|  |
| --- |
|  |
| POWER FORWARD CHALLENGE – CANADA-uk joint CHALLENGE on smart energy systems |
| UK Demonstration Project Annex for Pilot Scale Demonstration Proposals |
| 6 | | |
| October 2018 |

|  |
| --- |
|  |
| POWER FORWARD CHALLENGE – CANADA-uk joint CHALLENGE on smart energy systems |
| UK Demonstration Project Annex for Pilot Scale Demonstration Proposals |
|  |
| Power Forward Challenge  © Crown copyright 2018  You may re-use this information (not including logos) free of charge in any format or medium, under the terms of the Open Government Licence.  To view this licence, visit [www.nationalarchives.gov.uk/doc/open-government-licence/](http://www.nationalarchives.gov.uk/doc/open-government-licence/) or write to the Information Policy Team, The National Archives, Kew, London TW9 4DU, or email: [psi@nationalarchives.gsi.gov.uk](mailto:psi@nationalarchives.gsi.gov.uk).  Any enquiries regarding this publication should be sent to: [smart.innovation@beis.gov.uk](mailto:smart.innovation@beis.gov.uk) . |

## **Guidance**

Further information and guidance about the Power Forward Challenge can be found in the Guidance Notes (available at www.impact.canada.ca/en/challenges or by emailing [smart.innovation@beis.gov.uk](mailto:smart.innovation@beis.gov.uk))

* The Challenge provides two funding opportunities:
  + funding to support SME participation and feasibility study development – BEIS will fund the UK SMEs selected for SME participation support and the Canadian government will fund the selected Canadian enterprises. UK SMEs can apply for up to £60,000 SME participation support for feasibility study development; and
  + funding for companies and other organisations for pilot-scale demonstration proposals – BEIS will fund the selected UK-based demonstration projects and the Canadian government will fund the demonstration projects located in Canada. Project teams applying for support for demonstration projects must involve organisations from both the UK and Canada. The project teams can apply for funding contribution of up to £1.8 million per project for demonstration projects located in the UK.
* **Application information:** online application forms are available at: [www.impact.canada.ca/en/challenges](http://www.impact.canada.ca/en/challenges). UK applicants must submit additional information as outlined below:
  + UK applicants for SME participation support should complete **the UK SME participation support annex** and submit it online with their SME participation support proposal by **17 December 2018** at [www.impact.canada.ca/en/challenges](http://www.impact.canada.ca/en/challenges).
  + UK-based project teams applying for support for demonstration projects should download and complete **this form as annex** (see [www.gov.uk/guidance/funding-for-innovative-smart-energy-systems#uk--canada-joint-smart-energy-systems-challenge](http://www.gov.uk/guidance/funding-for-innovative-smart-energy-systems#uk--canada-joint-smart-energy-systems-challenge)) and submit it online with their pilot-scale demonstration proposal by **15 March 2019** at [www.impact.canada.ca/en/challenges](http://www.impact.canada.ca/en/challenges).
* **Submission content:** Each proposal must include the following and all should be submitted by the relevant deadline at [www.impact.canada.ca/en/challenges](http://www.impact.canada.ca/en/challenges):
  + Web form (available at [www.impact.canada.ca/en/challenges](http://www.impact.canada.ca/en/challenges));
  + UK demonstration project annex for BEIS funding (this document - available at [www.gov.uk/guidance/funding-for-innovative-smart-energy-systems#uk--canada-joint-smart-energy-systems-challenge](http://www.gov.uk/guidance/funding-for-innovative-smart-energy-systems#uk--canada-joint-smart-energy-systems-challenge));
  + Completed pricing schedule/finance form (available at [www.impact.canada.ca/en/challenges](http://www.impact.canada.ca/en/challenges));
  + Completed project Gantt chart or project plan;
  + Optional: additional letters of support or other supporting information can also be submitted **where they add substantive information** to the proposal; however, you should not assume that any additional information will be cross-referenced or reviewed as part of the selection process – for example, it may only be used to help finalise the assessment of projects which receive very similar assessment scores.
* You should endeavour to answer all of the questions in full. Incomplete applications and any containing incorrect information will very likely be rejected although BEIS may, at its discretion, request clarification or additional data before making a final decision. Any applications or supporting documentation received after the application deadline will not be considered.
* **Submission Preparation Costs:** You will not be entitled to claim from the Department any costs or expenses that you may incur in preparing your bid, whether or not your proposal is successful.
* For further information about this Challenge, please email: [smart.innovation@beis.gov.uk](mailto:smart.innovation@beis.gov.uk) – using the title ‘Power Forward Challenge’ in the email subject.

## **Contact and Company Details and Proposal Summary**

|  |  |
| --- | --- |
| Summary Information | |
| Estimated Start Date |  |
| Project Duration | 0 months |
| Total Eligible Project Costs | £ 0.00 |
| Total private sector contribution to project costs | £ 0.00 |
| Total BEIS Grant applied for | £ 0.00 |
| Are you applying as a formal collaboration? (Please see Annex E.3 of the Challenge Applicant Guide for description of collaboration projects.)  If yes, please ensure that all formal collaboration partners complete the details requested in Annex 1 and sign the Application Approval form. |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Contact Details | | | | | | | | | | | | | | | | | | | | | | |
| Title | | Choose title | | | | | | | Name |  | | | | | | | | | | | | |
| Position | | |  | | | | | | | | | | | | | | | | | | | |
| Email | | |  | | | | | | | | | | | | | | | | | | | |
| Telephone | | |  | | | | | | | | | | Mobile | | |  | | | | | | |
| Organisation name | | | | |  | | | | | | | | | | | | | | | | | |
| Address | | | | |  | | | | | | | | | | | | | | | | | |
|  | | | | |  | | | | | | | | | | | | | | | | | |
| . | | | | |  | | | | | | | | | | | | | | | | | |
| . | | | | |  | | | | | | | | | | | | | | | | | |
| Town/City | | | | |  | | | | | | | | | | | | | | | | | |
| Postcode | | | | |  | | | | | | | | | | | | | | | | | |
| Business Type | | | | | Choose type | | | | | | | | | | | | | | | | | |
| If type of business is ‘other’, please describe here: | | | | |  | | | | | | | | | | | | | | | | | |
| **Business Details** | | | | | | | | | | | | | | | | | | | | | | |
| Number of employees (including directors) | | | | | | | | | | | | | | | 0 | | | | | | | |
| Business Registration Number | | | | | | | | | | | | | | |  | | | | | | | |
| Turnover (in most recent annual accounts) | | | | | | | | | | | | | | | £ 0.00 | | | | | | as at | enter date |
| **Balance Sheet Total** (total assets net of depreciation) | | | | | | | | | | | | | | | £ 0.00 | | | | | | as at | enter date |
| Business maturity | | | | | | | | | | | | | | | Choose maturity | | | | | | | |
| Does the business have a parent company? | | | | | | | | | | | | | | | Choose an item | | | | | | | |
| How is the business currently funded? (Choose all that apply) | | | | | | | | | | | | | | | | | | | | | | |
|  | No Funding | | |  | | Founders (including bank loans) | | | | |  | | | Friends and Family | | | |  | | Public Sector Grants\* | | |
|  | Angel Investment | | | | |  | | Venture Capital | | | |  | | Private Equity | | |  | | Stock Market Floatation | | | | |
| **Other public sector funding:** With respect to this project or the technology it is based on, please list briefly any public sector support you are receiving or have received in the past 10 years, or which is currently being sought (please add further details in a separate annex if necessary). | | | | | | |  | | | | | | | | | | | | | | | | |
| **Undertakings in difficulty**: Does your company or any other company in your consortium meet the ‘undertaking in difficulty’ definition set out in the General Block Exemption Regulation 2014 (GBER). Please see Annex 2 for the undertaking in difficulty definition. | | | | | | |  | | | | | | | | | | | | | | | | |

|  |  |  |  |
| --- | --- | --- | --- |
| Parent Company Details (if applicable) | | | |
| Organisation name |  | | |
| Address |  | | |
|  |  | | |
|  |  | | |
|  |  | | |
| County |  | | |
| Postcode |  | | |
| Turnover (in most recent annual accounts) | £ 0.00 | as at | enter date |
| **Balance Sheet Total** (total assets net of depreciation) | £ 0.00 | as at | enter date |
| Company maturity | Choose an item. | | |

|  |
| --- |
| The public description of the project should be a brief non-confidential description of the project that BEIS may use in online or printed publications; please describe the project objectives and key deliverables and the expected project benefits)  (maximum 500 words) |
|  |

## **Additional Eligibility Criteria**

|  |
| --- |
| This section seeks information to address the UK Eligibility Criteria: all projects will be assessed against these eligibility criteria before progressing to evaluation against the Challenge Assessment Criteria. |

|  |  |
| --- | --- |
| **1. Innovation and technology readiness** | |
| Please describe the final expected technology readiness level of the proposed demonstration system if your Pilot demonstration project is selected and successfully completed for this Challenge. Please describe the expected technology status as well as providing a numerical TRL grading (see Annex in the Guidance Notes for further information on technology readiness levels). |  |
| Please describe the current technology readiness level of any key component, sub-system or manufacturing process to be developed during the project. |  |
| Please describe the progress in technology readiness expected to be secured for any key component, sub-system or manufacturing process during the project. |  |

|  |  |
| --- | --- |
| **2. Technology scope** | |
| To the best of your knowledge:  is this solution or approach already commercially deployed in the UK or elsewhere?  If the answer is yes, please provide further details. |  |

|  |  |
| --- | --- |
| **3. Project activity** | |
| Please outline briefly the activities expected to be completed for the proposed Demonstration Project. | Choose an item. |
| Please confirm that the proposed costs are eligible – as defined in Annex 3 of the Challenge Applicant Guide. |  |

|  |  |
| --- | --- |
| **4. Project status** | |
| Please describe any work which has been carried out on the proposed project already (BEIS is unable to fund retrospective work on projects). |  |

|  |  |
| --- | --- |
| 5. Additionality | |
| What is the added value of public funding for this project and what would be the outcome if no public funding was provided (for example, in terms of the extent or speed of innovation activity). Why can’t you fund this innovation activity yourself? |  |
| Is this project seeking to develop mature applications widely used or funded by the industry already?  Only novel applications will be funded. |  |

|  |  |
| --- | --- |
| 6. Grant size | |
| Estimated costs for Pilot Demonstration Project (in £) |  |
| Total private sector match funding (in £) |  |
| Maximum total grant funding requested (in £) |  |

|  |
| --- |
| 7. Grant intensity |
| Please complete Table E7 below to confirm the proposed grant intensity for each formal project partner seeking BEIS funding. |
| **Table E7 – Grant intensity** |
| | **Name of partner organisation** | **Size and type of partner[[1]](#footnote-2)** | **Partner’s eligible project costs (in £)** | **Partner’s project costs as a proportion of the total eligible project costs (%)** | **Partner’s grant funding request from BEIS (in £)** | **Partner’s grant funding request as a proportion of their eligible project costs (%)** | | --- | --- | --- | --- | --- | --- | |  |  |  |  |  |  | |  |  |  |  |  |  | |  |  |  |  |  |  | |  |  |  |  |  |  | | *Please add extra rows for additional partner, if required* | | | | | | | **Total:** |  |  |  |  |  | |

|  |  |
| --- | --- |
| **8. Project location** | |
| Please describe the location or locations where the proposed project will be carried out. If more than one location, please provide an estimate of the total project costs to be delivered at each location. |  |

|  |  |
| --- | --- |
| **9. Project duration and end-date** | |
| Please state the project start and completion date for the project – including completion of all reporting requirements. |  |

## **Assessment Criteria**

|  |
| --- |
| This section seeks information to address the Challenge Assessment Criteria: these criteria will be used to rank projects. Please see section 2 of the Challenge Applicant Guide for further information. |

|  |  |
| --- | --- |
| **Technological Innovation  (25% weighting)** | |
| Describe the technological innovations of the project:   * What is the nature of the technological advancement resulting from the project? * What is the composition of the solution?   + Size, number, and diversity of controllable loads?   + Presence and characteristics of generation and storage?   + Nature of systems integration and control of the solution? * How does the project demonstrate a clear understanding of directly competing technologies? * Does the project demonstrate a progression in technology readiness level (TRL) and what is the current TRL? Please see relevant Annex for TRL descriptions. * What is the Canadian content of the innovation? * What is the UK content of the innovation?   ***Please limit your response to 5 pages*** | |
|  | |
| Describe the end-to-end capacity of the project:   * Flexibility Services * Does the solution demonstrate the ability to effectively manage large, distributed and diverse sets of assets? This includes, but is not limited to:   + Capability to control various loads and generation sources;   + Capability to interact with multiple communication interfaces;   + Compensating for variable renewable energy generation;   + Drop control;   + Volt-var optimization;   + Co-ordinated frequency ride-through;   + Arbitrage;   + Dispatching reserve on an as-needed basis; and   + Supporting internal system stability through local voltage control * Situational Awareness   + Does the solution improve visibility and control of its assets and the network? This includes, but is not limited to parameters such as:     - real power;     - reactive power;     - voltage;     - frequency;     - greenhouse gas emissions;     - accuracy of algorithm generating load and/or generation forecasts;     - generation and consumption prices * Data-enabled Value Creation   + Does the solution leverage or provide data from different streams to create new value for end-users, grid operators, distributed energy resource aggregators, regulators, or other stakeholders? Please consider examples such as:     - Tools for customer intelligence;     - Asset planning recommendations;     - Outage/fault management recommendations; and     - Safety considerations   + Are the procedures in place to ensure high-quality data-sets and/or analytics?   + Will data – including information on contexts, acquisition details, uncertainties, and analysis methods be made available to the public for future study?   + Are new business models or efficiencies enabled?   + Is data being used to help to advance the technical or scientific state-of-the-art?   + Is data being used to help reduce cost, improve system reliability, or sustainability?   + How are public sensitivity, privacy, data ownership, permissions, and safety issues addressed? * Cyber Security   + Does the solution have procedures in place to protect information technology systems, networks, and critical infrastructure?   + Does the solution meet, exceed, or contribute to the development of industry best practices, standards, codes, and regulations?   ***Please limit your response to 5 pages*** |
|  |

|  |  |
| --- | --- |
| **Business Models  (20% weighting)** | |
| Describe the project business model   * How does the project demonstrate financial viability? * Does the project meet required safety measures within the jurisdiction where it will take place? * Is there a credible path and timeline to commercialization for the proposed solution? In which market(s)? * What are the expected demands on Capital Expenditures (CAPEX) and Operating Expenditures (OPEX) related to future deployments and over the lifetime of the equipment? How sensitive are these to market conditions? * How does the business model support the long-term (over three years) viability of the project? * Is this solution or approach already commercially deployed elsewhere? * Have you secured contracts for future commercial deployment of this solution? * Have you or are you planning to bid for future commercial deployment of this solution? * Do the project partners have clear and demonstrated market traction (e.g., existing and contracted revenues, commercial agreements in place, or investments from credible strategic investors)?   ***Please limit your response to 3 pages*** | |
|  | |
| Describe the innovative aspects of the business model   * Is the project scalable and replicable (not case-specific)? * What financial innovations are proposed to advance and support the project? * What kind of improvements are proposed to existing technologies? * What is the potential for partnership(s) on this project to support the development of bilateral value chains between Canadian and UK entities? * How does the project integrate with existing infrastructure and the needs of end consumers and what impact will the technology have on the marketplace?   ***Please limit your response to 3 pages*** |
|  |

|  |
| --- |
| **Interoperability  (15% weighting)** |
| Describe how the project considers the development of greater interoperability.   * Is the solution portable? * Does the solution consider software and hardware interfaces between devices, components, and network endpoints, and are they clearly documented to allow for third party devices to expand on the solution’s architecture? * Are source codes and designs made available in the public domain to be used, examined, modified, and redistributed for any purpose (i.e. open or free copyright licensing)? * Is there a plan for the dissemination of the results and lessons learned from the project to experts and peers? * Does the solution consider relevant standards and codes? Does the solution contribute to the development of new standards, codes, regulations, or best practices? * Does the solution employ an architectural pattern with functional modular units? Are they sufficiently documented to allow other service providers to interact with them? * Proponents should outline other relevant information about how their solution is contributing towards greater interoperability, providing detailed descriptions.   ***Please limit your response to 3 pages*** |
|  |

|  |
| --- |
| **Customer Engagement  (15% weighting)** |
| Describe how the project engages consumers.   * What efforts have been made to understand the present level of satisfaction for end-users of the proposed project? * What are the projected benefits for consumers, and how are the benefits distributed among them? * What impact does the project have on consumers energy consumption and/or participation on the grid? * How does the project implementation plan ensure consumer views are incorporated into the design and delivery of the solution? * Are there any additional tools or methodologies that the project is considering leveraging for consumer engagement?   ***Please limit your response to 3 pages*** |
|  |

|  |
| --- |
| **Partnerships  (15% weighting)** |
| Describe the consortium support for the project.   * Who are the partners and where are they located? How does the consortium meet the minimum 20% bilateral partnership threshold (i.e., identify activities to be carried out by partners from the UK for Canada-based projects and vice versa)? * Do the partners or the consortium have the structure or capacity to support a successful project? * Is the governance in place adequate for this type of project? Do the partners have a formal co-operation agreement in place? * How will project activities be shared among partners or consortium members? * How will any weaknesses in partnership or collaboration be addressed by 2021? * What is the level of support from either a utility, distribution network operator, or systems operator to the partners/consortium? Is there an interconnection agreement in place? * Does the partnership or consortium have the financial resources to achieve its objectives? * Has any work already been carried out on the proposed project?   ***Please limit your response to 3 pages*** |
|  |

|  |
| --- |
| Project Delivery  (10% weighting) |
| This will be used to assess the expected effectiveness and efficiency of delivery of the demonstration project and will also consider the project team’s diversity as well as its potential capacity and capability to deliver a demonstration project and associated dissemination activity.  Please describe how open your project is to collaborate and partner with other projects in building a demonstration project.  Highest marks will be awarded to applicants that have taken all reasonable steps to maximise the likelihood of successfully delivering the projects aims (whilst recognising the innate technical risk in any innovation project). Existing and future partnerships are encouraged as this is a key enabler to deliver projects. |
| 1. For the **demonstration project**, please provide a separate **high level Gantt chart** **or outline project plan** listing the key tasks and timescales. |
| 1. For the proposed **demonstration project,** please complete Table a below to describe the **key work packages** – the work package descriptions are likely to be high level for the demonstration project at this stage.  **One work package must describe the dissemination and knowledge-transfer activity for the project.** |
| 1. Please complete Table b below to list the **key project milestones** for the **demonstration project**. |
| 1. For the proposed **demonstration project**, please outline below the **key roles for each partner** and the proposed **governance arrangements** between the partners to ensure effective project delivery.   ***Please limit your response to 2 pages*** |
|  |
| 1. For the **demonstration project**, please list any **external party** responsible for delivering goods or services worth more than 10% of the total project value and explain how you will ensure that these parts of the project do not give rise to delays in the delivery of the project. |
|  |
| 1. **For the demonstration project**, please provide details below of the **relevant skills, qualifications and experience** of main project team members, including descriptions and evidence of previous relevant work carried out, Please include brief details of relevant previous projects, including the date, location, client and project size.   ***Please limit your response to 6 pages***  Brief CVs of lead individuals within the project team should be provided in an Annex to this Application (CVs should be no longer than 2 pages each). |
|  |

**Table a – Project Work Packages – Demonstration Project**

|  |  |  |  |
| --- | --- | --- | --- |
| **Work package number** | **Work package name** | **Project partner lead for work package** | **Brief description of work package, including key tasks** |
| **WP1** |  |  |  |
| **WP2** |  |  |  |
| **WP3** |  |  |  |
| *Please add further rows as necessary for each work package* | | | |

**Table b – Project Milestones – Demonstration Project**

|  |  |  |  |
| --- | --- | --- | --- |
| **Milestone number** | **Milestone name** | **Project partner lead for milestone delivery** | **Brief description of milestone, including deliverables** |
| **M1** |  |  |  |
| **M2** |  |  |  |
| **M3** |  |  |  |
| *Please add further rows as necessary for each milestone* | | | |

**Table c – Risks and Risk Management – Demonstration Project**

*(Bidders can provide their own Risk Table as a separate Annex if preferred)*

|  |  |  |
| --- | --- | --- |
| **Risk**  (Identify and describe all key project risks, including: financial, technology, supply chain, regulatory, etc) | **Overall risk rating:** (Probability x Impact)  High, Medium or Low | **Mitigation actions**  (Describe the actions taken or planned responses to reduce the impact and/or probability of the risk) |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
| *Please add further rows as necessary* | | |

|  |
| --- |
| **Further info for assessment – project financing**  You must also complete a separate Finance Form (spreadsheet) and submit it with your completed Application Form. |
| This will be used to assess the proposed demonstration project costs.  Please include external match funding information. Highest marks will be awarded to projects that can demonstrate that the proposed public sector contribution to the eligible demonstration project costs:   * will represent good use of public funding by supporting projects whose costs are realistic and justified and are likely to secure the expected project aims and deliverables; * will represent good value for money and a fair balance of risk and benefits for BEIS, including no element of profit in the project costs. |

## **Application Approval**

|  |
| --- |
| Please ensure a suitable representative from the lead applicant business and for a formal collaboration project, a representative from each of the project partners seeking BEIS funding, checks and signs this application before returning it to BEIS to indicate their knowledge and approval of the application. |
| |  |  |  |  | | --- | --- | --- | --- | | **Name of organisation** | **Name of signatory & position in organisation** | **Signature** | **Date** | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | | **Please add rows for additional project partners, if needed.** | | | | |

|  |
| --- |
| Further Information:  Please insert any further information in the annexes immediately following this page or alternatively provide as attachments to the online submission. All additional information should be appropriately referenced within the application form text so that assessors can readily refer to it. If information is not appropriately referenced it will not be considered during the assessment process. |
|  |

## **Annex 1: Partner Information (for Collaboration Projects only)**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Contact Details – Partner 1 | | | | | | | | | | | | | | | | | | | | | | |
| Title | | Choose title | | | | | | | Name |  | | | | | | | | | | | | |
| Position | | |  | | | | | | | | | | | | | | | | | | | |
| Email | | |  | | | | | | | | | | | | | | | | | | | |
| Telephone | | |  | | | | | | | | | | Mobile | | |  | | | | | | |
| Organisation name | | | | |  | | | | | | | | | | | | | | | | | |
| Address | | | | |  | | | | | | | | | | | | | | | | | |
|  | | | | |  | | | | | | | | | | | | | | | | | |
| . | | | | |  | | | | | | | | | | | | | | | | | |
| . | | | | |  | | | | | | | | | | | | | | | | | |
| Town/City | | | | |  | | | | | | | | | | | | | | | | | |
| Postcode | | | | |  | | | | | | | | | | | | | | | | | |
| Business Type | | | | | Choose type | | | | | | | | | | | | | | | | | |
| If type of business is ‘other’, please describe here: | | | | |  | | | | | | | | | | | | | | | | | |
| **Business Details – Partner 1** | | | | | | | | | | | | | | | | | | | | | | |
| Number of employees (including directors) | | | | | | | | | | | | | | | 0 | | | | | | | |
| Business Registration Number | | | | | | | | | | | | | | |  | | | | | | | |
| Turnover (in most recent annual accounts) | | | | | | | | | | | | | | | £ 0.00 | | | | | | as at | enter date |
| **Balance Sheet Total** (total assets net of depreciation) | | | | | | | | | | | | | | | £ 0.00 | | | | | | as at | enter date |
| Business maturity | | | | | | | | | | | | | | | Choose maturity | | | | | | | |
| Does the business have a parent company? | | | | | | | | | | | | | | | Choose an item | | | | | | | |
| How is the business currently funded? (Choose all that apply) | | | | | | | | | | | | | | | | | | | | | | |
|  | No Funding | | |  | | Founders (including bank loans) | | | | |  | | | Friends and Family | | | |  | | Public Sector Grants\* | | |
|  | Angel Investment | | | | |  | | Venture Capital | | | |  | | Private Equity | | |  | | Stock Market Floatation | | | | |
| \*With respect to this project or the technology it is based on, please list any public sector support received in past 10 years, or currently being sought (please add further details in a separate annex if necessary) | | | | | | |  | | | | | | | | | | | | | | | | |

|  |  |  |  |
| --- | --- | --- | --- |
| Parent Company Details (if applicable) | | | |
| Organisation name |  | | |
| Address |  | | |
|  |  | | |
|  |  | | |
|  |  | | |
| County |  | | |
| Postcode |  | | |
| Turnover (in most recent annual accounts) | £ 0.00 | as at | enter date |
| **Balance Sheet Total** (total assets net of depreciation) | £ 0.00 | as at | enter date |
| Company maturity | Choose an item. | | |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Contact Details – Partner 2 | | | | | | | | | | | | | | | | | | | | | | |
| Title | | Choose title | | | | | | | Name |  | | | | | | | | | | | | |
| Position | | |  | | | | | | | | | | | | | | | | | | | |
| Email | | |  | | | | | | | | | | | | | | | | | | | |
| Telephone | | |  | | | | | | | | | | Mobile | | |  | | | | | | |
| Organisation name | | | | |  | | | | | | | | | | | | | | | | | |
| Address | | | | |  | | | | | | | | | | | | | | | | | |
|  | | | | |  | | | | | | | | | | | | | | | | | |
| . | | | | |  | | | | | | | | | | | | | | | | | |
| . | | | | |  | | | | | | | | | | | | | | | | | |
| Town/City | | | | |  | | | | | | | | | | | | | | | | | |
| Postcode | | | | |  | | | | | | | | | | | | | | | | | |
| Business Type | | | | | Choose type | | | | | | | | | | | | | | | | | |
| If type of business is ‘other’, please describe here: | | | | |  | | | | | | | | | | | | | | | | | |
| **Business Details – Partner 2** | | | | | | | | | | | | | | | | | | | | | | |
| Number of employees (including directors) | | | | | | | | | | | | | | | 0 | | | | | | | |
| Business Registration Number | | | | | | | | | | | | | | |  | | | | | | | |
| Turnover (in most recent annual accounts) | | | | | | | | | | | | | | | £ 0.00 | | | | | | as at | enter date |
| **Balance Sheet Total** (total assets net of depreciation) | | | | | | | | | | | | | | | £ 0.00 | | | | | | as at | enter date |
| Business maturity | | | | | | | | | | | | | | | Choose maturity | | | | | | | |
| Does the business have a parent company? | | | | | | | | | | | | | | | Choose an item | | | | | | | |
| How is the business currently funded? (Choose all that apply) | | | | | | | | | | | | | | | | | | | | | | |
|  | No Funding | | |  | | Founders (including bank loans) | | | | |  | | | Friends and Family | | | |  | | Public Sector Grants\* | | |
|  | Angel Investment | | | | |  | | Venture Capital | | | |  | | Private Equity | | |  | | Stock Market Floatation | | | | |
| \*With respect to this project or the technology it is based on, please list any public sector support received in past 10 years, or currently being sought (please add further details in a separate annex if necessary) | | | | | | |  | | | | | | | | | | | | | | | | |

|  |  |  |  |
| --- | --- | --- | --- |
| Parent Company Details (if applicable) | | | |
| Organisation name |  | | |
| Address |  | | |
|  |  | | |
|  |  | | |
|  |  | | |
| County |  | | |
| Postcode |  | | |
| Turnover (in most recent annual accounts) | £ 0.00 | as at | enter date |
| **Balance Sheet Total** (total assets net of depreciation) | £ 0.00 | as at | enter date |
| Company maturity | Choose an item. | | |

|  |
| --- |
| Additional Partners:  *If required, please add further tables for Contact, Business Details and (if relevant) Parent Company Details for any additional formal collaboration partners.* |
|  |

## **Annex 2 – Undertaking in Difficulty Definition**

The definition of an ’undertaking in difficulty’ set out below is taken from the General Block Exemption Regulation 2014[[2]](#footnote-3):

(18) ‘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 (1) 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.

© Crown copyright 2018

**Department of Business, Energy and Industrial Strategy**

1 Victoria Street, London SW1H 0ET

1. SMA-Small enterprise, MED-Medium enterprise, IND-large enterprise, HE-University, RES-Research organisation, OTH-Other – please describe. [↑](#footnote-ref-2)
2. https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:02014R0651-20170710&from=EN [↑](#footnote-ref-3)