# Grant Application Form for low carbon innovation projects

## Grant Programme: Worcestershire Low Carbon Opportunities Programme

**Please complete this application form to apply for funding towards development of clean tech / low carbon projects. Example projects could be:**

* Research and development costs for a low carbon technology, product, process or service, or low carbon substitutes
* Development and commercialisation of low carbon products or processes
* Low carbon technology collaboration
* Pre-commercial full-scale implementation of a low carbon technology, product, process or service
* Diversification into the low carbon sector

Applicants must be able to demonstrate that the project is for **low carbon** innovation. The product, process or service to be developed must generate or result in carbon savings being realised.

It is expected that SMEs will have already received a Low Carbon Innovation Assist prior to applying for a grant through this programme.

The minimum grant which can be given is £2,000. The maximum that can be given for capital projects is £30,000. Revenue grants can be maximum £30,000. Project must be 60% match funded by the business (giving maximum project values of £75,000). Grants can be given for up to 40% project value.

Please read the guidance notes carefully and seek any clarification you need from the Worcestershire Low Carbon Opportunities team. Please complete all sections.

## Section 1. SME Details

|  |  |
| --- | --- |
| **Company name** |  |
| **Address** |  |
| **Postcode** |  |
| **Tel no** |  |
| **Contact** |  |
| **Year business started** |  |
| **Business sector** |  |
| **Company Registration Number** |  |
| **Number of Employees** |  |
| **email** |  |

## Section 2. SME Status

In order to receive support from the European Union you must meet certain requirements, please confirm the following about your organisation: (tick as appropriate)

|  |  |
| --- | --- |
| Has fewer than 250 employees (full time equivalent) | [ ]  Yes [ ]  No |
| Annual turnover does not exceed €50 million | [ ] Does **not** exceed [ ]  Exceeds |
| Please complete box with most recent annual turnover. |  |
| Current balance sheet does not exceed €43 million**Please note we will need to see a copy of your latest company accounts as evidence.** | [ ] Does **not** exceed [ ]  Exceeds |
| In your business, does a separate enterprise own 25% or more of the capital or the voting rights? | [ ]  Yes [ ]  No |
| *If Yes, is this enterprise a SME?* | [ ]  Yes [ ]  No [ ]  N/A |
| Is your business involved with any Governmental Organisations? | [ ]  Yes [ ]  No |
| *If yes, please give details:* |  |
| Does your business supply for any Governmental Organisations? | [ ]  Yes [ ]  No |
| *If yes, please give details:* |  |
| Does your business provide functions which are Statutory Government responsibilities? | [ ]  Yes [ ]  No |
| *If yes, please give details:* |  |

## Section 3. Data Protection

### Privacy Notice

For information on how your information is used, how Worcestershire County Council maintain the security of your information, and your rights to access information held on you, please view the Privacy Notice for the Growth & Investment and Sustainability Team on WCC's Privacy webpage: <http://www.worcestershire.gov.uk/privacy>

### Marketing

**We will automatically keep you up to date with information about your grant or business assist, but in order to process your application, we require a response to confirm whether you wish to opt-in or opt-out to receive marketing updates and how you wish to be contacted:**

□ Yes, I consent to receive occasional newsletters and updates regarding services and products that I might be interested in, such as grants, funding, business support and events, from the Growth & Investment and Sustainability Teams and the contractors working on their behalf.

I consent to being contacted via the following methods:

□ Post □ Email □ Telephone

□ No, I do not consent to receive occasional newsletters and updates regarding services and products that I might be interested in, such as grants, funding, business support and events, from the Growth & Investment and Sustainability Teams and the contractors working on their behalf.

If you have consented to receive marketing, you may opt out at a later date. If you no longer wish to be contacted for marketing purposes, please contact: businesssupportmarket@worcestershire.gov.uk

## Section 4. Equal Opportunities Declaration

SMEs receiving a grant under this programme must confirm that they comply with the Equality Act 2010, as part of the programme's commitment to promoting equality.

Please tick this box to confirm that you are aware of and comply with the Equality Act 2010: [ ]

## Section 5. Basic Project Details

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| Brief title for the proposed project |  |
| Project Value (excluding VAT). |  |
| Amount of grant applying for? (Maximum 40%) |  |
| Amount of match funding from your business? (Minimum 60%) |  |
| Is the match funding for the project confirmed?*See Guidance notes for more information.* | [ ]  Yes [ ]  No |
| Location of proposed project? (if different from contact address) |  |

## Section 6. Project Procurement

If any individual items within your project are worth £25,000 or above, then you must follow certain procurement procedures. These are given in more detail in the guidance notes at the end of this form. If you have to follow a full procurement process, then it is recognised that you may prefer to wait until you have approval of the grant, before you undertake this process. In this case, please obtain one quote to give an indication of project costs for the purpose of grant approval. The full procurement process can then take place after you have approval of the grant. We will need to see evidence of this procurement process to verify that it meets ERDF procurement requirements, before you agree the final purchase. It will be a condition of the grant that you meet the requirements.

We will need to see copies of 1 quote for each item under £2,499, 3 written quotes for items between £2,500 - £24,999. For items over £25,000 a tendering exercise will be required.

Also, note you will have to manage the cash flow of claiming the grant retrospectively.

**Please specify if you are providing full quotes now, or an indicative quote with the full procurement process to follow once the Grant has been approved.**

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| --- | --- | --- |
| Quotes provided | **Included with this form** | **To be provided after grant approval, before purchase** |
| Copies of 1 quote for items under £2499 | [ ]  | [ ]  |
| Copies of 3 quotes (from separate suppliers) for items between £2,500 - £24,999) | [ ]  | [ ]  |
| One indicative quote provided with full procurementprocess to follow | [ ]  | [ ]  |
| Evidence of compliance with full procurement process (required for projects above £25,000) | [ ]  | [ ]  |

**For all projects (regardless of procurement process required), please detail in full the individual items of expenditure below (excluding VAT). *Please attach additional sheets if required***

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| --- | --- | --- | --- |
| Item  | Indicative Cost | Suggested month of Purchase | Preferred Supplier (if quotes have been obtained) |
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| **If you have stated a preferred supplier for items listed above, please explain this choice for each item.**If this is not the lowest-cost please explain how the preferred supplier provides better value for money. |
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## Section 7. Project Explanation

Section 7 of this form requests more information about the project. The section is broken down into the following questions:

* 1. **Description of the Project**

**7.2 Product**

**7.3 Technology**

**7.4 Market**

**7.5 People**

**7.6 Funding**

**7.7 Low Carbon**

**7.8 Knowledge Transfer**

**The aim of this grant is to support companies to develop innovative low carbon products, services or processes, or to install innovative low carbon technologies.**

It is important that your application makes it clear exactly what you need this grant funding for, and what you intend to do with the money. Please do not feel that you must provide very detailed technical information for each question. If we feel we need more information to put your application forward to the appraisal panel, we will contact you. Please read the guidance before you complete this part of the application.

### 7.1 Background to the company and description of the Project

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| Please give **an overall description of the project** including the background to the company, covering the following points:* Background to your company, for example: how long have you been trading, what does the business do / specialise in, who owns the company?
* Describe what your existing products/services are (business as usual).
* What are you proposing to do? Describe what your new product/process/service is or does.
* Is it new to your company, or new to the market?
* What business do you expect to emerge from the project?
* Will any jobs be created as a result of the project?
* What will you need to undertake this activity (i.e. equipment, specialist support)
* An estimated timescale for the activities including start and end dates
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### 7.2 Product/Process

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| You should use this section to explain the following:* Describe what your ‘project’ will do – what are you trying to achieve, what will you need to achieve it, over what timeframe, and how much will it cost? *(eg We are trying to create and launch a new widget, for which we need new tooling, external testing and certification, and an updated website, the costs of which are x,y and z, and will take 9 months to complete.)*
* If applicable, what are the technical hurdles which are critical to success?
* If applicable, what is the overall anticipated investment needed to reach the market?
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### 7.3 Technology

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| Please consider the following:* What is innovative about your idea? (eg is the product innovative, or are you taking an innovative approach to making a traditional product?)
* Have you done any research to establish whether your new product or process is novel? (ie has anyone done it before?).
* If it is novel, how are you going to protect your innovation? (*(For example, have you explored registering intellectual property rights\* – ie patent, registered design, trade mark.)*
* Do you have agreements with your employees, contractors and business partners to ensure that your innovation is owned by your company?

How will you know whether:* you own the intellectual property rights in your creation?
* you are infringing the intellectual property rights of others?

Please state in this section any known technical, legal or regulatory requirements*\* costs for this can be included in your application* |
|  |

### 7.4 Market

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| Please describe what the potential market is for your product, including if you can:* What is the nature and potential size of the market?
* What is the route to market?
* What are the projected margins and are these sustainable?
* Do you have any follow up ideas in the pipeline?
* What competition is there?
* Are there potential commercial partners/suppliers in Worcestershire?
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### 7.5 People

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| Please include details on:.* Who will manage the project, and who else will work on the project
* What ownership do the individuals have?
* Are there any other supporting personnel?
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### 7.6 Funding

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| Please include details on: * Where the 60% financial contribution to your proposed project will come from
* Are there restrictions on when you need to spend this money by
* Why do you need a grant to help with the development? What impact would be felt if a grant was not received?
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### 7.7 Low Carbon

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| --- |
| Please include details on: * How this product, process or service will achieve carbon savings?
* Estimated carbon savings over first year (for example, carbon savings per unit x projected number of units)
* How can these carbon savings be measured?
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|  |

### 7.8 Knowledge Transfer

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| Please include details on: * The business-business collaborations or SME-research institution collaborations which may be established as part of the project.
* Do any of these collaborations already exist or will you be looking to establish these?
* What are the projected benefits of this knowledge transfer?

What would be the impact on the project if collaborations could not be established? |
|  |

## Section 8. Output Summary

**Project will create products or services:**

|  |  |
| --- | --- |
| New to the company | New to the market |
| [ ]  Yes [ ]  No | [ ]  Yes [ ]  No |

**Project will result in:**

|  |  |  |
| --- | --- | --- |
| Business-Business research collaborations | SME-research institution collaborations | Carbon savings (tonnes per annum) |
| [ ]  Yes [ ]  No | [ ]  Yes [ ]  No |  |

## Section 9. Company Declaration

1. To the best of my knowledge, I confirm that the information supplied in this grant application form is correct and complete.
2. If this grant application is successful, this organisation will use the funding only for the purpose shown in the grant application and will meet all the terms and conditions attached to any grant offer that is accepted.
3. I agree that the information supplied in the application can be used by the Programme Board, Grant Appraisal Panel, Programme Team and Low Carbon Innovation Advisors to assess the application for grant funding and be retained as part of the Worcestershire Low Carbon Opportunities Programme records.
4. The aim of this grant is to **support companies to develop low carbon products, processes or services which are new to the company (or new to the market), or to install innovative low carbon technologies**. If you are awarded a grant and the project goes ahead, to comply with European Funding rules, at the end of the project, evidence of what has been achieved will be collected. By receiving a grant you are agreeing to participate in this monitoring and any future monitoring activities.

If your product/process is **new to your company**, the evidence requested could include a signed declaration from you to confirm that the product/process is new, the date the new or improved process became operational or the date the new product or service was launched from marketing literature.

If your product/process is **new to the market**, this evidence could include a signed declaration from you to confirm that the product/process is new, and confirmation of the date the new product was launched, including further documentation to confirm details of the product, which could include marketing information or literature.

If you are installing **innovative low carbon technologies**, evidence will be requested to demonstrate the carbon savings which have been made.

**Please note, if you do not provide the information when requested you will be liable for the full cost of the grant.**

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| Signed: |  |
| Name: |  |
| Position: |  |
| Date: |  |

### 9.1 Next Steps

If you have completed the form electronically, then please email the complete form, together with your signed De Minimis Declaration Form (below) to: sustainability@worcestershire.gov.uk

If you have completed the application form by hand (this is not required if you have completed the form electronically) please scan the form and send a copy to the email address above, then send the hard copy to:

**Worcestershire Low Carbon Opportunities Programme**

Sustainability Unit, DE&I

Worcestershire County Council

County Hall

Spetchley Road

Worcester

WR5 2NP

An email notification will be sent to the email address provided to confirm receipt of the grant application form.

The programme's grant approval panel will assess the application. Their decision will be based on whether the grant would contribute to the aims and objectives of the programme, meets the European Regional Development Funding criteria and is likely to contribute to improving the renewable energy generation capacity bills of the small and medium size enterprise.

If successful you will receive a letter of confirmation outlining payment procedures and the next stage of the process. If unsuccessful you will be notified in writing with an explanation why. You must NOT carry out the project whilst waiting for a decision; if you do, the project will be ineligible for funding.

## Section 10. State Aid

**De Minimis or General Block Exemption Regulation**

Under World Trade Organisation agreements and European regulations, any assistance from the public sector towards trading operations must be strictly controlled and fall within agreed limits. You must therefore apply for a state aid exemption using one of two specified schemes.

You can apply for a grant using either the De Minimis State Aid exemption or, for some specific projects, the General Block Exemption Regulation. Please speak to the Programme team at Worcestershire County Council if you are unsure which state aid exemption to use. You must either complete the details for the General Block Exemption Regulation or the De Minimis State Aid Declaration.

**General Block Exemption Regulation**

Please indicate below which section of the General Block Exemption Regulation you are proposing to use as your state aid exemption:

|  |  |  |  |
| --- | --- | --- | --- |
| **GBER section** |  | **Aid intensity** | **Preferred Exemption** |
| Article 25 | Fundamental Research | 45% | [ ]  |
| Article 25 | Industrial Research | 45% | [ ]  |
| Article 25 | Experimental Development | 25-40% | [ ]  |
| Article 25 | Experimental Development subject to collaboration | Up to 40% | [ ]  |
| Article 25 | Feasibility Studies | 45% | [ ]  |
| Article 28 | Innovation Aid for SMEs | 45% | [ ]  |
| Article 38 | Energy efficiency  | Up to 30% | [ ]  |

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| **10.1** **GBER only -** **Summarise why the preferred exemption is the most applicable.** |
|   |
| **10.2. GBER only - Confirm the intervention rate(s) that will apply.** |
|   |
| **10.3 GBER only - Confirm the maximum permitted grant award (please note that the maximum single grant award through Low Carbon Business programme is £100,000).** |
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|  |  |
| --- | --- |
| **Signed:** |  |
| **Print Name:** |  |
| **Date:**  |  |

## De Minimis State Aid Declaration

De Minimis Aid is assistance from a public source for a trading activity which is below the threshold of aid requiring prior notification and approval from the Commission. This assistance is provided through the De Minimis Commission Regulation (European Union) No 1407/2013, OJ L352/1.

These levels have been revised since 1st of January 2007. This now allows a company[[1]](#footnote-1) to receive up to €200,000 of De Minimis aid over a three-year period for most sectors. However, Transport sector is still restricted to €100,000. Fisheries have a limit of €30,000 and Agriculture, other than marketing of processed products, is limited to €7,000.

Both of these last two sectors are subject to special procedures and require the permission of Defra[[2]](#footnote-2). Please note that the limits are in Euros, therefore when measuring the level of aid given, the official Commission Euro / £ exchange rate at the time that the assistance is granted must be used to determine the amount of aid given[[3]](#footnote-3).

**To confirm that you are able to receive this assistance you must declare the full amount of aid, from any public source, and in any format, you have already received over the last 3 financial years.** You must declare whether or not it was De Minimis aid. All aid received whether De Minimis aid or exempted aid, must now be declared. Please note that this is a change from the requirements of previous regulations. Please be explicit in your explanation of what the aid you received has been used for.

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
* Investment from a part publicly funded venture capital fund
* Publicly administered funds, even if the funds were originally not public such as the national lottery
* Landfill tax
* 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
* 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

Any De Minimis aid awarded to you under this project will have to be declared if you apply, or have applied, for any other public funding. Therefore, if successful, the offer letter must be retained and shown to any other public body to which you apply for funding for the three years following the offer.

The use of public funding is subject to checks and audits. False declarations will lead to the recovering of the value of the assistance offered plus interest.

The Business Assist that you received as part of this programme was granted under De Minimis and therefore should be declared.

**I declare that the amount of State aid received by the company / organisation over the last three years is:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Date aid awarded** | **Value of the aid in Euros.** | **From which organisation and which scheme** | **What activity or item was the aid given for** |
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| --- | --- |
| **Signature:** |  |
| **Position:(***Note this must be an officer of the company with the authority to bind the organisation in legal agreements)* |  |
| **Date:**  |  |
| **Company/Organisation**:(Full legal name) |  |

1. The limit applies to aid received by your company in the UK or if you are part of a group to your parent company. If this is the case it may be more practical for you to get this form completed by your parent company. If your own company is a parent to subsidiary companies then you must include the De Minimis aid received by your subsidiaries in the UK in this declaration. [↑](#footnote-ref-1)
2. DEFRA Department for Farming and Rural Affairs [↑](#footnote-ref-2)
3. European Exchange Rates accessible from <http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/index_en.cfm> [↑](#footnote-ref-3)