

ASTON PROGRAMME FOR SMALL BUSINESS GROWTH

APPLICATION FORM

The Aston Programme for Small Business Growth is fully funded jointly by Aston University and the European Regional Development Fund (ERDF).

If selected to participate in the programme you will be required to complete evaluation and impact surveys during and after the programme and you will be required to provide evidence of jobs created as a result of completing the programme. Places on the programme are limited.

If you have any queries contact: centreforgrowth@aston.ac.uk or call **0121 204 3225**

Steps to complete:

- 1) Save form locally to you (do not start completing the form until you have saved it)
- 2) Complete form with as much detail as possible
- 3) Save again and email to centreforgrowth@aston.ac.uk

1 APPLICANT DETAILS

CONFIDENTIAL

1.1 First name:

1.2 Last name:

1.3

Female Male

1.4 Work phone:

1.5 Mobile phone:

1.6 Email address:

1.7 If you are a non-EEA (European Economic Area) passport holder, please detail your right to work in the UK (i.e. Visa Type; Visa Expiration Date):

2 BUSINESS DETAILS

2.1 Business trading name:

2.2 Business legal name (if different):

2.3 Business website address:

2.4 Business operational base (address):

Postcode:

2.5 In which Local Enterprise Partnership (LEP) Region is your operational base?

Coventry and Warwickshire

Other (specify):

Greater Birmingham and Solihull

ONLY BUSINESSES LOCATED IN COVENTRY AND WARWICKSHIRE OR GREATER BIRMINGHAM AND SOLIHULL LEP REGIONS ARE ELIGIBLE FOR THIS PROGRAMME. IF YOU ARE OUTSIDE THESE REGIONS PLEASE CALL **0121 204 3225** TO FIND OUT ABOUT OTHER PROGRAMMES.

2.6 Business's legal status – please select all that apply

Private Limited Company

Limited by shares

Partnership

Limited by guarantee

Community Interest Company

Has charitable status

Sole Trader

Other (specify):

2.7 Is the business a social enterprise?

Yes

No

2.8 Company ID/Registration Number:

2.9 Company Tax/VAT Number:

2.10 In which industry sector does the business operate? Please choose only one category.

- | | |
|---|--|
| <input type="checkbox"/> Manufacturing | <input type="checkbox"/> Financial and insurance activities |
| <input type="checkbox"/> Waste management and remediation | <input type="checkbox"/> Professional, scientific and technical activities |
| <input type="checkbox"/> Construction | <input type="checkbox"/> Administrative and support service activities |
| <input type="checkbox"/> Wholesale | <input type="checkbox"/> Education |
| <input type="checkbox"/> Food service activities | <input type="checkbox"/> Human health and social work activities |
| <input type="checkbox"/> Transport and storage | <input type="checkbox"/> Other (specify): |
| <input type="checkbox"/> Information and communication | _____ |

2.11 SIC code _____

NB: IF YOU ARE IN THE AGRICULTURAL SECTOR, YOU ARE NOT ELIGIBLE FOR THIS PROGRAMME. PLEASE CONTACT 0121 204 3225 TO FIND OUT ABOUT OTHER PROGRAMMES.

2.12 Does the business require any professional licences in order to carry out its business lawfully?

- Yes No

2.13 If yes, please list these and state whether they are in good standing:

LICENCE	ISSUER	IN GOOD STANDING	COMMENTS

3 OWNERSHIP

3.1 What date was the business founded? (Format required day/month/year)

3.2 For how long has the business been trading? (Format required years/months)

3.3 Did you found the business?

- Yes, I founded the business myself
- Yes, I founded the business jointly with other founders
- No, I did not found the business

IF YOU HAVE BEEN TRADING
FOR LESS THAN 12 MONTHS YOU ARE
NOT ELIGIBLE FOR THIS PROGRAMME

3.4 If you did not found the business, in which year did you become the owner (or co-owner)?

3.5 Your position in the business:

3.6 What is your percentage stake in the business (if the business is limited by shares)?

 %

3.7 Are you the most senior decision-maker in the business

- Yes No

3.8 Is the business jointly owned by you and one or more family members?

- Yes No

3.9 Do you have other directors/shareholders in the business?

Please list them here

Directors
Name/s

Shareholders
Name/s & % held

4 BUSINESS ACTIVITIES

NB: THE ANSWER BOXES IN THIS SECTION HAVE A MAXIMUM SIZE OF 1,000 CHARACTERS.

4.1 What does your business do?

4.2 Tell us about your customers – who buys your products/services, and how large is your customer base etc.?

4.3 How would you like to grow your business over the next few years, and what are the opportunities that will enable you to grow?

4.4 Why would you like to participate in the Aston Programme for Small Business Growth?

4.5 How did you hear about the Aston Programme for Small Business Growth?

- | | | |
|--|--|---|
| <input type="checkbox"/> Networking event | <input type="checkbox"/> Exhibition | <input type="checkbox"/> Information event at Aston |
| <input type="checkbox"/> Email from Aston | <input type="checkbox"/> Email from other | <input type="checkbox"/> Word of mouth |
| <input type="checkbox"/> Recommendation by an alumnus of the programme | | |
| <input type="checkbox"/> Recommendation by a business support professional (e.g bank manager, consultant etc.) | | |
| <input type="checkbox"/> Social media | <input type="checkbox"/> Internet search | <input type="checkbox"/> Other (specify): |
| <input type="checkbox"/> Growth Hub | <input type="checkbox"/> Chamber of Commerce | _____ |

4.6 Have you or anybody else from the same business applied for, or taken part in this programme before? If yes, please provide details.

5 BUSINESS SIZE

5.1 Please tell us about your turnover for the past two years and your forecast for the current year:

5.1.1 When does your financial year begin?			
	CURRENT FINANCIAL YEAR FORECAST	MOST RECENT COMPLETED FINANCIAL YEAR	PREVIOUS FINANCIAL YEAR
5.1.2 Total Turnover			
Total Turnover, £	£	£	£
5.1.3 Breakdown of Turnover			
Trading Income, £	£	£	£
Grant income, £ <i>(if applicable)</i>	£	£	£
Other Income, £	£	£	£
5.1.4 Profit			
Gross profit, £	£	£	£
Net profit, £	£	£	£

IF YOU ARE SHORTLISTED FOR INTERVIEW YOU WILL BE ASKED TO PROVIDE YOUR LAST AUDITED ACCOUNTS AND CURRENT MANAGEMENT ACCOUNTS

5.2 How many employees does your business have, including owners, partners, and other Directors (not including non-executive Directors)?

FULL TIME EMPLOYEES	PART TIME EMPLOYEES Please state as Full Time Equivalents (FTE) in your company. For example if you have two part time workers one working 4 days and the other 3 you would put: 1 x 0.8fte (4 days a week) 1 x 0.6fte (3 days a week)	TEMPORARY AND CASUAL STAFF, INCLUDING FREELANCERS

6 SME DECLARATION

All data must be related to the last approved accounting period and calculated on an annual basis. In the case of newly-established enterprises whose accounts have not been approved, the data to apply shall be derived from a reliable estimate in the course of the financial year.

6.1 Do you employ fewer than 250 people?

Yes No

6.2 Is your annual business turnover less than 50 million Euros?

Yes No

6.3 Is your balance sheet total less than 43 million Euros?

Yes No

6.4 Is your business autonomous?

A business is autonomous if it is totally independent and is not a partner with or linked to another enterprise

Yes No

If no answer next question, if yes go to section 7 De Minimis next page

6.5 Is your business a Partnership?

A business is a partnership if you hold >25% but < 50% interest in another business or they hold >25% but < 50% in your business?

Yes No

6.6 Is your business a Linked enterprise?

A business is a linked enterprise if it holds 50% or more interest in or is held by another business

Yes No

If answers to questions 6.1 – 6.4 are yes then your business is an SME.

If answers to 6.1 – 6.3 are yes and answers to 6.5 or 6.6 are yes then your business may be an SME. We will need to gather more information from you to determine your eligibility. If you need support with answering these questions please contact the programme team.

7 DE MINIMIS DECLARATION

This ERDF funded programme offers assistance under the European Commission's De Minimis State Aid regulation. This allows a company to receive up to 200,000 Euros of public aid over a rolling three-year period.

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 years. You must also declare under which exemption this was awarded. Please be explicit in your explanation of what the aid you received has been used for.

7.1 I declare that the amount of State Aid received by the company/organisation over the last three years is (please complete table below with full details):

NAME OF ACTIVITY/ PROGRAMME/ FUNDING AND PURPOSE	DATE OF ACTIVITY/ PROGRAMME/ FUNDING	NAME OF PROVIDER	VALUE OF AID IN POUNDS AND EUROS AS SUPPLIED BY THE PROVIDER AT THE TIME OF THE AID	WAS IT PROVIDED UNDER A DE MINIMIS SCHEME, BLOCK EXEMPTION (GBER) OR OTHER SUPPORT?

7.2 If you have not received any aid and to confirm you have left the table blank please tick here

Assistance received through the Aston Programme for Small Business growth is governed by State Aid Regulations. An SME is allowed to receive up to €200,000 of public aid over a rolling three-year period. The estimated value of De Minimis aid you will receive through the programme is £8653 or €9423 at relevant exchange rate dated 06.08.2019. An up to date figure may be supplied to successful applicants before their cohort begins. It is your responsibility to ensure that the value of the aid you receive does not cause you to exceed the State Aid threshold.

8 UNDERTAKING IN DIFFICULTY

8.1 Please confirm that your business is not a business 'in difficulty' as defined below and at 2.1 of the Community Guidelines and State Aid for Rescuing and Restructuring Firms in Difficulty (2004/C22/02) at the date of this declaration.

Please select an option below:

My business is not in difficulty

My business is in or may be in difficulty

THIS PROGRAMME IS NOT ABLE TO SUPPORT AN UNDERTAKING (BUSINESS) IN DIFFICULTY.

An 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 (37) 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.

9 PRIVACY NOTICE

Data Collection and Privacy Notice

Aston University ("the University") processes personal data as a "Data Controller" as defined in the Data Protection Act 2018 ("the DPA") and the General Data Protection Regulation (Regulation (EU) 2016/679) ("the GDPR"). This notice relates to information about you which will be collected by the University and processed as described below. This notice may be updated at any time. The most up to date version can be found at www.aston.ac.uk/dataprotection.

Your personal data will be processed in compliance with the DPA18 and the GDPR.

What we collect

The personal data which the University processes about you will include personal details such as your name, age, contact details and address.

The personal data which the University processes also includes Information about your disability status, ethnicity, sexual orientation, gender reassignment or religion, which is classed as "Sensitive Personal Data" under the DPA, and "Special Categories of Data" under the GDPR.

We may also process still and video images of you on our CCTV system. These will be used for security purposes only.

Your rights

Under the DPA and the GDPR you have certain rights over how your data is processed, including the right to know what information is processed about you and how it is processed. You have the right of access to your personal information. You also have additional rights i.e. the right to rectify inaccurate information; restrict processing; and object to processing. These rights are limited in certain circumstances by the GDPR.

Automated decision-making

The University will not use your personal data to make automated decisions about you. "Automated decisions" are defined as decisions made without human intervention. You have the right to opt out of automated processing at any time and to require that decisions are assessed by a person.

Data transfers to other countries

Your personal data may be transferred to countries outside the European Economic Area for the purposes described above. Your personal data will only be transferred to countries whose data protection laws have been assessed as adequate by the European Commission, or where adequate safeguards are in place to protect your personal data.

How we process your data

The University will process your personal data for the following purposes.

Purpose 1 – Programme Application and Management

The University will process your personal data when you apply to participate in this programme. This is to enable us to meet the requirements of the funding organisation (MHCLG) and to enable us to administer the programme for your cohort.

We will also share these details directly with the funder, Ministry of Housing, Communities and Local Government (MHCLG) and Department for Business Energy and Industrial Strategy (BEIS).

Legal basis for processing your information for Purpose 1

We will process your personal data for the purpose of event booking and management on the grounds of our legitimate interest (GDPR Article 6(1)(f)).

We will process Special Category Data (e.g. information relating to your health or disability status) if you have made us aware of it (GDPR Article 9(2)(e)). This information will only be used to enable us to provide appropriate services in connection with your attendance on the Programme.

Purpose 2 – Mentoring and Peer Support

The University will process your personal data in order to ensure that programme attendees obtain the maximum benefit by connecting with their peers on the same programme and with their mentor, which is an integral part of the programme.

Legal basis for processing your information for Purpose 2

The processing of your personal data for Purpose 2 is necessary on the grounds of the University's legitimate interest (GDPR Article 6(1)(f)).

Purpose 3 – Programme Evaluation and Third Parties

As the programme is funded by ERDF, we are required by the funding organisation to evaluate its effectiveness. We will engage a third party industry standard evaluation and research company to carry out this work and will share the details provided in your application and any you provide during the programme. We may also share these details directly with the funder.

Legal basis for processing your information for Purpose 3

The processing of your personal data for Purpose 3 is necessary on the grounds of our legitimate interest (GDPR Article 6(1)(f)).

Purpose 4 – Growth Hubs

You have the option to share your work details (name, company name, business email address, business address and telephone number) with your relevant Growth Hub. If you consent to this, we will register your attendance on the programme on your Growth Hub's CRM. Subject to their own privacy policies, the Growth Hub will share these details with relevant business support providers they deem suitable to you and with the Department for Business Energy and Industrial Strategy (BEIS) and the Ministry Housing, Communities and Local Government (MHCLG).

Legal basis for processing your information for Purpose 4

We will share your personal details with the Growth Hub on the basis of your consent. You have the right to opt out of this type of processing at any time. Once your data has been shared, it will be subject to the Growth Hub's privacy policies.

Consent

I consent to my personal data being shared with the Growth Hub.

Yes

No

Purpose 5 – Marketing

We value your interest in the University and would like to keep in touch with you. We would like to use your personal details for the purpose of sending you marketing materials such as invitations to future events, information about other relevant opportunities, newsletters and magazines by post and email.

Legal basis for processing your information for Purpose 5

We will process your personal data in the case of communication by email for this purpose on the basis of your consent. You have the right to opt out of this type of processing at any time. We will not contact you for this purpose if you are registered with the Telephone Preference Service ("TPS") unless you tell us that we can.

Consent

I consent to my personal data, including my personal email address, being processed so the University can contact me to share news and invite me to events. I understand that I may opt out of receiving these communications at any time.

Yes please, keep me up to date by email

Yes please, keep me up to date by text

No thanks, please do not contact me by post

No thanks, please do not contact me by telephone

Purpose 6 – Security

Your safety and security is very important to the University. We will therefore process your personal data, including images captured by CCTV, to ensure the safety and security of you and your possessions, and to secure the University's campus. In certain circumstances we may also use body-worn video cameras. The use of CCTV on our premises is governed by Aston University's CCTV Code of Practice.

Legal basis for processing your information for Purpose 6

The processing of your personal data is necessary on the grounds of our legitimate interest (GDPR Article 6(1)(f)).

Purpose 7 – Applicable Laws

The University is under an obligation to comply with applicable laws which includes health and safety law, the prevention of fraud and bribery and compliance with counter-terrorism legislation. The University will process your data to ensure that it complies with the relevant legislation.

Legal basis for processing your information for Purpose 7

The processing of your personal data for Purpose 8 is necessary on the grounds of the University fulfilling its legal obligations (GDPR Article 6(1)(c)). The processing of Sensitive Categories of Data is necessary on the grounds of the University fulfilling its legal obligations (GDPR Article 6(1)(c)) and complying with laws which are in the public interest (GDPR Article 9(2)(g)).

10 APPLICATION CHECKLIST

- | Yes | No | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | The business has an operational base in one or more of the following LEP Regions:
Coventry and Warwickshire, Greater Birmingham and Solihull |
| <input type="checkbox"/> | <input type="checkbox"/> | I am committed to growing the business significantly over the next few years |
| <input type="checkbox"/> | <input type="checkbox"/> | I am willing to commit to attending all of the workshops myself in order to complete the programme |
| <input type="checkbox"/> | <input type="checkbox"/> | I am the most senior decision-maker in the business |
| <input type="checkbox"/> | <input type="checkbox"/> | The business serves as my primary occupation |
| <input type="checkbox"/> | <input type="checkbox"/> | The business is currently trading (evidence can be provided) and has been trading for at least 12 months |
| <input type="checkbox"/> | <input type="checkbox"/> | I have completed all sections of the application form including SME declaration, De Minimis declaration, Undertaking in difficulty declaration and the privacy notice |
| <input type="checkbox"/> | <input type="checkbox"/> | I am willing to attend an interview if I am shortlisted to participate |
| <input type="checkbox"/> | <input type="checkbox"/> | If I am selected to participate, I am willing to complete evaluation and impact surveys during and after the programme and provide evidence of jobs created as a result of completing the programme. |
| <input type="checkbox"/> | <input type="checkbox"/> | If I am not selected to participate, I am willing to be contacted about taking part in future evaluations and impact surveys as part of a counterfactual group. |
| <input type="checkbox"/> | <input type="checkbox"/> | If short listed for interview, I agree to provide audited financial accounts and current management accounts |

10.2 Please use this space for any other information relevant to your application that you would like to provide. (Max. 2,500 characters)

11 AGREEMENT

I confirm that I am authorised to sign on behalf of the business applying to take part in the Aston Programme for Small Business Growth.

I confirm that all information contained within this document is true to the best of my knowledge.

I confirm that I wish to receive assistance through the Aston Programme for Small Business Growth and understand that this support is part funded by the European Regional Development Fund.

Please tick here to confirm

Signature

Date



ASTON PROGRAMME FOR SMALL BUSINES GROWTH MONITORING FORM

The European Union, which is part funding this Programme, requires evidence that the Programme activities are open to all. The information requested is provided on a confidential basis and will not be used as part of the shortlisting process. It will only be revealed in aggregate form. The exception to this is in relation to programme auditors and the funding body management who will be able to view all the programme administration records.

Gender: Male Female Prefer not to say

Date of Birth: _____ Prefer not to say

Nationality: _____ Prefer not to say

Age

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

How would you describe your ethnic origin?

White Mixed Asian Black Other Prefer not to say

DISABILITY IS DEFINED BY THE DISABILITY DISCRIMINATION ACT AS "A PHYSICAL OR MENTAL IMPAIRMENT, WHICH HAS A SUBSTANTIAL AND LONG-TERM ADVERSE EFFECT ON A PERSON'S ABILITY TO CARRY OUT NORMAL DAY-TO-DAY ACTIVITIES. THE DISABILITY COULD BE PHYSICAL, SENSORY OR MENTAL AND MUST BE EXPECTED TO LAST AT LEAST 12 MONTHS.

Are you a disabled person as defined by the disability discrimination Act?

Yes No Prefer not to say