

Initial Contact Form (ICF)

The information collected in this form allows us to determine if your company/undertaking is eligible for assistance.

Company Details	
Name	
Registered address	Postcode
Local address (if above is different)	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.	Company Number
Tax Reference	VAT Reg. Number
Sector	SIC Code (optional)
Status (tick relevant boxes)	Sole Trader Partnership Community/Social Unincorporated association
	PLC LLP Ltd Other (please describe):
	Start-up (less than 12 months old & trading) Start-up (less than 12 months old & <u>not</u> trading)
Local Authority you pay business rates to:	

Company Finances & Staff Data:		
Accounts	Last accounts date:	Next accounts date:
	Last accounts turnover: £	Last accounts balance sheet: £
	Current turnover: £	Current balance sheet: £
	Salary/Wage Cost £	Pre-Tax Profit £
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: http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition/index_en.htm	
Does this company 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	Type (Venture Capital, Investor, University, Local Authority, etc.)	Staff Numbers (FTE)	Turnover (£)	OR	Balance Sheet (£)	Percent Ownership (%)
				OR		
				OR		

Company 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	Prefer not to say	



Initial Contact Form (ICF)

State Aid Declaration (please complete one line for each item of state aid you have received and insert more lines as needed)

Eligibility for ERDF assistance is dependent upon the beneficiary not exceeding a threshold of €200,000 *de minimis* state aid as under the *de minimis* exemption an undertaking can receive up to €200,000 of *de minimis* aid over three rolling years (*de minimis* aid is deemed granted at the moment the undertaking has a legal right to receive it, and the period of three years starts from the first time that occurs). Please use the table below to list all state aid you have received in the last three rolling years and highlight any *de minimis* values. If you are unsure whether assistance you were provided with in the past constituted *de minimis* state aid you should seek clarification from the organisation that provided you with the assistance. Any *de minimis* state aid granted over the €200,000 limit will be subject to repayment with interest. For more details on state aid and *de minimis* please visit: <https://www.gov.uk/guidance/state-aid>

Details of Funding (add more lines as needed)		Value of Assistance (please give Euro value)		Date Received	Type of State Aid
Funding Source	Activity Funded	£	€	dd/mm/yy	<i>De minimis</i> , GBER, etc.
Please do not leave blank. If nil please write "NIL"		TOTALS			

Diagnostic Report Section for C1 Output Indicator

If this section is applicable then it should be completed by the Company & Project Teams together

The issue to be addressed is to be set out on the Project Outline Form

I confirm that the intention of the project is to deliver a reduction overall greenhouse gas emissions YES NO

I confirm that the intention of the project is to develop new to the firm product or service YES NO

Following initial contact the project team will take the project outline and undertake the following activity to develop the project: links will be established to appropriate academic understanding in the university or at a delivery partner institution, the project idea will be developed in collaboration with the academic understanding available, the proposal will be assessed for an appropriate means of delivering support to the enterprise, the project will be advertised to potential candidates who will be interviewed and recruited as is appropriate to deliver the project. It is acknowledged that this will involve more than 12 hours of work by the project team to bring the project to a stage where it can be delivered through collaboration with the university. At this point a contract on further delivery through a long term collaboration will be signed between the parties.

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 protection notice here: <http://www.lancaster.ac.uk/research/research-enterprise-services/project-support-unit/psu-data-protection/>

Tick here if you consent to being contacted by Lancaster University regarding further opportunities and programmes.

Company Sign Off

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. **You also confirm that this undertaking is not currently undergoing a 'state aid recovery case' and did not meet the criteria of a 'Undertaking in Difficulty' at or before 31/12/2019.** 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 being reclaimed. Finally, if you completed the Diagnostic Report Section above you confirm that the project undertook a three or more hour diagnostic assessment with the project delivery team resulting in the provision of information and brokerage/signposting as detailed in the Diagnostic Findings & Signposts section above.

Name		Date		Electronic Signature
Position		Signature		

Project Team Sign Off

Name		Date		Electronic Signature
Position		Signature		

Annex B: SME Eligibility Check – For Project Team Use Only. (Please tick all relevant)

Using the relevant SME definition guidance and the data supplied in this form the potential beneficiary is:

<input type="checkbox"/> An eligible SME	<input type="checkbox"/> Autonomous	<input type="checkbox"/> Linked	<input type="checkbox"/> A Partnership
<input type="checkbox"/> In an eligible location	<input type="checkbox"/> In an eligible sector	<input type="checkbox"/> Within the eligible State Aid threshold	
<input type="checkbox"/> Not an "Undertaking in difficulty" (at or before 31/12/2019)		<input type="checkbox"/> Not undergoing "State Aid Recovery"	

Initial Contact Form (ICF)

Guidance Notes to assist with the completing of the 'Initial Contact Form'	
Company Addresses	We ask for both of these as some companies give us addresses 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)	<p>We ask for this data for two reasons. The first is to ensure your company meets the eligibility criteria of an eligible SME 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.</p> <ul style="list-style-type: none"> • 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. <p>We ask about jobs forecast at risk in order to measure the number of jobs safeguarded by the project assistance.</p>
Innovation Indicators	<p>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.</p> <p>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.</p> <p>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.</p>
Company Number & Tax Reference	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.
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 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
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. 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: http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition/index_en.htm
Diversity Information	<p>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.</p> <p>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.</p> <p>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/.</p> <p>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.</p>
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 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



Initial Contact Form (ICF)

	<p>pay back the value of all received state aid plus interest and we don't want that to happen to any of the companies we assist.</p> <p>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.</p> <p>For more details on state aid (including <i>de minimis</i> and GBER) see: https://www.gov.uk/guidance/state-aid</p> <p>For historic Euro conversion rates see: http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/index_en.cfm</p>
Annex B	<p>This is reserved for the project team to complete – here they will take the company data and ownership data you have provided and record if your company is eligible to receive assistance from the project. Project Teams: To correctly assess eligibility you must consult the EC SME definition here: http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition/index_en.htm</p>
Diagnostic Report Section	<p>This will not apply to all companies and must be completed in conjunction with the project support team. This section will be used to record the diagnostic report evidence that will then be submitted as proof of the diagnostic information and brokerage/signposting given to your company by the project.</p>
Company Sign Off	<p>Here we require you confirm the contents of the Initial Contact Form as well as stating 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 note that this sign off must be by wet ink as the UK Government will not accept electronic signatures. Also please remember that the data you enter must be accurate otherwise the assistance could be withdrawn and associated costs reclaimed.</p>
Undertaking in Difficulty (at or before 31/12/2019 – pre-Covid-19)	<p>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)</p> <p>Please note: If you feel Covid-19 is responsible for your company becoming an Undertaking in Difficulty between 01/02/2020 and 31/12/2020 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.</p>
Recovery of State Aid Order	<p>We ask you to confirm this because we are not able to assist companies under such an order.</p>