

## **European Structural Funds Final Recipient Records - Organisations**

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This guidance covers all organisations which receive support through either the ERDF or ESF Programmes. Where the Delivery Agent is reporting the recipient against a specific category (e.g. SME, new enterprise, social enterprise) records and evidence should be retained to demonstrate the rationale behind this definition.

### **Referral**

Where the Final Recipient is referred to the operation by a third party, a record of this must be retained on file.

The form should include the following information:

- Referral Agency details (if appropriate) including:
  - Operation Name (if appropriate)
  - Project Reference Number (if appropriate)
  - Agency Name
  - Agency Worker Name (if appropriate)

- Agency Worker Job Role (if appropriate)
- Office Address
- Office Phone Number
- Mobile Phone Number
- Email Address
  
- Final Recipient details including:
  - Organisation Name
  - Company Number (if appropriate)
  - Address (including postcode)
  - Lead Contact Name
  - Contact Phone Number
  - Contact Email Address
  
- Additional Information including:
  - Description of support provided by referring agency
  - Details of all other agencies / services involved with the recipient
  - Justification outlining why the recipient has been referred

## **Registration Form**

All Final Recipients must meet the appropriate eligibility criteria outlined in the Operational Programme.

The form should include the following information:

- Operation Details including:
  - Operation Name
  - Operation Reference Number
  - Date of Registration
  - Details of Referring Agency (if appropriate)
  - Start Date
- Final Recipient details including:
  - Organisation Name

- Final Recipient Registration Number
- Advisor or other DA staff
- Trading start date
- Legal Structure of Recipient e.g. Sole Proprietor/ Partnership/ Limited Company/ Limited Liability Partnership
- Company Number (if appropriate)
- Address (including postcode)
- Evidence of address
- Lead Contact Name
- Contact Phone Number
- Contact Email Address
- Description of project expectations e.g.
  - What type of support is being sought?
  - What does the recipient want to achieve as a result of this support?
- Assessment:
  - Provide Justification as to why recipient is eligible for support.
  - Check and record the number of employees at the beginning of the intervention.
  - Check and record the turnover and/or balance sheet at the beginning of the intervention.
  - An SME has to comply with the definition within the EC guidance:



<https://ec.europa.eu/sme/>

<b>Company category</b>	<b>Employees</b>	<b>Turnover</b>	or	<b>Balance sheet total</b>
Medium-sized	< 250	≤ € 50 m		≤ € 43 m
Small	< 50	≤ € 10 m		≤ € 10 m
Micro	< 10	≤ € 2 m		≤ € 2 m

- Other Criteria – does the recipient fit any/all of the following:
  - Innovative Active Enterprises

- New Enterprise – where the created enterprise did not exist one year before the support started. An enterprise will not become new if only its legal form changes.
  - Low Carbon
  - Spin Out
  - Third Sector
  - Community Group
  - Social Enterprise
  - Co-operative
  - Renewables
- Additional Information including:
    - Details of any other agencies/services that the recipient is engaged with

The final recipient must be made aware that they are receiving ERDF/ESF support and appropriate logos must be used.

### **Support/Action plan**

This should be signed by a representative of the recipient and a member of staff from the delivery agent.

This should outline what the final recipient wants to achieve and how the delivery agent plans to support this, and each stage of support provided to the recipient.

### **Record of non-financial support provided**

Including:

- Evidence of assessment process to decide on support required
- Evidence of support provided
- Records of events, seminars, etc. organised by the operation which representatives of the recipient have attended
- Delivery agent staff notes (i.e. meetings, telephone conversations etc)
- Record of referral to any other agencies or operations
- Copies of all correspondence

## **Record of financial support provided**

Including:

- Evidence of application submitted by the recipient
- Evidence of the assessment process to decide on financial support to the recipient
- Loan Agreement or Offer of Grant between delivery agent and recipient
- Required evidence for Financial Engineering Instruments as per specific regulations and guidance

Delivery agents should ensure that all support provided is in line with State Aid regulations. An assessment should be completed and retained for all activity and where appropriate further evidence should be kept regarding any exemptions used.

Full guidance can be found at <http://www.gov.scot/Topics/Government/State-Aid>

## **State Aid Assessment**

Evidence retained should include:

- Evidence that the four key tests have been considered.
- Evidence of any exemptions which have been used to provide the support to the recipient. Where the *de minimis* rule has been used, evidence of other aid which has been received should be recorded.
- Evidence that the recipient has been made aware of the State Aid implications of the support provided.
- Any supporting evidence to demonstrate the basis of the exemption used e.g. correspondence with SG State Aid Unit.

## **Proof of any outcomes**

Including:

- Evidence of new products, partnerships or project which have taken place as a result of the project
- Basis of calculation of increase in turnover or jobs which have been created

## **Leavers form**

This should be signed by a representative of the supported recipient and a member of staff from the delivery agent.

This should reflect the activity which has taken place, the outcomes which have been achieved and next steps for the final recipient, including any referral to other agencies or operations.

### **Record of all follow up action**

Including:

- 6 month follow-up (or longer if required)
- Evidence of any long-term outcomes.

### **Monitoring and Evaluation of Final Recipient Data**

- If an enterprise receives more than one instance of support, data relating to this recipient should be recorded, stored and reported only once.
- If a recipient leaves one operation and receives support from or is referred to a different operation, the recipient can be considered/recorded as a new final recipient.