

COMPANY LEVEL DATA CAPTURE FORM (De Minimis)

1 What is your company name?

2 What is your company's registered address?

3 What is your telephone number (Including STD Code)

4 How many people did you employ (AWU) in the last approved accounting period (across the whole organisation)?

10 or less

11 to 49

50 to 249

250 or more

5 Do you have either a balance sheet of LESS THAN 43m euros (approximately £26.6m) or an annual turnover of LESS THAN 50m euros (approximately £31m) ?

Yes No

6 What is the legal status of your organisation? (If necessary, tick more than one box)

Independent enterprises are those not owned as to 25% or more of the capital or the voting rights by one enterprise, or owned jointly by several enterprises, falling outside of the definition of SME whichever may apply

Sole Trader	<input type="checkbox"/>	Public Limited Company	<input type="checkbox"/>
Partnership	<input type="checkbox"/>	Public Sector Organisation/Local Government	<input type="checkbox"/>
Private Limited Company	<input type="checkbox"/>	Voluntary/Community Sector/ Not for Profit Organisation	<input type="checkbox"/>
Non-Independent Company (if yes go to 7)	<input type="checkbox"/>	Receive 50% or more of your funds from a public sector source	<input type="checkbox"/>

7 Non-Independent Enterprises can still be eligible providing you can respond positively to one of the following three statements. If you cannot demonstrate A, B or C, the company is ineligible to receive ESF support.

- A that the owning organisation meets all of the SME criteria i.e. employee numbers turnover and balance sheet
- B the enterprise is held by public investment corporations, venture capital companies or institutional investors that DO NOT exercise control either jointly or individually
- C if the capital is spread in such a way that it is not possible to identify by whom it is held and the enterprise declares it legitimately presumes it is not owned by one or more enterprise not fitting the SME criteria.

8 What is the main function of your business?

Agriculture	<input type="checkbox"/>	Mining and extraction	<input type="checkbox"/>	Utilities (gas, electricity, water)	<input type="checkbox"/>
Food, drink and tobacco	<input type="checkbox"/>	Textiles and clothing	<input type="checkbox"/>	Metals and mineral products	<input type="checkbox"/>
Engineering	<input type="checkbox"/>	Other manufacturing	<input type="checkbox"/>	Construction	<input type="checkbox"/>
Chemicals	<input type="checkbox"/>	Health and education services	<input type="checkbox"/>	Banking and business services	<input type="checkbox"/>
Distribution, hotels and so on	<input type="checkbox"/>	Transport and communications	<input type="checkbox"/>	Public administration and defence	<input type="checkbox"/>
Professional services	<input type="checkbox"/>	Other services	<input type="checkbox"/>		<input type="checkbox"/>
Other (please specify)	<input type="checkbox"/>				<input type="checkbox"/>

9 Declaration - I declare that the amount of De Minimis aid received by the company/organisation over the last three (calendar) years is:

2002	2003	2004	2005	2006	TOTAL
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

10 I confirm that, to the best of my knowledge, the information above is correct and given in good faith. I confirm that I understand that failure to meet the SME status would result in this enterprise being ineligible to receive ESF funds.

Signed Date / /20

Name

Position within firm

Data Protection Act 1998 - This information may be shared with other organisations and Department for Education and Skills and Department for Work & Pensions for administrative, statistical and research purposes, to inform careers and other guidance to monitor progress.

DE MINIMIS FORM GUIDANCE NOTES

ESF support is primarily for Small Medium Enterprises (SME's). Questions 4 to 5 are intended to identify whether or not a company is an SME. Where respondents are unsure, clarification and evidence should be sought and submitted with this form e.g. if the number of employees might be 250 or 300, consult payroll and send a letter from the enterprise confirming the **actual** number of employees.

Ticks in shaded boxes indicate potential non-eligible status and activity should only proceed after consulting the project leader who will confirm eligibility status.

The number of employees corresponds to the number of annual working units (AWU) i.e. FTE during one year with part-time and seasonal workers being fractions of AWU. The reference year is to be the last approved accounting period.

The turnover and balance sheet total thresholds are those of the last approved 12-month accounting period. In the case of newly established enterprises whose accounts have not been approved, the thresholds shall be derived from a reliable estimate made in the course of the financial year.

Question 7 - **Non Independent company** - 25% or more of the capital or voting rights owned by another organisation or owned jointly by several enterprises.

Question 9 - STATE AID RULES

Before an Enterprise can receive support from an ESF project they must declare that they meet the criteria of either State de Minimis rules or the State Aid Training Aid or Employment Aid block exemptions. If you don't comply with the following criteria you may still be eligible to receive support under the Training Aid or Employment Aid block exemptions.

State Aid Declaration De Minimis

De Minimis is not an option for enterprises in the following four areas:

- In the transport sector;
- Where ESF funds are supporting activities linked to the production, processing and marketing of agricultural goods;
- Aid to export related industries; or
- Aid contingent upon the use of domestic over imported goods.

If you fall into one of these groups, you should inform the project leader. You are only eligible to receive ESF under Training Aid Regulations or, in certain circumstances, Employment Aid Regulations.

You are being offered assistance under the European Commission's De Minimis regulation (Regulation 69/2001). **This allows a company to receive up to €100,000 (approximately £60,000) of De Minimis aid over a rolling three-year period.**

To confirm that you are able to receive this assistance you must therefore declare the full amount of De Minimis aid you have already received over the last 36 months (see 10 below).

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 (Modern Apprenticeships can be ignored for purposes of State Aid)
- 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, which provided it. If they are unable to say or there is any uncertainty, assume that it was De Minimis aid unless its value exceeded £60,000 in which case it cannot have been.

Any De Minimis aid awarded to you under this project will have to be declared if you apply, or have applied, for any other De Minimis aid.