



I certify that this is a true copy of the original document:

Signed:

Date:

Position in Organisation:

Name of Organisation:

General Company Level Data Capture Form

Section One – Company Information

1 Company Name	<input type="text"/>		
2 Companies House/Charity/HMRC Number	<input type="text"/>		
3 Registered address	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>		
		Postcode:	
4 Contact Details	Tel No:	EDRS number	

ESF support on this project may be dependent on company size. Questions 5 to 6 are intended to identify whether or not a company is an SME (less than 250 employees or balance less than €43M or annual turnover of less than €50M). 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.

The number of employees corresponds to the number of annual working units (AWU) – that is, full-time equivalents (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.

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

9 or less 10 to 49 50 to 249 250 or more

6 Do you have either a balance sheet of less than €43M, or an annual turnover of less than €50M

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

7 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		Public Limited Company	
Partnership		Public Sector Organisation/Local Government	
Private Limited Company		Voluntary/Community Sector/ Not for Profit Organisation	
Non-Independent Company		Receive 50% or more of your funds from a public sector grant	

8 Non-Independent Enterprises can still be considered an SME providing one of the following three statements apply.

<input type="checkbox"/>	A that the owning organisation meets all of the SME criteria i.e. employee numbers turnover and balance sheet
<input type="checkbox"/>	B the enterprise is held by public investment corporations, venture capital companies or institutional investors that DO NOT exercise control either jointly or individually
<input type="checkbox"/>	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.

9 What is the main function of your business? (based on Companies House Standard Industrial Classifications)

Agriculture, Forestry & Fisheries	Mining and Quarrying	Manufacturing
Electricity, gas, steam air conditioning supply	Water supply, sewerage, waste management and remediation activities	Construction
Wholesale and retail trade; repair of motor vehicles and motorcycles	Transportation and storage	Accommodation and food service activities
Information and communication	Financial and insurance activities	Real estate activities
Professional, scientific and technical activities	Administrative and support service activities	Public administration and defence; compulsory social security
Education	Human health and social work activities	Arts, entertainment and recreation
Other (please specify)		

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

2016-17	2017-18	2018-19	2019-20	TOTAL

11 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 contract employer size requirements may result in this enterprise being ineligible to receive support from ESF funds. In addition I confirm that, if they are required, appropriate levels of cash/"in-kind" contribution will be provided in accordance with the below definitions of Training Aid. If "in-kind" contribution is being used and supporting evidence fails to meet requirements I understand that I will be required to make up any shortfall by means of a cash payment or repayment of aid.

Signed		Date	
Name			
Position within firm			
Email address			
Telephone Number			

Data Protection Legislation – This information will only be shared where the law allows it. It may be shared with other organisations and the Department for Work & Pensions for administrative, statistical and research purposes, to inform careers and other guidance and to monitor progress. For more detailed information on how we handle your personal information see the [ESFA: privacy notice](#).



Section Two – Intervention Information

15 ESFA Contract Number

16 Employer Name

17 Aid Log (Delivery Organisation to complete intended activities prior to completing form)

Note: the aid is not necessarily the full funding paid by the Skills Funding Agency to the provider.

Type of Activity Eg: Workforce Development Advice Training Needs Analysis Training Delivery IIP Advice Key workers Basic skills participation Learning participation	Planned Date	State Aid Y/N	Reason if not state aid	Aid Value, if applicable	Aid type (De Min/Train Aid)
Training Needs Analysis		Y	N/A	£	De Min.

If Aid Type has been identified as 'Training Aid' Section 4 (Serco Form: F015) must also be completed and attached to this form.

Provider Signature	<input type="text"/>		
Name	<input type="text"/>		
Provider Name & UKPRN	<input type="text"/>	<input type="text"/>	UKPRN
Date	<input type="text"/>	<input type="text"/>	

Data Protection Legislation – This information will only be shared where the law allows it. It may be shared with other organisations and the Department for Work & Pensions for administrative, statistical and research purposes, to inform careers and other guidance and to monitor progress. For more detailed information on how we handle your personal information see the [ESFA: privacy notice](#).



Section Three – State Aid Notes

For full State Aid information refer to the BIS guidance: <https://www.gov.uk/guidance/state-aid>

The **De Minimis** regulation allows Member States to give comparatively small amounts of support up to a certain limit, which may be paid for almost any purpose, as long as it meets all of the conditions set out in the Regulation. Prior notification and approval are not necessary as long as the requirements of the regulation are met.

Legal basis for De Minimis is the Commission Regulation on the application of Articles 107 and 108 of the Treaty on the Functioning of the European Union to aid.

De Minimis aid is used to describe small amounts (€200,000 over a 3 year fiscal period) (€100,000 in the road freight transport sector) of support which complies with the De Minimis. 4.3 The European Commission considers that public funding which complies with the De Minimis regulation has a negligible impact on trade and competition, and does not require notification and approval.

De Minimis can be given for most purposes, including operating aid, and is not project-related:

The maximum De Minimis funding any single recipient can receive is €200,000 (cash grant equivalent) over a 3-year fiscal period. You must take steps to ensure the limit is not exceeded and that you can demonstrate this, hence this form. The road freight hire sector has a limit of €100,000.

The sterling equivalent is calculated using the Commission exchange rate (See journal exchange rate http://ec.europa.eu/unitedkingdom/work_with_eu/rates/index_en.htm) applicable on the written date of offer of De Minimis funding.

The above ceilings apply to the total amount of De Minimis aid to a single recipient from all sources of De Minimis aid.

De Minimis aid cannot be given towards the same costs that are being supported under another block exemption or notified scheme if it means that the total aid would exceed what is allowed under the block exemption or notified scheme. De Minimis aid could be given for separate costs however.

De Minimis aid cannot be given for:

- Aid for “export-related activities”, in particular assistance which is linked to exported quantities, assistance to establish or operate a distribution network, and other current expenditure linked to exporting is not permitted, but you can support attendance at trade fairs.
- Aid contingent upon the use of domestic over imported goods
- Agriculture and fisheries. If you wish to give aid for agricultural activities, separate De Minimis regulation applies. Please contact Defra for more information as they have their own €15,000 limit under EC regulation 1408/2013

The full text of the De Minimis Regulation should be consulted for definitive guidance.

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

Where the De Minimis threshold is exceeded, you must use Training Aid.

Legal basis for the (**Training Aid**) General Block Exemption Regulation (GBER) is the Commission Regulation EU No. 651 / 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty (General block exemption Regulation).

The promotion of training constitutes a central objective of the economic and social policies of the Union and its Member States.

Training usually generates benefits for society, increasing the pool of skilled workers and improving the competitiveness of industry. Aid to promote training is therefore exempted from the notification requirement under certain conditions. In light of the particular handicaps that SMEs face and the higher relative costs they must bear when they invest in training, the intensities of aid exempted by the General Block Exemption Regulation (GBER) are increased for SMEs. Additionally, the intensities of aid exempted are further increased if the training is given to disadvantaged workers or to workers with disabilities.

The GBER covers aid up to €2 million per training project providing certain conditions are met. Any individual aid with a grant equivalent exceeding €2 million per training project must be notified to the Commission for prior approval. Aid cannot be granted for training which is carried out to comply with national mandatory standards on training.

Eligible Costs and Aid Intensities. The eligible costs shall be the following:

(a) trainers' personnel costs, for the hours during which the trainers participate in the training;

(b) trainers' and trainees' operating costs directly relating to the training project such as travel expenses, materials and supplies directly related to the project, depreciation of tools and equipment, to the extent that they are used exclusively for the training project. Accommodation costs are excluded except for the minimum necessary accommodation costs for trainees who are workers with disabilities;

(c) costs of advisory services linked to the training project;

(d) trainees' personnel costs and general indirect costs (administrative costs, rent, overheads) for the hours during which the trainees participate in the training.

The aid intensity must not exceed 50% of the eligible costs. It may be increased, up to a maximum aid intensity of 70% of the eligible costs, as follows:

(a) by 10 percentage points if the training is given to workers with disabilities or disadvantaged workers;

(b) by 10 percentage points if the aid is granted to (51 to 250 employees) medium-sized enterprises and by 20 percentage points if the aid is granted to small enterprises (less than 50 employees);

Note:

- The value of the aid may not be the value of the funding provided by the Skills Funding Agency. It should be the cost of providing the training, as shown above under eligible costs.
- Where the aid provided will be 50% of the costs of training, for example, the employer will need to provide evidence for the remaining 50% of the costs through timesheets of the learner and confirm hourly rates.
- Evidence of the enterprise's contribution must be signed by the employer and retained by the provider.

You must refer to the full text of the regulation: http://ec.europa.eu/competition/state_aid/legislation/block.html

Section Five – Training Needs Analysis

Branch Office Address (if different from Section one)

Company Name

Branch address

	Postcode:
--	------------------

Point of contact

Name		Tel No:	
-------------	--	----------------	--

1 Company Background, Business Vision & Goals

How long has the business been established?
What are the company's goals and targets for the future?
What are the current and future key challenges for the business?

2 Markets, Products & Services

What are your organisation's main markets, products and services?
How do you promote your business?
What are your routes to market - how do you sell?
How do you develop new products/services?

3 Accreditations & Standards

None			
ISO 9000	ISO 14000	Investors in People	
Industry Specific (state)			
Other (state)			

4 Operations

How do you measure - costs, efficiency, customer satisfaction & quality?
Use of ICT – networks, internet, website, email?
What is your approach to environmental/sustainability management?

5 Structure and People

What is the structure of the business? Leadership and management? Different departments? Draw or attach an organisation chart.
Any vacancies or issues surrounding recruitment and/or retention of staff?

6 HR Policies and Procedures

Indicate if employees have the following:

Job Descriptions	All		Some		None	
Employment Contracts	All		Some		None	
Annual Appraisals	All		Some		None	
Are they up to date			Yes		No	
Do you have a training plan?			Yes		No	
Do you have a Health & Safety Policy			Yes		No	

7 Training and Development

Currently undertaking training and development? Yes No

Details of current training taking place (in-house or externally delivered, giving details of what training is being delivered, when it is being delivered and by whom):

Further training and development planning, things to consider

- 1 What basic skills training does your workforce require, this includes subject like maths, English, ICT, ESOL and employability skills.
- 2 Does your workforce have any intermediate/higher level skills gaps, this includes vocational, technical, leadership and management training.

If you company requires any training please list it below in Section Five

Section Six – Company Training Plan

Business issues requiring training solution/Support	Type/Level of qualification, short course or support proposed	No of employees requiring training/support	Training/ support required when?	Training delivered by

Progression

The aim of this initial training is to allow you workforce the opportunity to progress either within the workforce or in education. Please indicate below the progression you plan for your workforce to undertake

Type of progression	No. of staff
No planned progression	
SD01 – Progression within Employment	
PG01 – Progression to Work – Employed / Self-Employed	
PG03 – Progression Education	
PG04 – Progression Apprenticeship	

I certify that the actions described above meet my current and (known) future business needs at this time

Employer Signature: Name: Date:

Provider Signature: Name: Date: