



European Union

European Regional
Development Fund



SME/Company Registration Form

The Water Hub project is funded by the European Regional Development Fund (ERDF). You are required to complete this form to apply for support.

This document contains:

Part 1: Data Protection and Sharing Statement

Part 2: SME Eligibility

Part 3a: Undertaking in Difficulty Assessment

Part 3b: State Aid Confirmation

How to apply:

- Please complete all sections of the form.
- All fields **must** be completed if no data available please fill with zero or N/A.
- The form must be completed by an appropriate representative of the applicant company.
- The applicant must wet ink sign all three parts as indicated on the form.
- Send the completed form to the address below.

Please contact a member of the project team should you require any assistance completing this form, or should you wish to change any of the details provided in the form:

Anna Gerring, The Water Hub, Durham University, IHRR, Lower Mountjoy, South Road, Durham, DH1 3LE. Email: anna.k.gerring@durham.ac.uk.



Part 1: Data Protection Statement for SMEs

PROJECT TITLE: The Water Hub

Please note that as part of this project you may be contacted to confirm that you have received advice and help. You may also be asked to provide evidence to support any outcomes you report as a direct result of this project (e.g. number of jobs safeguarded/jobs created).

This project is part funded by the European Regional Development Fund (ERDF). The rules of this fund require applicants and partners to maintain records to support and evidence all project activity.

The Ministry of Housing, Communities and Local Government is the Managing Authority in the UK for ERDF, and therefore is the data controller for this ERDF funded project.

The Privacy Notice relating to the use of this data can be found here:

<https://www.gov.uk/government/publications/european-regional-development-fund-privacy-notice/european-regional-development-fund-privacy-notice>

Note: MHCLG, Durham University and its delivery partners (Durham County Council, Environment Agency and Northumbrian Water) are subject to the provision of the Freedom of Information Act 2000 and any information that you provide may potentially be subject to a Freedom of Information request.

Manual copies of the information you provide will be retained in a secure environment. If the data is held on computer, security measures will be taken to protect the computer files. The information that you provide will be retained for the length of time required for ERDF purposes. For the current 2014-2020 ERDF, Programme records are to be retained until **at least** 31 December 2033.

Please sign and date the box below to confirm that you are happy for the information you provide in relation to this project to be retained and used for the purposes outlined above:

Signature: _____

Name: _____ **Date:** _____



Part 2: SME Registration

Company name			
Full name of company contact			
Email address			
Telephone			
Job title / position			
Registered address of applicant company			
Postcode		Web address	
Trading address (if not as above)			
Nature of business (SIC code)			
Company registration number		Date of Incorporation	
VAT number (if registered)		VAT Effective Date	
Unique Taxpayer Reference Number (If a Sole Trader)		Date Started Trading	
What kind of company are you?	<p align="center">Autonomous <input type="checkbox"/></p> <p><i>Autonomous – your enterprise is totally independent or holds less than 25% (capital or voting rights) in another and/or another holds less than 25% in yours.</i></p>	<p align="center">Partnership <input type="checkbox"/></p> <p><i>Partner - your enterprise holds at least 25%, but no more than 50% in another and/or another holds at least 25%, but no more than 50%, in yours.</i></p> <p>Please request annex to the declaration if you have ticked this box</p>	<p align="center">Linked <input type="checkbox"/></p> <p><i>Linked - your enterprise holds more than 50% of the shareholders' or members' voting rights in another and/or another holds more than 50% in yours.</i></p> <p>Please request annex to the declaration if you have ticked this box</p>



What is your Annual Turnover (£)?			
<p><i>If you are an Autonomous enterprise – provide just your own data.</i></p> <p><i>If you are a Partner enterprise – add a proportion of the other enterprise’s annual turnover to your own data. This proportion will reflect the percentage of shares or voting rights – whichever is the higher – that are held.</i></p> <p><i>If you are a Linked enterprise – add 100% of the linked enterprise’s staff annual turnover to your own data</i></p>			
What is your Annual Balance Sheet Total (£)?			
<p><i>If you are an Autonomous enterprise – provide just your own data.</i></p> <p><i>If you are a Partner enterprise – add a proportion of the other enterprise’s Annual Balance Sheet Total to your own data. This proportion will reflect the percentage of shares or voting rights – whichever is the higher – that are held.</i></p> <p><i>If you are a Linked enterprise – add 100% of the linked enterprise’s staff Annual Balance Sheet Total to your own data</i></p>			
How many people does your company employ?			
<p><i>(in Annual Work Units: 1 person working full time during the full reference year = 1 unit; seasonal, part-time staff and staff who did not work a full year = fraction of one unit)</i></p> <p><i>If you are an Autonomous enterprise – provide just your own data.</i></p> <p><i>If you are a Partner enterprise – add a proportion of the other enterprise’s staff headcount to your own data. This proportion will reflect the percentage of shares or voting rights – whichever is the higher – that are held.</i></p> <p><i>If you are a Linked enterprise – add 100% of the linked enterprise’s staff headcount to your own data</i></p>			
Annual R+D spend in last financial year?			
Please confirm any policies in place:	Equal opportunities <input type="checkbox"/>	Environment <input type="checkbox"/>	ICT <input type="checkbox"/>
I declare that the company is a (please tick one box):			
Sole Trader <input type="checkbox"/> SME <input type="checkbox"/> Large Business <input type="checkbox"/> Micro Business <input type="checkbox"/> Social Enterprise that engages in economic activity <input type="checkbox"/>			
Signature: _____		Date: _____	
Print Name: _____			

NB: For the purpose of ERDF application, an SME is defined as an enterprise which employs fewer than 250 employees at the time the support is given. The number of employees at the time of the application includes full time, part time, seasonal and temporary staff and has *either*: An annual balance sheet total not exceeding 43 million euros, *or* An annual turnover not exceeding 50 million euros *and* Is not more than one quarter (25%) owned by firms that do not comply with the above requirements http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en



Part 3a: Undertaking in Difficulty Assessment

In accordance with Article 3.3 (d) of the ERDF Regulation (EU) No 1301/2013, ERDF-supported projects are unable to support 'undertakings in difficulty'.

As the Water Hub is an ERDF-supported project, we are required to assess the status of our beneficiary SMEs.

The definition of an 'undertaking in difficulty' is defined as an undertaking (ie, an SME) in 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."*



Please kindly read the above definition and then answer the following questions:

Has your business been subject to collective insolvency proceedings or fulfils the criteria under domestic law for being placed in collective insolvency proceedings at the request of its creditors?	Y / N
Has your business been in receipt of rescue aid and have not yet reimbursed the loan or terminated the guarantee?	Y / N
Has your business received restructuring aid and still subject to a restructuring plan?	Y / N
I have read the statements above and the undertaking I represent is not an undertaking in difficulty	Y/N

Part 3b State Aid Assessment

If within the past three years your business or your group has received support from any public sources for advisory and support services in any form (financial or non-financial) – your business or your group may have received GBER SME Innovation Aid for SMEs under one of its schemes:

You will have received a letter from the provider informing you that their support was provided under this scheme and article and informing you of its value. European rules state that the value of this aid provided to a business cannot exceed **€200,000** within a three year rolling period.

Has your business or your group received aid under GBER Innovation Aid for SMEs within the past three years?

No

Yes

If YES, please provide details:

Name of provider	Date of payment	Brief reason for payment	Amount (£)	Amount (€)



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Declaration:

I understand that this project is supported by the European Regional Development Fund (ERDF) and declare that the details given on this form are true to the best of my knowledge. I understand that the information I provide relating to this project may be subject to audit and that any supporting records must be retained until at least 31 December 2033.

In signing this declaration I warrant that I am authorised to sign on behalf of this organisation and I confirm that I have read the 'undertaking in difficulty' definition above, and understand the requirements of GBER State Aid I acknowledge that if our organisation fails to meet the eligibility requirements, we may become liable to repay the full value of the assistance provided.

Signature:

Date:

Print Name:

Position:

Business:



Durham University use only			
Confirmation of Eligibility			
SME Name			
Client unique reference			
Date of completion			
Project Officer			
Project Officer Signature			
State Aid Confirmation			
*Value in Euros		Exchange Rate used	
*Source: European Central Bank Euro foreign exchange reference rates: http://www.ecb.int/stats/exchange/eurofxref/html/index.en.html			Is the amount of GBER Aid given over 3 years less than €200,000?
Undertaking in Difficulty Assessment			
Question		Assessment	
Q1. How long has the SME been trading?		<3years >3 years	
If less than 3 years go straight to Q3 and skip Q2 If more than 3 years go to Q2			
Q2. Is the company a limited liability company, or a company where at least some members have unlimited liability for the debt of the company?		YES	
Q3. Is the company likely to receive more than £50,000 worth of support through this project?		YES NO	
If YES – complete questions 4&5 AND ‘undertaking in difficulty’ assessment If NO – complete questions 4 & 5 and DO NOT complete ‘undertaking in difficulty’ assessment			
Q4. Has the company declared that:			
a) It is not subject to collective insolvency proceedings or fulfils the criteria under domestic law for being placed in collective insolvency proceedings at the request of its creditors		YES	
b) It has not received rescue aid and has not yet reimbursed the loan to terminated the guarantee, or has received the restructuring aid and is still subject to a restructuring plan		NO	
c) It has read the definition of an undertaking in difficulty as set out in the GBER Regulation No 651/2014 and is not in difficulty			
If YES – complete Q5			



If NO – request further information or inform SME it is not eligible for support

Q5. Is it possible that the company will receive a grant for capital equipment?	YES
	NO

**If YES, please undertake the undertaking in difficulty assessment during the grant application process
If NO, please continue to Final Statement**

6. Undertaking in Difficulty Assessment

<i>Month/Year</i>		
Share Capital		
Share premium (if any)		
Retained earnings		
Total		
Total accumulated losses		
Losses less than capital?		

Final Confirmation

The SME is eligible for support from this project and evidence in the form of company accounts/statements have been reviewed and stored

Eligible

Not Eligible

Further info required

Comments: