



STEP 1 – SME ELIGIBILITY

Your details

1 Registered name of company (please also list trading name if applicable)

2 Registered address (NOT trading address)

3 Companies House registration number and year of first registration

4 If you are not registered with Companies House are you registered as a sole trader?

5 If you are a sole trader are you an EU/UK citizen?



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6 Are you VAT registered and, if so, please state your VAT number

7 If you are not VAT registered, please state if you are planning to register in the next 2 years. **Please also note: if your VAT status changes, you must tell us immediately.**

8 Website

9 Contact details of key staff member at your organisation the KEEP+ Programme Office should engage with (name, position, telephone, email)

Name	
Position	
Telephone	
Email	

10 Number of employees (including full/part-time/seasonal employees, owner/managers, secondees)

11 Please state your 5-figure SIC code and company activity as registered:



Your finances

12 What is the company's annual turnover in **euros (€)** (1 euro = £0.90)?

13 What is the value of the company's balance sheet in **euros (€)** (1 euro = £0.90)?

14 How much investment have you made in research and development in the last financial year?

Your structure

15 Is the company owned by another company? If so what % and please name the owning company

16 Is the company part of a group? (Please tick)

Yes	No
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17 If 'yes' please describe the size and nature of the group, and the SME partner's position within it



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Previous grants, State Aid, innovation and collaboration

18 Has the company (including parent or any other subsidiary) applied for or been in receipt of other grant funding (GBER or de minimis) in the last 36 months? (Please tick)

Yes	No
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19 If so, how much, who awarded the aid, when and what for?

Award amount (1 euro = £0.90)	Awarding body	GBER or de minimis	% of total activity costs	Date of award	Reason for award

20 Has your company received previous assistance from another current ERDF project? If so, please provide detail

Yes	No

21 How many products and processes (new to market or new to your company) have you developed over the last three years?



- 22 Is your company 'an undertaking in difficulty' and is there any active order against you for the recovery of unlawful State Aid

Extract from COMMISSION REGULATION (EU) No 651/2014 – 17 June 2014

'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



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(2) the undertaking's EBITDA interest coverage ratio has been below 1.0

Yes	No
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23 Has your company collaborated with a university or other knowledge base in the past?

Yes	No
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Equal opportunities

24 The KEEP+ Programme is required to carry out Equal Opportunities monitoring of its applicants. Please complete the following equal opportunities monitoring questions, describing the owner(s) of the business as closely as possible – PLEASE NOTE THIS INFORMATION IS REQUESTED FOR MONITORING PURPOSES ONLY and does not form part of the assessment of your eligibility for the KEEP+ Programme

Gender (please tick)

Male	Female	Prefer not to say	Other (please describe)

Do you consider yourself to have a disability (please tick)?

Yes	No	Prefer not to say

Ethnicity (please tick)

White	Mixed	Asian	Black	Other	Prefer not to say



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Age (please tick)

16 - 24	25 - 29	30-34	35-39	40-44	45-49
50-54	55-59	60 - 64	65+	Prefer not to say	

25 Do you have an explicit and published policy on Equal opportunities?

Yes	No
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26 How did you find out about the KEEP+ Programme, i.e. from an event, via contact with a university (if so which one? from a Growth Hub contact, via a website (if so which one?)

27 Declaration on behalf of the SME (name, position, date and signature (wet please, electronic signatures are not acceptable)):

I declare that any future aid received by the SME detailed in this in the following three year period will not exceed the relevant aid intensity and maximum aid amounts under the relevant GBER Article and that articles 3-9 of GBER will be complied with by the SME or (where applicable) the SME will consent to and assist ARU or the Delivery Partner in complying with its obligations thereunder. The SME will provide information required by ARU to comply with monitoring and reporting obligations under Articles 11 and 12 of GBER

<u>Eligible Costs and Threshold Amounts under Article 28 GBER - Innovation Aid for SMEs</u>
<p>Threshold Amount</p> <p>If the Grant represents up to 50% of the Knowledge Base Partner's Eligible Costs then it can be granted up to a maximum of €5,000,000.</p> <p>If the Grant represents up to 100% of the Knowledge Base Partner's Eligible Costs then it can be granted up to a maximum of €200,000 over a three year period.</p> <p>Eligible Costs</p>



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Costs for obtaining, validating and defending patents or other intangible assets (up to 50% of these **Eligible Costs**).

Costs for secondments of highly qualified personnel (having a tertiary education degree and at least 5 years professional experience which may include doctoral training) working on research, development and innovation activities in a newly created function within the recipient (and not replacing other personnel) (up to 50% of these **Eligible Costs**).

Innovation advisory and support services which includes consultancy, assistance and training in the fields of knowledge transfer; acquisition, protection and exploitation of intangible assets; use of standards and regulations embedding them; and the provision of office space, data banks, libraries, market research, laboratories, quality labelling, testing and certification for the purpose of developing more effective products, processes or services (up to 100% of these **Eligible Costs**).

I declare that all of the above information is correct at the time of submission. I acknowledge that if I fail to meet the Eligibility Requirements, I/we shall become liable to pay the full price that would otherwise be payable in respect of the services received

Name	
Position	
Date	
Signature	

KEEP+ Programme Privacy Notice

Who are we? The KEEP+ programme is administered by ARU on behalf of the Ministry for Housing, Communities and Local Government.

For what purpose do we use your data?
The information we obtain from you is for the purpose of establishing your eligibility to proceed with the KEEP+ Programme. If you fail to provide all the information you may not be able to avail of all the support

How long do we keep your information?
[All relevant documentation is retained to the 31st December 2033, as currently required by European Commission funding requirements and KEEP+ Grant Agreement with MHCLG.

How do we secure your information?
The University is committed to holding your data securely and uses information security best practice to transmit personal



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available nor move forward with the application process.

What is the legal justification? You freely provide us with your personal data. If you don't provide your personal data we cannot contact you in pursuit of taking forward the KEEP+ application processes. The legal basis for processing your personal data is in support of entering into a contract.

What information do we collect about you?

Name, contact details, business details and general supporting information regarding your eligibility to access the KEEP+ Programme.

To whom do we disclose your information?

The data is disclosed to ARU staff, MHCLG, MHCLG's auditors and the European Commission.

data. Data is held in accordance with the University's Information Security Guidelines.

Contact details of the service – If you need to contact us, change information or choose to opt out please email julie.benabdeljeil@aru.co.uk.

ARU Data Protection Officer: can be contacted at: dpo@aru.ac.uk

Your rights – You have the following rights for your personal data: to withdraw consent at any time; to lodge a complaint with the Information Commissioner's Office Helpline 0303 123 1113 or www.ico.org.uk; request a copy of your data from us; to request us to cease processing if you suffer damage or distress; to correct the data; to request us to erase your data; to restrict our data processing activities; request us to stop any direct marketing activities to you.

Further information on how your personal data is used can be obtained from <https://www.anglia.ac.uk/privacy-and-cookies>

March 2020

Office Use Only

Assesses by (print and sign)		
Assessment Date		
Assessment result	Eligible	Non-eligible