

GUIDANCE FOR APPLICANTS

CCS Innovation Programme £20 million Competition

21 March 2012

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Guidance for Applicants

DECC CCS Innovation Programme £20 million Competition

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Amendments 31 May 2012

Page 11 – Timeline Summary

Page 14 – Budget Availability paragraph (date)

Page 34 – New table, replaces table in version 1.1

Amendments 15 June 2012

Page 12 – Addition of point 8 to table

Page 15 – Funding Levels and State Aid: FECs for academic and research organisations

Page 33 – Finance Documents, section 8.1 Requirements: footnote 5 – FECs for academic and research organisations

Page 34 – Addition of Appendix E reference to table

Page 36 – Section 8.3 Academic Collaborators finance Submission: footnote 7 - FECs for academic and research organisations

Page 38 – Section 9 Appendices requirements – footnote 8, addition of Appendix E for costs estimates across the financial years of the project.

Part One

Executive Summary

1. Background Information

1.1 Context – UK Government’s CCS R&D Programme

Carbon Capture and Storage (CCS) is a key technology, alongside renewable and nuclear energy, which could help ensure the UK has secure, low-carbon and affordable energy in the years to come; and will play a key role in tackling CO₂ emissions from industrial processes.

Between 2011 and 2015, the UK Government and its partners¹ anticipate investing over £125m in research, development and innovation relating to CCS:

- Fundamental research and increased understanding [c£40m]
- Component development and innovation [c£30m]
- Pilot scale testing and projects [c£55m]

DECC’s CCS Innovation Programme - £20m Competition, is part of this wider £125m Programme, and complements the Government’s major CCS Commercialisation Programme and competition which will be launched shortly and to which the Government has committed up to £1bn capital funding.

1.2 DECC Innovation Programme – £20m Competition: Overview

DECC will be running a Competition commencing in March 2012 to support innovation in the area of Carbon Capture and Storage.

DECC has provisionally allocated up to £20m capital budget to this first call. No further calls are currently planned by DECC, though further similar calls are expected from other Government R&D partners, including the Energy Technologies Institute (ETI) which will shortly launch a c£5m call focussed on developing monitoring, measurement and verification (MMV) technologies.

Aims and objectives

The overarching aim of the Government’s CCS programme, and of this Call, is to reduce the cost of CCS so that it can be commercially deployed by the 2020s.

The primary objectives of this call are:

- a. To successfully demonstrate, up to a scale of c10MW, component CCS technologies which could be subsequently incorporated into the supply chain of original equipment manufacturers (OEMs) and developers of commercial scale CCS projects.
- b. To provide support to tackle the new challenges and innovation required to design and build components that - in terms of scale and/or complexity - go beyond current understanding and experience.
- c. To generate learning and practical experience which can improve confidence in innovative CCS components and technologies and so help reduce future costs.

¹ The Research Councils, the Technology Strategy Board (TSB), Energy Technologies Institute (ETI)

- d. To ensure innovation support for CCS complements the existing research, development and deployment (RD&D) programmes being conducted in the UK.

Call Scope

This single-stage competition includes two strands. **Strand 1** will fund a handful of feasibility studies looking to use the captured CO₂ from the Ferrybridge CCPilot100+ and Aberthaw capture pilots (further information below). **Strand 2** focuses on the development and demonstration, up to a scale of c10MWe, of CCS components, systems and technologies which could be subsequently incorporated into the supply chain of original equipment manufacturers (OEMs) and developers of commercial scale CCS projects.

For both strands, the competition will support innovative technologies associated with CCS for large single-point emitters of CO₂, such as fossil-fuelled power plants, and energy-intensive industries. The challenge is to reduce the cost of CCS by developing more efficient, lower cost technologies, components and systems; and to develop understanding which reduces uncertainty and risk (and therefore leads to cost reduction) for any aspect of the CCS process.

All proposals must explain how, and by how much, the work is estimated to lead to CCS cost reduction.

Funding Allocation and Project Details

Strand 1 – Feasibility studies

DECC is keen to explore whether captured CO₂ from existing projects such as the Aberthaw and Ferrybridge CCPilot100+ capture pilots, could be cost effectively used for other R&D and innovation purposes. Examples may include, but not be limited to:

- Looking at whether the vented CO₂ could be cost effectively used to a) test transport components and systems, or b) test storage sites offshore
- Studies looking to use the CO₂ to develop and test innovative carbon utilisation products – for example proposals which will use CO₂ in building products (mineralisation); chemicals; biofuel production (through algae)

We expect to fund only a handful of projects, which will only be considered if they represent a cost effective way of using the otherwise vented CO₂ from the existing capture projects. The Technology Strategy Board's 2011 competition funded a broad range of innovative carbon abatement feasibility studies, and therefore we are not looking to repeat this.

We will invest up to £500k in feasibility studies. Individual projects can attract public sector funding of between 40%-75% of eligible costs, up to a maximum of £100k, with an expectation that total costs will not exceed ~£150k for each project. Studies will:

- usually last six months, with the maximum duration being 12 months
- be industry led, and comprise of at least two organisations

Universities and research organisations are eligible to apply, but cannot lead a consortium. Projects will need to discuss any proposals with the host site, and have their support at the stage of application.

Strand 2 – Component development and demonstration

We will invest up to £20 million in Innovation and RD&D projects which must include significant elements of the demonstration of systems, subsystems or components in real or closely simulated operating environments. Individual projects will typically attract public funding of between 25%-45% of eligible costs. Typical grant levels of £0.5m-5m, leading to indicative total project sizes of approximately £1m-10m. Larger projects (i.e. >£10m or >10MWe) will be considered on their merits and against available funding. Examples of projects could include the development and demonstration of:

- new CO₂ capture solvents and testing at post-lab scale
- CO₂ capture technologies:
 - pre and post-combustion capture and oxy fuel firing
 - including application to CO₂ emitted from power generation or industrial processes
- all aspects of biomass CCS
- flexible CCS systems
- new materials for use in the CCS chain (e.g. materials for use within the capture system, or for use in pipelines carrying supercritical CO₂)
- metering technologies
- monitoring, measurement and verification technologies
- leakage remediation technologies
- injection technology
- offshore storage sites

International collaborations

DECC is exploring opportunities for collaborative innovation projects with other Governments. For exceptional projects, DECC may consider funding such international collaborations, with a preference for the majority of the activities to take place in the UK.

Key documents

There are three key documents for the Competition. All documents are available for download from the Competition website

http://www.decc.gov.uk/en/content/cms/emissions/ccs/innovation/inn_comp/inn_comp.aspx:

- **Competition flyer** – provides the technical summary, background, challenge, scope, research area, key events and dates.
- **Guidance for Applicants** – [this document] provides details of the Competition process and timelines, application requirements, funding rules, funding levels, conditions and finance criteria.
- **Application form** – the template you must use when submitting proposals.

Please note that whilst the competition process is similar to those run by the Technology Strategy Board, there are significant differences; therefore if you have previously entered into a Technology Strategy Board Competition, please do not assume the process and details are the same.

Nothing in this grant Call requires DECC to award any applicant a grant, or to award a grant of any particular amount on any particular terms. DECC reserves the right not to award any grants in particular if DECC is not satisfied by the bids received or if the funding assigned to this grant is required for other, unforeseen, purposes. DECC will not, in any circumstances, make any contribution to the costs of bids and applicants accept the risk that they may not be awarded a grant.

Part Two

Competition Information

2. Competition Outline

2.1 Introduction

This guidance document refers only to the “**DECC CCS Innovation Programme – £20m Competition**”.

The Competition for funding will comprise of **single** stage process for both Strands:

- **Strand 1** Feasibility Studies (up to £0.5m)
- **Strand 2** Component development and demonstration (up to £20m)

If you require further assistance or information on the documents, please contact:

E-mail: ccs.innovation@decc.gsi.gov.uk Tel: 0300 068 6123

2.2 Timeline of the application process

The deadlines below are absolute and apply to both Strands of the Competition. Applications received after the deadlines stated will be rejected.

Timeline Summary	
Competition announced	13 March 2012
Competition Guidance Notes and Application Form released	21 March 2012
Briefing day (10am – 12.30pm, central London)	26 March 2012 30 March 2012
Competition opens for applications	30 April 2012
Final date for registration	22 June 2012 (noon)
Submission of the Full Application (electronic)	29 June 2012 (noon)
Submission of the Full Application (signed hardcopy)	2 July 2012 (5PM)
Decision to applicants	31 August 2012

Important Note:

All deadlines stated throughout this document are absolute and on that basis, you are strongly advised not to leave your submission to the last minute. If any technical difficulties arise or if you identify any errors in your submission, there will be no extension to the Competition deadline nor will DECC be able to enter into any discussion regarding this. It remains your responsibility to ensure you proceed within the Competition rules and in doing so, allow sufficient time to complete all Competition requirements.

2.3 Application process

Registration

To enter into this Competition you will be required to register by sending an e-mail to the Competition e-mail address (ccs.innovation@decc.gsi.gov.uk) by 22 June 2012.

Single stage Application (Strand 1 &2)

A single stage application comprises of the following documents:

- Application Form
- Appendices (**for Strand 2 only**) (see Section 9 of this document for requirements)
- Industry Partner Finance Form (for every industry partner)
- Academic Partner Finance Form (for every academic partner – if any)

The Single Stage Application Form has the following structure:

Page	Information Required	Space Available
1	Application Details	1 A4 Page
2	Abstract of Proposed Project	1/3 rd A4 Page
3	Section 1 – Cost reduction potential	2 A4 Pages
4	Section 2 – Likelihood of successful project delivery	2 A4 Pages
5	Section 3 – Funding and Added Value	1 A4 Page
5	Section 4 – Likelihood of subsequent commercial availability	1 A4 Page
6	Section 5 – Contribution to the expansion of the CCS industry	½ A4 Page
6	Public description of the project	1/3 rd A4 page
6	Other Funding From Public Sector Bodies	1/3 rd A4 Page
7	Finance Summary Table	1 A4 Page
8	Partner Costs Breakdown Form (Industry Partner Finance Form) <i>Template provided on competition webpage</i> JeS pdf if applicable (academic institutions only)	Separate Excel Spreadsheet

Briefing

There will be a Briefing event for this Competition on: **26 March 2012 and 30 March 2012, in central London**. You are **strongly advised** to attend, as key aspects of the Competition criteria, application process and entry requirements will be presented and discussed during the session.

To book a place on this event, send an e-mail to ccs.innovation@decc.gsi.gov.uk.

We strongly encourage early registration to avoid disappointment as bookings (which are free of charge) will be dealt with on a first come, first served basis.

If you are unable to attend the Briefing, all presentation slides will be made available via the Competition Website within two working days of the event occurring. We would encourage all potential applicants to review the presentations slides and use them as an additional guidance for your entry into the Competition ***but not in place of the Guidance for Applicants***.

Decision

The application forms submitted will then be assessed by an independent panel with the highest ranking applications recommended to DECC for funding. You will be informed of the outcome of your application on the date stated in the timeline.

3. Funding

3.1 Budget & Levels of project funding available

Budget

DECC has allocated up to £20m in total for this call (up to £0.5m for Strand 1; and up to £20m for Strand 2) – though DECC may choose to allocate less than or more than £20m depending on the quality of applications.

The majority of funding available is capital funding, and as such the majority of funding may only be spent on expenses consistent with that definition.

Budget availability

Funding under this Call is only available until 31 March 2015². Whilst projects may continue past this date (for up to one year), all grant supported expenditure must be incurred by 31 March 2015².

Whilst projects may incur cost throughout this period, DECC may choose to prioritise projects with significant planned spend in financial year 2012/13. As a guide only, the indicative budget profile for all grant payments under this Call is: £10m FY12/13, £9m FY 13/14, £1m FY14/15.

Strand 1 Feasibility Studies

Overall project funding is dependent on the research category(s) undertaken, and type and size of organisation.

- We anticipate that most of the funding will be allocated to proposals in the category of Industrial or Experimental Research attracting between 40-75% public funding.
- We expect to invest up to £100k for each project, with an expectation that total costs will not exceed ~£150k for each project.

Strand 2 Component development and demonstration

Overall project funding is dependent on the research category(s) undertaken, and type and size of organisation.

- We anticipate that most of the funding will be allocated to proposals in the category of Industrial Research and Experimental Development and projects must include a significant element of demonstration. Projects will therefore typically attract between 25-45% public funding.
- We expect to invest between £0.5m and £5m for each project, representing typical total project costs of between £1m-10m. Larger projects will be considered on their merit.

² Amended on 31 May 2012 from "2014".

Funding levels and EU State Aid

Funding levels (in terms of the maximum funding available from public bodies and the percentage of eligible costs covered by the funding (funding intensity)) must not exceed the limits as set out by EU state aid legislation. These are summarised as follows:

	Feasibility study relating to industrial research	Industrial research		Feasibility study relating to experimental research	Experimental research	
		Single Organisation	"Bonus" points for e.g. collaborative projects		Single Organisation	"Bonus" points for e.g. collaborative projects
Large organisation	65%	50%	65%	40%	25%	40%
Medium organisation	75%	60%	75%	50%	35%	40%
Small organisation	75%	70%	80%	50%	45%	60%
Academic/research organisation³	100%	100%	100%	100%	100%	100%

This competition is run, and grants will be awarded, under Articles 31 and 32 of the EU General Block Exemption Regulation⁴ (GBER). The above table is for guidance only, and applicants are strongly urged to familiarise themselves with the GBER which can be found at:

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2008:214:0003:0047:EN:PDF>

Applicants should note, however, that whilst these are the maximum allowable funding intensities, since DECC is seeking to maximise the impact of government funding, projects looking for public funding intensities lower than the applicable maximum will be marked higher in the appraisal process.

You are responsible for making sure that you submit to DECC the correct information that allows DECC to award grants in compliance with the GBER. The following are examples of what can affect the allowable grant funding for a project:

- research category (for example fundamental, industrial, experimental)
- organisation type (for example public sector body)
- organisation size (small, medium or large by the definition in the GBER)
- variations in eligible costs claimed by each participant.

³ Updated 15 June 2012. Please note DECC will pay 100% of Full Economic Costs (FEC) to academic and research organisations, not 80% as previously published

⁴ Commission Regulation (EC) No 800/2008 of 6 August 2008 declaring certain categories of aid compatible with the common market in application of Articles 87 and 88 of the Treaty (General block exemption Regulation) (OJ L 214, 09.08.2008, p 3).

Please note that the grant offer letter will be subject to the requirements of GBER and to EU law relating to state aid. It will contain a provision reflecting the right of DECC, the European Commission or a court to require you to repay the grant, together with interest, in the case of a breach of the GBER or EU law relating to state aid (in addition to DECC's and the courts' right to require repayment on other reasonable grounds). The Collaboration Agreement should make provision for this possibility.

Important Funding Criteria

Consortiums may involve business and academia but must be **business led**.

Any one participant can bear **up to a maximum** of 70% of the eligible costs of a collaboration project. The remaining 30% may be split between several participants.

No individual project participant is able to draw down zero grant - each participant in the project must draw down at least 10% of **their** total eligible costs as grant. *There may be occasional exceptions to this rule where a public sector or non-UK organisation wishes to participate as a partner.*

3.2 Projects that span more than one category of research

It is noted that proposals in this Competition might represent more than one category of research. For example, in Strand 2 projects could include a range of Industrial Research and Experimental Development (see Paragraph 1.2 of this document for a broader definition of these research areas). You should identify which work packages in the project fit within each category of research and seek a grant commensurate with the aggregated work packages.

Key Tips

You should then:

- Identify the main category, e.g. Industrial Research, i.e. the category with the highest percentage of total project costs
- Calculate the appropriate level of applicable funding for the total project. e.g. if 80% of a project is Industrial Research and 20% Fundamental Research, as defined by work package costs, the total eligible level of funding is 55% of total eligible project costs (80% @ 50% = 40%, and 20% @ 75% = 15%)

The Assessors will judge whether work packages are correctly assigned across the research categories. If the Assessors judge that they are not correctly assigned, DECC will adjust the grant percentage accordingly.

3.3 Eligibility for funding

To be eligible for funding, the project must:

- Address the specific requirements of the Competition as outlined in the scope of the Competition flyer available from the competition website at:
http://www.decc.gov.uk/en/content/cms/emissions/ccs/innovation/inn_comp/inn_comp.aspx
- Address the submission requirements as noted in Part 3 of this document;
- In principle, the project should be substantially be located in Great Britain;
- All projects must be business led;
- Strand 1 Feasibility studies must be collaborative;
- Strand 2 Projects will be accepted from single organisations; but a strong preference for collaborations involving partners from the supply chain and an OEM or end user;
- Be industry focused and present a clear case for how the proposed project will to lead to cost reductions in CCS technologies.

4. Assessment

4.1 Assessor Engagement

DECC's funding process is a competitive application process, undertaken in a transparent way.

Independent Assessors will be appointed by DECC for this Competition. All Assessors are required to sign confidentiality agreements and to declare any potential conflicts of interest. They are required to treat applications in the strictest of confidence and to apply due Information Protection rules.

Assessors are engaged as individuals, not as representatives of their employment. They are required to carry out an assessment of the proposals themselves and not to ask anyone else to review an application in their place nor to ask anyone to give another opinion of their assessment. All Assessors are required to attend briefings conducted by DECC or the Technology Strategy Board in order to be qualified to undertake assessments according to DECC's requirements.

4.2 The Assessment Process

A standard assessment process applies to all applications:

- Applications are forwarded to Assessors after the closing date for submission.
- Each application is assessed by up to three Assessors.
- Each application is assessed against the same set criteria.
- Each Assessor is required to complete and submit a score-sheet with comments for each application they are assigned to assess.
- A report is compiled to identify ranked order of all applications.
- An assessment panel is convened to discuss any applications that require clarification around scope, quality, feasibility or fundability. The assessment panel recommends a ranked list of applications to be funded by DECC.
- The final recommended panel list is presented to DECC to obtain final approval for funding. NB Whilst DECC engages Assessors to act on its behalf, it retains the right of decision over scope and to decide whether a proposal is in or out of scope absolutely, with respect to providing funding.
- All applications will be assessed separately. However, we reserve the right to apply a "portfolio" approach to ensure the distribution of funds across areas, subject to meeting the required quality threshold.
- The comments provided by the Assessors noted on the score sheets forms the official feedback provided to you.

5. Notification and Post Notification Process

5.1 Notification

Following completion of the assessment of the applications, the Lead Applicant will be informed by email whether your application has been successful. It is the responsibility of the Lead Applicant to communicate this to all members of the consortium.

DECC intends to publicise the results of Competition calls and this activity will include engagement with the media. Any consortium that wishes to publicise their project, at any stage, must contact DECC before doing so.

5.2 Feedback

Feedback will be made available to successful and unsuccessful applicants, approximately 4 weeks from the date of notification. This will be provided to the lead partner via e-mail and it is the responsibility of the lead partner and the consortium participants to communicate with each other to share the outcome of the decision. No additional feedback will be provided and there will be no further discussion on the application.

5.3 Conditional Grant Offer Letter

If the application is successful, you will be sent a Conditional Grant Offer Letter. You will be asked to accept (or decline) the Conditional Grant Offer Letter and return all required documentation within the time specified in the letter.

The following documents will be requested in the Conditional Offer Letter:

- Collaboration Agreement duly signed by all Participants (if the proposal involves more than one organisation).
- An initial **Financial Forecast** for each Participant showing the anticipated spend of the Project broken down by Quarters throughout the life of the Project.
- A letter on the Participant's headed paper confirming their **BACS details** for payment purposes.
- A detailed Project Plan (the "**Second Level Plan**") breaking down the original proposal for delivery of the Project into individual packages.
- A **milestone register** showing key milestones with an assessment of cost to each milestone.
- An **Exploitation Plan** for the Project, containing further information, including the market and business opportunities, from that provided in the original application, setting out how the Participants will exploit the results of the Project to increase the economic growth of the UK and/or EEA.

The project will not be able to start until all documents are received and satisfactory, and the project cost review and participant financial viability checks undertaken by DECC have been completed. If the lead partner and project participants do not respond by the deadlines stated in the Conditional Offer Letter, the conditional offer will be withdrawn and funding will not be provided.

Upon completion of these checks and receipt of the requisite documents, DECC will send you a “Grant Confirmation Letter”. You should enter your project start and end dates, accept the grant offer by signing the letter and return it to DECC.

Important Note

The Collaboration Agreement should be the only agreement (in addition to the Conditional Grant Offer Letter) between the project participants and it should incorporate the operation and exploitation of the outcomes of the project. The Collaboration Agreement can take some time to reach agreement within the Consortium participants, especially considering involvement of the participants’ legal and finance departments. For further guidance on these agreements applicants are advised to familiarise themselves with the information provided in the Lambert Agreement on the Technology Strategy Board’s website at: <http://www.innovation.gov.uk/lambertagreements>.

5.4 Project Cost Reviews and Participant Financial Viability Checks

Once you have been sent a Conditional Grant Offer Letter, the lead partner and/or the other participants in the consortium may be contacted by DECC for further detail and clarification of the financial aspects of the application, e.g. the eligibility of project costs. This review is to ensure that your project costs comply with the rules for the Competition and the requirements of State Aid. It is important that the lead partner responds quickly to any requests for additional information, as the project will not be able to start until this review has been completed satisfactorily by DECC.

In addition, DECC will undertake financial viability checks on all industry partners. These are based on the latest independently audited accounts filed on the Companies House database, but we may ask for additional financial information if a participant has not filed accounts recently.

The purpose of the financial viability check is to:

- a. Assist in understanding if the organisation is likely to be able to bear the cost of the additional research proposed over an extended period of time since grant payments are made in arrears of actual costs incurred and paid;
- b. To establish the organisation’s ability to meet its current obligations, whilst at the same time participate in the collaborative research project;
- c. To establish the organisation’s balance between “internal” long term funding and “external” funding;
- d. To establish the project’s impact on the organisation’s normal trading.

If an organisation fails one or more of the financial viability test criteria, or if specific funding ratios cannot be worked out because of limited information or abbreviated accounts, or if you are not required to file accounts with Companies House, then additional information may be requested directly from you. This may be one or more of the following:

- A set of management accounts;
- Summary trading forecasts and a quarterly cash-flow forecast for the total period of the project’s planned duration;
- Details of bank overdraft facility, bank loan or funding from other sources.

5.5 Claims, Defrayment and Auditing

Claims can only be made for eligible costs **incurred AND defrayed (paid)** between the project start and end dates. Any costs incurred or paid outside the project dates are ineligible.

Depending on the size of grant awarded, claims will be subject to an independent audit to confirm that the costs claimed are in line with the grant agreement and eligibility criteria. The audit requirement will be stated in the Conditional Grant Offer Letter for each participant.

All grants are claimable quarterly in arrears and will only be paid once the necessary reporting and audits have been completed. Claims are paid directly to each participant. It is important that you plan your cash flow requirements to ensure you can accommodate the funding required for the project.

6. Further Information

For further information on DECC and the Competition, please refer to the following:

Competition Website:

http://www.decc.gov.uk/en/content/cms/emissions/ccs/innovation/inn_comp/inn_comp.aspx

Competition Helpline:

All enquiries regarding the Competition can be submitted as follows:

E-mail: ccs.innovation@decc.gsi.gov.uk

Tel: 0300 068 6123

Part Three

Forms & Submission Requirements

7. Completion of the Application Form

This section will guide you through the completion and requirements of the Application Form.

The Application Form is structured as follows:

- Application Details
- Abstract of Proposed Project
- **Section 1 – Cost Reduction Potential**
- **Section 2 – Likelihood of Successful Project**
- **Section 3 – Funding and Added Value**
- **Section 4 – Likelihood of Subsequent commercial availability**
- **Section 5 – Contribution to the Expansion of the CCS Industry**
- Public Description of the Project
- Other Funding From Public Sector Bodies
- Finance Summary Table

Sections 1 to 5, highlighted above, address specific questions. These are listed in the following tables with guidance notes. When you submit your application form, it will be assessed according to its ability to meet these requirements. Each question will be scored by the Assessors, and each section weighted as set out in the tables.

It is important that you address and respond to each question clearly. To assist and guide you through the questions, the guidance below provides an explanation of what is required of each question. The guidance notes are not intended to be exhaustive; you are expected to develop your own responses based on your own skills, knowledge and experience.

When completing the Application Form it is important to take into account that the space provided is to enable you to provide the specific amount of information for each question as you feel appropriate for the application.

You are encouraged, therefore, to utilise fully all available space and any appendices at your disposal.

Please note the following process requirements for the application form

You may only use the Application Form provided.

The Application Form contains specific fields and it is important that you complete each field and present a fully completed form. Incomplete Forms risk being rejected.

The Application Form must not be altered, converted or saved as a different version of Microsoft Word.

Application Forms should be completed in Arial font, size 12.

Any illustrations or graphics should be added to annexes, rather than the main body of the application.

Please check your completed application form in PRINT VIEW: any text that can't be seen in this view or when the form is printed will not be assessed.

Application Details

Field	Guidance
Project title	Enter the full title of the project.
Project timescales	Enter the estimated start date and its planned duration.
Lead organisation name	Enter the full registered name of the lead organisation for the project and the company number (as provided by Companies House). The lead organisation will be the main point of contact between DECC and the project consortium.
Lead organisation contact details	Enter the full name, postcode, e-mail address and telephone number of the main point of contact between DECC and the consortium.
Individual organisation or collaboration	Please indicate whether the application is on behalf of a single company (which would be the lead organisation as above), or on behalf of a consortium
Consortium details	If the application is on behalf of a consortium, please enter the registered name of all organisations additional to the lead organisation
Appendices	The specific requirements for Appendices are provided in Section 9 of this document.

Abstract of Proposed Project (Not Scored)

Question	Guidance
Please provide a short summary of the content and objectives of the project including what is innovative about it.	<p>This is an opportunity to provide a short summary of the key objectives and focus areas of the project. It is important that this summary is presented in reference to the main outline of the project, with sufficient information to provide a clear understanding of the overall vision of the project and its innovative nature.</p> <p><i>This abstract is not marked, but provides a summary of your proposal for the benefit of the Assessors</i></p>

Section 1: Cost reduction potential (30% weighting)	
Question	Guidance
1. What is the cost reduction potential of the proposal?	<p>You should outline how, and by how much, the proposal will reduce the costs of CCS. In addition to the process and product improvements, cost reduction can result from other activities and be interpreted in its widest sense, for example:</p> <ul style="list-style-type: none"> • Cost reduction as a result of increased confidence • Cost reduction as a result of increased performance • Cost reduction as a result of reduced risk premium <p>You should attempt to provide a quantitative analysis of the potential cost reduction for both the specific component / system; and how this cost reduction could translate into cost reduction within the full CCS chain. For example if the costs of a specific component could be reduced by 30%, this in turn would lead to a cost reduction of 2% for a typical CCS chain.</p> <p>You should also state any assumptions you are making; and when the cost reduction is likely to be achieved (for example, in three years or five years?).</p>
2. What is the business opportunity that this project addresses?	<p>You should outline the business opportunity and what the consortium needs to do to successfully address it within the desired timeframe and cost.</p> <p>You should describe the nature of the problems or issues facing you and/or your potential customers and how the intended outputs of the project will address these problems and issues.</p>
3. Does the proposal focus on a key UK innovation need?	<p>Using the finding of the draft CCS Technology Innovation Needs Assessment (TINA) and the Technology Matrix produced by the APGTF (found here: http://www.apgtf-uk.com/index.php?option=com_docman&task=doc_download&gid=18&Itemid=137) the Assessors will determine how well the proposal meets UK CCS innovation needs.</p>
4. How will the results of the project be adopted and disseminated?	<p>You should outline how you intend to disseminate any learning and knowledge from the project.</p>
5. What technical approach will be adopted?	<p>You should provide an overview of the technical approach including the main objectives of the work. Describe the main areas of work.</p> <p>In evaluating this the Assessors will consider:</p> <ul style="list-style-type: none"> • Is the technical and methodological approach appropriate to the needs of the project and are the innovative steps achievable through the proposed approach? <p>You should describe rival technologies and alternative R&D strategies and describe why your proposed approach will offer a better outcome.</p>

Section 1: Cost reduction potential (30% weighting)

Question	Guidance
<p>6. What is innovative about this project?</p>	<p>You should identify the extent to which the project is innovative both commercially and technically.</p> <p>In evaluating this section Assessors will consider:</p> <ul style="list-style-type: none"> • Does it push boundaries over and beyond current leading-edge world science and technology? • Is it looking to apply existing technologies in new areas? <p>The timeliness and novelty of the research aspects of the project should be highlighted and explained in an industrial and/or academic context.</p> <p>You should describe the evidence you have to substantiate your belief that the intended work is innovative. This could include the results of patent searches, competitor analyses, literature surveys etc. If applicable, you also should briefly outline your own background IPR, as related to the project.</p>

Section 2: Likelihood of successful project delivery (30% weighting)	
Question	Guidance
<p>7. How will the project be managed?</p>	<p>You should show how the project will be managed.</p> <p>In evaluating this the Assessors will consider:</p> <ul style="list-style-type: none"> • Is the project plan sufficient in comparison to the complexity of the project? For example, is there sufficient detail to understand the tasks involved and the resources required? • Is the timing of key milestones realistic? • Have you demonstrated sufficient resource commitment and capability to undertake the project? • Are clear management reporting lines identified?
<p>8. What are the risks (technical, commercial and environmental) to project success? What is the project's risk management strategy?</p>	<p>DECC recognises that projects of this type are inherently risky, but seeks assurance that the projects it funds have adequate arrangements for managing this risk. You should focus on the arrangements for managing and mitigating risk as follows:</p> <ul style="list-style-type: none"> • Identify the key risks and uncertainties of the project and provide a detailed risk analysis for the project content and approach, including the technical, commercial, managerial and environmental risks as well as other uncertainties (e.g. ethical issues) associated with the project. The main risks should then be rated as High/Medium/Low (H/M/L); • State how the project would mitigate these key risks. You should address all significant and relevant risks and their mitigation; • Identify key project management tools and mechanisms that will be implemented to provide confidence that sufficient control will be in place to minimise operational risk and, therefore, promote successful project delivery. This should include the arrangements for managing the consortium.
<p>9. Does/do the applicant(s) have the right skills and experience and access to facilities to deliver the identified benefits?</p>	<p>You should detail the track record of the consortium members in undertaking and exploiting the results of research and development projects, to show your capability to develop and exploit the technology.</p> <p>In evaluating this, the Assessors will consider whether:</p> <ul style="list-style-type: none"> • The consortium members have the right available mix of skills and experience to deliver the project successfully; • The consortium's formation objectives are clear and would it have been formed without DECC investment; • Extra benefit demonstrated from the collaboration, for example, increased knowledge transfer; • The consortium is greater than the sum of its parts.

Section 3: Funding and Added Value (15% weighting)

Question	Guidance
<p>10. What is the financial commitment required for the project?</p>	<p>You should indicate the anticipated project cost making clear the level of contribution from consortium participants and the level of funding required from DECC.</p> <p>This should be provided within the financial summary table in the Application Form, with supporting information and explanation provided in this section of the Form.</p> <p>Important: If the project spans more than one type of funding (e.g. Fundamental and Industrial Research), you must describe and justify the breakdown of costs between them within the answer to this question.</p> <p>In evaluating this the Assessors will consider the following questions:</p> <ul style="list-style-type: none"> • Is the budget realistic for the scale and complexity of the project? • Does the financial support required from DECC fit within the limits set by the specific Competition? • Is a financial commitment from other sources demonstrated for the balance of the project costs? • Have you provided a realistic budget breakdown? <p>Guidance on eligible and ineligible costs is provided in Section 8.3 of this document.</p> <p>Please ensure all key points relating to the finances of your project that you wish the Assessors to consider are included in the main body of your application form, or in the relevant appendix, as these are the key documents used within the assessment process.</p>
<p>11. How does financial support from DECC add value?</p>	<p>You will need to prove evidence:</p> <ul style="list-style-type: none"> • That success in the Competition will increase the total amount of money the consortium participants spend on Research & Development; • That the proposal requires public funding; • To what extent that this proposal is already or will be developed either in or outside the UK.
<p>12. If proposal involves both industrial and experimental research, does the proposal still have value if the parts are un-bundled?</p>	<p>Describe the necessity of including industrial research with experimental research / demonstration, and how their combination adds greater value together.</p>

Section 4: Likelihood of subsequent commercial availability and success of the innovation (15% weighting)

Question	Guidance
<p>13. What is the size of the potential market opportunity that this project might open up?</p>	<p>Whilst it is acknowledge that the CCS market is still in its infancy, you should describe the size of the potential market opportunities that this project might open up, including details of:</p> <ul style="list-style-type: none"> • Current nature of the specific market(s) at which the project is targeted (e.g. is it characterised by price competition amongst commoditised suppliers? Is it dominated by a single leading firm? Is the market limited to a specific part of the capture section of a CCS chain, etc.); • The dynamics of this market including quantifying its current size, actual and predicted growth rates; • The projected market share for the project outcome, with justification in the light of any potential competitors; • The potential to create value added for the UK and /or the European Economic Area (EEA). <p>You should describe and clearly quantify the return on investment that the project could achieve and provide relevant source data references.</p> <p>You should provide evidence for your statements about the addressable market for project outcomes and outline your strategy for developing market share.</p>
<p>14. Is the project proposed by a single organisation, or a consortium? If the latter, do members include an OEM, manufacturer or part of the supply chain?</p>	<p>You should provide details of the lead applicant, and any further consortium members. DECC has a preference for proposals from more than organisation, and for such a consortium to include an OEM and / or organisations from the supply chain. Higher scores will be allocated to such proposals.</p>

Section 5: Contribution to the expansion of the CCS industry (10% weighting)

Question	Guidance
15. Does the proposal enhance the CCS supply chain?	You should outline whether, and if so how, you intend to work with lower tier companies in your supply chain.
16. What is the likely impact of the proposal on direct and indirect jobs?	<p>You should outline:</p> <ul style="list-style-type: none"> the number of jobs to be created and/or retained by the project the number of jobs likely to be created and/or retained if the project is successful and the innovation is subsequently commercialised

Public Description of the Project (not scored) – this section only on Single Stage Applications

Question	Guidance
If your application is successful, DECC will publish the following brief description of your proposal. Provision of this description is mandatory but will not be assessed	<p>To comply with Government practice on openness and transparency of public-funded activities for projects in receipt of grant, DECC has to publish information relating to funded projects. Please provide a short description of your proposal in a way that will be comprehensible to the general public. Do not include any commercially confidential information, for example Intellectual Property or patent details, in this summary.</p> <p>Whilst this section is not assessed, provision of this public description is mandatory. Funding will not be provided to successful projects without this.</p>

8. Finance Documents

8.1 Requirements

It is a requirement that Applications are supported with the submission of a number of finance documents. Once completed, each of these forms should be collected and then submitted on-line by the lead partner by sending the documents with the completed Application to the Competition e-mail address.

Finance forms must be submitted for every partner in the consortium, irrespective of the sums requested or the scale of their involvement.

These should be submitted by the project lead and should consist of:

- Project Finance Summary Table (part of the application form)
- Industry Partner Finance Form (Partner Costs Breakdown - *To be added w/c 26 March* separate Excel spreadsheet)⁵
- Academic Partner Finance Form (one for every academic partner)

8.2 Completion of the Finance Form

- The lead partner should distribute this form to all industry partners for completion. The form is an Excel spreadsheet and must not be altered or converted in any way.
- Each industry partner completes their own form for their own costs. Each form should therefore not include the costs of any other partner within the project.
- Academic partners should submit their financial details using the Academic Partner Finance Form.
- Once completed, finance forms should be submitted for every partner with the application documents by the Competition deadline.

⁵ Updated 15 June 2012: A separate sheet does not need to be completed for each industry partner. Please list each industry partner on this form.

Form	Guidance
Application Form/ Partner Costs Breakdown Form	<p>Enter the information requested about the company and the project. It is particularly important that the name of the organisation is completed with the full legal name of the organisation as this is what will appear on the Grant Offer Letter if you are successful.</p> <p>If your organisation is part of another organisation it is important that the 'Ultimate holding organisation details' are noted fully and correctly in order to establish your organisation's funding size.</p>
Application Form: Other Public Funding	<p>You must provide details of other public funding that you are currently applying for or have already applied for, in relation to this particular project. Do not include grants that have been used to reach this point in the development process and are now completed. This data is important as other public sector support is counted as part of the grant you can receive for the project.</p>
Other Projects	<p>Provide the Competition Name and awarding organisation for all Competition projects your organisation has been involved with in the past AND any other applications you are making to this Competition and any others.</p> <p>You may add this information as an appendix.</p>
Project Costs Summary	<p>Provide an estimate of how the costs will be spent across the financial year(s) of the project. Please attach this as Annex E (see page 38).⁶</p> <p>Provide the amount of grant assistance sought from DECC. This figure should not include any amounts sought from other sources as detailed on the Other Public Funding worksheet.</p> <p>Note that the minimum grant that can be requested by an industry partner is 10% of their eligible costs.</p>
Partner Costs Breakdown/ Industry Partner Finance Form	<p>Please note the grey coloured fields on this form will be automatically populated as you enter information.</p>
Partner Costs Breakdown/ Academic Partner Finance Form	<p>Academic partners – please make sure you send DECC the pdf generated by the Je-S system.</p>

N.B. Above table amended on 31 May 2012. Replaces previous "Excel Worksheet" table in Guidance for Applicants published on 21 March 2012.

⁶ Updated 15 June 2012: To attach estimate of costs across financial year(s) of project

Finance Summary Table Completion Guidance																					
Column 1 Organisation name	Please provide the full names of the lead organisation and participants in the project consortium (organisation names as noted in Companies House).																				
Column 2 Company Registration Number	Please provide the Company Registration Number (as noted in Companies House).																				
Column 3 Enterprise Category	<p>Please select you Enterprise Category.</p> <table border="1"> <thead> <tr> <th>Enterprise category</th> <th>Headcount</th> <th>Turnover</th> <th>or</th> <th>Balance sheet total</th> </tr> </thead> <tbody> <tr> <td>medium-sized</td> <td>< 250</td> <td>• €50 million</td> <td></td> <td>• €43 million</td> </tr> <tr> <td>Small</td> <td>< 50</td> <td>• €10 million</td> <td></td> <td>• €10 million</td> </tr> <tr> <td>Micro</td> <td>< 10</td> <td>• €2 million</td> <td></td> <td>• €2 million</td> </tr> </tbody> </table>	Enterprise category	Headcount	Turnover	or	Balance sheet total	medium-sized	< 250	• €50 million		• €43 million	Small	< 50	• €10 million		• €10 million	Micro	< 10	• €2 million		• €2 million
Enterprise category	Headcount	Turnover	or	Balance sheet total																	
medium-sized	< 250	• €50 million		• €43 million																	
Small	< 50	• €10 million		• €10 million																	
Micro	< 10	• €2 million		• €2 million																	
Column 4 Postcode	Please provide the postcode of the lead organisation and each of the partners in the project. Please ensure this is the accurate and full post code of the organisations.																				
Column 5 Contribution to the project by each organisation (£)	Please list the total contribution to be made to the project by each organisation as appropriate.																				
Column 6 Funding sought from DECC	Please enter the funding sought from DECC for this Competition.																				
Column 7 Other funding from public sector bodies	Please include any funding for the project from public sector bodies for which you have applied separately, and not as part of this Competition. Funding from other Public Sector Bodies might include other applications to Research Councils, other Government departments.																				
Column 8 Total (£)	The total cost of the project – this is the sum of columns 5, 6 and 7 and will be entered automatically.																				
Bottom Row Total (£)	The total of each column will be entered automatically.																				

8.3 Academic Collaborators – Finance Submission

Every academic participant must complete and submit an on-line “Standard Proposal” via the Research Councils’ Joint electronic Submissions website (Je-S) by the deadline detailed in the timeline for this Competition. Failure to do so could result in the whole application becoming ineligible.

For the Je-S requirements see the Je-S website at <https://je-s.rcuk.ac.uk> . **Once Forms have been submitted via Je-S it is not possible to resubmit them.**

Academic collaborators must use the Je-S system, to calculate and submit their financial information, project costs are calculated on the basis of Full Economic Costs (FEC) as defined by the Research Councils. DECC funding for successful projects will be provided at **100%⁷** of Full Economic Costs (FEC), in line with Research Council Funding. Project costs should be calculated at year one levels without indexation.

All academic participants will need to provide a pdf copy of the Je-S submission output document, showing a status of ‘With Council’, to the lead partner so that they can complete the finance table in the Application Form, enter the data into the Academic Partner Finance Form and upload the pdf document with the application.

Organisations eligible to be considered as academic collaborators are:

- Universities and similar HEI organisations;
- Government Research Establishments;
- Not-for-Profit Research and Technology Organisations (RTOs).

Not-for-Profit RTOs are:

- RTOs that are, or that are constituent parts of, a charity registered with the Charities Commissions; or
- Associations that are eligible for exemption from corporation tax under section 508 of the Income and Corporation Taxes Act 1988; or
- RTOs that are wholly owned subsidiaries of an association approved under section 508 of the Income and Corporation Taxes Act whose articles of association require that all profits are returned (gift-aided) to the section 508 association.

⁷ Updated 15 June 2012. Please note DECC will pay 100% of Full Economic Costs (FEC) to academic and research organisations, not 80% as previously published. We have removed the paragraph relating to this.

9. Appendices

Appendices Requirements

You should submit Appendices with the Application Form. It is important to note that these are intended to contain supporting information and not duplicate substantive elements of the Application Form criteria answers. Therefore please do not use the Appendices as an overflow to the Application Form.

So that Assessors are able to open and read the Appendices, each Appendix must:

- Conform to the maximum length specifications listed below;
- Be submitted in one of the following formats: MS-Word (.doc), MS-Excel (.xls), MS-PowerPoint (.ppt) or Portable Document Format (.pdf);
- Be legible at 100% zoom / magnification;
- Display prominently the 'Project title' as entered on page 1 of the Application Form;
- Be named per the specifications given in Appendix 1 of this document.

In the event that you submit additional appendices outside the length specifications below, these will simply be truncated from the document and discarded: they will not be forwarded to Assessors or be assessed in any way. Appendices may be printed or photocopied in black and white, so colour should not be used as the sole method of conveying important information.

Appendix	Guidance
Appendix A Up to 5 sides of A4	This should be used to provide additional information to address Section 1 of the Application Form. You should clearly state how your technology can be up-scaled and commercialised and how its costs will compare with other technologies. You should provide evidence that your technology is or will be developed sufficiently to allow for demonstration within the project timescales. You must provide evidence that your technology has already been proven at laboratory scale. You may also wish to include graphics describing the nature of the problem, market dynamics and/or exploitation plans.
Appendix B Up to 5 sides of A4	This should be used to provide further information to address Section 2 of the application form. Other information may include, Gantt chart, risk analysis table, project management structure and/or details of evidence for innovation.
Appendix C Up to ½ side of A4 for each partner and subcontractor	This should be used to provide details of the specific expertise and track record of each consortium partner and each subcontractor to address Question 9 of the application form. Academic collaborators may wish to refer to their research standing.

Appendix	Guidance
Appendix D Up to 1 side of A4	List of possible supply chain companies; including name of company, location and component / service which may be supplied.
Appendix E⁸ Up to 1 side of A4	Estimates of how costs will be spent across the financial years of the project. Please call this "Appendix E: Estimate of project costs across financial years"

⁸ Updated 15 June 2012: Additional Appendix E added for Participants to list estimates of costs across financial years.

Part Four

Supplementary Information

Appendix 1 – Registration & Submission of Documents

Beginning the process

1. In order to apply for this Competition, you must first register for the Competition by 22 June 2012.
2. You will need to register separately for each differentiated application that you wish to make.

Please send your completed application to the Competition e-mail address as early as possible before the Competition deadline. We anticipate receiving a large volume of enquiries during the period of 24 hours prior to the deadline and this can make it difficult to guarantee a turnaround in response should you need assistance.

File naming & format conventions

Your files must be **named** as follows:

- Your fully completed submission documents must begin with **FINAL**
- Appendices must begin with **APPENDIX** and include the appendix reference of A, B or C eg. APPENDIXAApp12345
- File names should only be made up of Alpha Numeric characters – do not include any other signs or symbols.

File **formats** must follow the conventions listed below:

- Files should not be converted, encrypted or zipped.
- Application form should be saved as a Word document (.doc) or (.docx). Application forms must not be converted and submitted as a pdf document.
- Finance forms should be saved as a Excel document (.xls) or (.xlsx).
- Appendices must follow the requirements listed in Section 9 of this document.

Appendix 2 – Information Security & Confidentiality

Assessor confidentiality and potential conflicts of interest

Assessors are required to accept confidentiality agreements and to declare any potential conflicts in interest. They are required to treat applications in strict confidence. Assessors are engaged as individuals, not as representatives of their employer or any other entity. They are required to carry out the assessments themselves and not ask someone to assess an application in their place. They must not ask anyone to give another opinion of their assessment.

Open Government and Freedom of Information

Access to information held by or on behalf of DECC is governed by the Freedom of Information Act. Any requests for information received by DECC in relation to the Competition will be administered accordingly. Under Exemptions Sections 43 and 44 of the Act, certain information will be exempt from disclosure for reasons of commercial confidentiality, subject to DECC's assessment of the balance of public interest in disclosing it or not doing so.

Data Protection Act 1998

The information that Applicants provide on the Application Form will be used in the processing of all aspects of the relevant application. This will include recording on in-house computers and management information systems in the preparation of applicant material and for use by the assessment panels. In addition, information may be used in the generation and collation of output and performance indicators and other management statistics. It may also be used in policy and strategy studies to inform management in carrying out the business of DECC and in improving the business processes.

Information provided to other co-funding bodies

Information provided to the Competition as part of the application process will be passed to co-funding bodies, as appropriate. All co-funding bodies will treat this information in strict confidence.

Information released into the public domain by DECC on confirmation of project funding

The project title and public description as provided on the application form of all projects that are funded will be placed in the public domain. The names of the project participants or collaborators, project costs and amount of grants and contact details of the lead participant will also be included. Additional information submitted in the applications is not made public at this time.

Information released into the public domain during, on completion and after the project lifecycle

The sponsors of the Competitions are keen to see academics publishing the findings of their research. However, this must be done in the manner agreed in the project's Collaboration Agreement.

DECC may choose to maintain project case studies, (which are distinct from examples or projects used in press releases) in order to publicise the DECC's activity. All material for case studies will be agreed with consortium members before it is disclosed. DECC may choose to publicise the results of Competition and this activity includes engagement with the media. All applicants will be given a chance during the Competition process to opt-out of any publicity. Willing applicants will be asked to provide an agreed form of words for use in publicity material.

Appendix 3 – Glossary of Terms

Academic Collaborator	This can be either a University or in some situations an RTO undertaking academic work as part of the project, which must be registered with Je-S.
Application Form	This is the formal document to be completed by you for submission into the Competition.
Assessment	This refers to the process by which the Application Forms are reviewed and/or assessed and marked by an independent panel of experts.
Assessor	A person with specialist knowledge invited to participate in and conduct the assessment of the proposals in the competitive process.
Collaboration Agreement	This refers to the legal document between the various collaborators in the project.
Collaborators	This refers to all of the participants within the project and can be a mix of Industry with Industry or Industry with Academia.
Competition	This refers to the specific Competition for funding.
Competitions website	http://www.decc.gov.uk/en/content/cms/emissions/ccs/innovation/inn_comp/inn_comp.aspx
Industry	This refers to the active participation of both business and industry.
Je-S	The Joint Electronic Submission (Je-S) system used for the calculation and submission of Academic Collaborators costs.
Offer Letter	This refers to the legally binding offer issued to the lead participant of the project, which forms the formal legal terms and conditions under which a grant is awarded.
Scope	This refers to the specific aims and project objectives of the particular Competition. Details can be found within the Competition flyer.
SME	A Small or Medium Sized Enterprise must have fewer than 250 employees with either an annual turnover not exceeding €50m or a balance sheet totaling €43m, and not be part of a larger Enterprise that would fail these tests. Please refer to the EU definition of an SME for further details.

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