1**  **(insert year, source)**  **€** | **Year 2**  **(insert year, source)**  **€** | | | **Year 3**  **(insert year, source)**  **€** | | | | | | | **Total**  **€** | |
| Year: | Year: | | | Year: | | | | | | |  | |
| Source: | Source: | | | Source: | | | | | | |
| Value (€) | Value (€) | | | Value (€) | | | | | | | Value (€) | |

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| **Undertaking in Difficulty** |
| An undertaking is considered to be in difficulty when, without intervention by the State, it will almost certainly be condemned to going out of business in the short or medium term. Please refer to Appendix B – An undertaking in difficulty. |
| **By ticking this box, I declare as a representative of the above-named organisation I have read and understood the definition and can confirm the enterprise is not an undertaking in difficulty** |

**EQUAL OPPORTUNITIES & DATA GOVERNANCE**

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| **Equal Opportunities**  **The following information should be provided based on the Ownership of the business** |
| **Ethnic Origin**  How would you describe the owner/s cultural or ethnic origin? (tick one box only)  N.B. Please note that ethnic origin is not a matter of nationality, right of abode in the UK or place of birth. |
| a. White b. Mixed  c. Asian d. Black  e. Other  f. Prefer not to say |

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| **Gender [please tick]:** | **Age:** Which of the following age groups do you belong to: |
| a. Maleb. Female  c. Prefer not to say | 16 – 24  25 – 29  30 – 34  35 – 39  40 – 44  45 – 49  50 – 54  55 – 59  60 – 64  65 + Prefer not to say |

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| **Disability**  Do you consider yourself to be a person with a disability as described by the Equality Act 2010? i.e. Do you consider yourself to be someone who has a physical or mental impairment which has a substantial and long term adverse effect on your ability to carry out normal day to day activities? |
| YesNo Prefer not to say |

The Data Protection Act 2018 (GDPR) came into force on 25 May 2018. It is designed to help protect your personal data by setting out rules and conditions, which we must follow when collecting and using this data. It aims to ensure that you know where your data is held, what it is used for and whom it is shared with. The [University of Nottingham Data Protection Policy](https://www.nottingham.ac.uk/governance/documents/data-protection-policy-approved.pdf) can be found through this link.

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| **Project Level** | | | |
| The information that you supply on this form will be held and processed in line with the General Data Protection Act (GDPR) 2018. The University, as the data processor, will use this information to comply with contract regulations as set out by the funder. We share this data with the programme partners, the funder and data controller (UK Government/ EU Departments and Agencies) where applicable, it will not be used for any other purpose.  You may be contacted in the future on behalf of the funders regarding evaluation of the support you have received. The data controller’s privacy policy may be viewed at: <https://www.gov.uk/government/publications/european-regional-development-fund-privacy-notice/european-regional-development-fund-privacy-notice>.  We will retain this data, in line with the funder’s requirements until at least 31 December 2033; after that time it is deleted securely. | | | |
| I give my explicit consent for my details to be used in this manner:     Yes          No | | Signed: |  |
| Company: |  | Date: |  |

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| **Access to other Funded Projects** | | | |
| As part of our wider support available to SMEs, we have other funded projects, which your company may be eligible to access. In order to offer your business an opportunity to learn more regarding these opportunities, please give your consent to be signposted to this wider offer, including other European funded projects, locally and nationally funded opportunities. | | | |
| I give my explicit consent for my details to be used in this manner: Yes         No | | Signed: |  |
| Company: |  | Date: |  |

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| **Company Declaration** | |
| I certify that the information contained in this enrolment form is correct to the best of my knowledge | |
| **Signed:** | |
| **Name in capitals:** | **Date:** |
| **Position:** | |

**UNIVERSITY OF NOTTINGHAM – OFFICE USE ONLY**

**LEP Area:**

**Initial Eligibility Checks:**

Postcode checked to ensure within project area

SME status confirmed

State aid initial declaration completed and provided to SME

Scoping document completed

Company House check completed / or UTR number completed

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| **Project Declaration – Non Financial Support** | | |
| I certify that the above organisation is eligible for ERDF support under the Aerospace UP project.  The support will be **De Minimis** | | |
| We estimate days of support under the above state aid regulation.  The estimated value of this support is €:\_\_\_\_\_\_\_\_ £:\_\_\_\_\_\_\_\_\_ Exchange Rate used: | | |
| **Signed:** | **Name:** | **Date:** |
| **Position:** |  | |
| **Project Declaration – Financial Support** | | |
| I certify that the above organisation is eligible for ERDF support under the Aerospace UP project.  The support will be **GBER Article 25** | | |
| The estimated value of this support is €\_\_\_\_\_\_\_\_\_\_ £\_\_\_\_\_\_\_\_\_\_\_ Exchange Rate used: | | |
| **Signed:** | **Name in capitals:** | **Date:** |
| **Position:** |  | |

**Annex A**

**STATE AID DECLARATION Guidance**

It is a requirement of the European Structural Funds regulations that we ensure that we comply with the State Aid rules. The non-financial assistance you are being offered is being given under the European Commission’s State Aid regulations. This allows a company to receive up to €200,000 of De Minimis state aid[[1]](#endnote-1) over a rolling three-year period.

**Any non-financial support received via Aerospace UP will have a De Minimis State Aid value.**

To help you determine the total amount of state aid that you could incur we have calculated values for an average type and duration of engagement with the University in the table below. In the case of an activity lasting for a different amount of time to the average, please refer to the hourly rates to calculate the total state aid value. If in any doubt please ask your Aerospace UP contact.

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| **Aerospace UP Activity Example** | **Average activity duration** | **Average state aid value per activity** | **Equivalent hourly rate** |
| Workshop | 6 hours | £412 | £68.75 |
| Dissemination event  (e.g. breakfast seminar) | 2 hours | £120 | £60 |
| Technical support | 12 hours | £1,065 | £88.75 |
| Consultancy | 12 hours | £1,500 | £125 |

To confirm that you are able to receive this assistance you must therefore declare the full amount of Aid you have already received over the last 3 fiscal years and any applied for/due to receive.

The following is not a comprehensive list of the possible forms of aid. However it should give an indication of the most common forms of aid, which you may have been given over the past three years. Potentially any assistance from a public body might be an aid. Should you have any doubts on this matter, please contact the body from which the assistance was received.

* Grants from public bodies
* Loans from public bodies at favourable rates
* Loan guarantees from public bodies
* Differential tax benefits
* Grants from an investment trust (including charities) which may themselves have received the funds from a public body
* Grants from a part publicly funded venture capital fund
* Publicly administered funds, even if the funds were originally not public such as the national lottery
* Waiving or deferral of fees or interest normally due to a public body such as the waiving or deferral of rent or waiver of interest normally due on late payment of taxation or other costs to a public body
* Monopoly licences or guarantees of market share
* Advertising via a public channel such as a tourist board or state owned television
* Consultancy advice provided either free or at a reduced rate
* Training provided either free or at a reduced rate
* Aid for investment in environmental projects
* Provision of a free or reduced rate feasibility study for research and development or other assistance with research and development
* Purchase of public land or property at a less than market rate
* Benefiting from the provision of infrastructure where your organisation was pre-identified as a beneficiary

These types of aid may have been provided under De Minimis (as De Minimis aid) or under another State Aid regulation. If you are in any doubt whether aid received was De Minimis aid or about its value, check with the organisation that provided it. If they are unable to say or there is any uncertainty, assume that it was De Minimis aid unless its value exceeded **€200,000** in which case it cannot have been De Minimis. Any State Aid awarded to you under this project will have to be declared if you apply, or have applied, for any other De Minimis or Article 28ii Aidii [Innovation Advisory support only].

1. Commission regulation (EC) No.1998/2006 of 15 December 2006 on the application of articles 87 and 88 of the Treaty to De Minimis aid.

   <http://ec.europa.eu/competition/state_aid/legislation/de_minimis_regulation_en.pdf>

   **Appendix B – Undertakings in Difficulty**

   (To be used alongside SME enrolment form).

   Please note that one exception if that any undertaking less than three years old is not considered to be an undertaking in difficulty.

   What is an undertaking in difficulty?

   Undertakings in difficulty as defined under the State Aid rules should not be supported, in accordance with Article 3.3(d) of the ERDF Regulation (EU) No 1301/2013.

   The definition under State Aid rules that should be used when assessing whether an undertaking constitutes and undertaking in difficulty is set out in the General Block Exemption Regulation (GBER), No 651/2014 . Article 2 para 18:

   ‘undertaking in difficulty’ means an undertaking in respect of which at least one of the following circumstances occurs:

   (a) In the case of a limited liability company (other than an SME that has been in existence for less than three years or, for the purposes of eligibility for risk finance aid, an SME within 7 years from its first commercial sale that qualifies for risk finance investments following due diligence by the selected financial intermediary), where more than half of its subscribed share capital has disappeared as a result of accumulated losses. This is the case when deduction of accumulated losses from reserves (and all other elements generally considered as part of the own funds of the company) leads to a negative cumulative amount that exceeds half of the subscribed share capital. For the purposes of this provision, ‘limited liability company’ refers in particular to the types of company mentioned in Annex I of Directive 2013/34/EU (1) and ‘share capital’ includes, where relevant, any share premium.

   (b) In the case of a company where at least some members have unlimited liability for the debt of the company (other than an SME that has been in existence for less than three years or, for the purposes of eligibility for risk finance aid, an SME within 7 years from its first commercial sale that qualifies for risk finance investments following due diligence by the selected financial intermediary), where more than half of its capital as shown in the company accounts has disappeared as a result of accumulated losses. For the purposes of this provision, ‘a company where at least some members have unlimited liability for the debt of the company ‘refers in particular to the types of company mentioned in Annex II of Directive 2013/34/EU.

   (c) Where the undertaking is subject to collective insolvency proceedings or fulfils the criteria under its domestic law for being placed in collective insolvency proceedings at the request of its creditors.

   (d) Where the undertaking has received rescue aid and has not yet reimbursed the loan or terminated the guarantee, or has received restructuring aid and is still subject to a restructuring plan

   e) In the case of an undertaking that is not an SME, where, for the past two years:

   (1) the undertaking’s book debt to equity ratio has been greater than 7,5 and

   (2) the undertaking’s EBITDA interest coverage ratio has been below 1,0.’

   N.B. All parts of the test must be applied (as appropriate) in order to determine whether an organisation is an undertaking in difficulty. [↑](#endnote-ref-1)