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SME AND MID-CAP VALIDATION MESSAGES

 **This document contains different templates for SME validation messages.**

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SME/MID-CAP VALIDATION INVITATION (REQUESTS BY PARTICIPANTS) (PNS-SME-01a)

RE: PIC No [insert PIC number] — [SME]/[Mid-cap] status — Request for documents (PNS-SME-01a)

Dear Participant,

We have received your request for the validation of your organisation as a [small and medium-sized enterprise (SME)]/[middle-capitalisation enterprise (Mid-cap)] in the EU Funding & Tenders Portal Participant Register.

In order to assess it, please **upload** the documents listed below in the Participant Register within **7 days** after receiving this message (using the following [link](#)):

1. Graph showing the complete ownership structure of your organisation, including all direct and indirect shareholders/owners.
2. Proof of the direct and indirect shareholders/owners of your organisation and their respective percentage of interest and voting rights, for instance commercial registry extracts; company's shareholders book extract/registry extract, capitalisation table presenting the exact distribution of shares/voting rights on undiluted and fully-diluted basis, signed by the legal representative of the organisation etc.
3. Approved financial statements for the most recent closed accounting period, including:
 - Balance sheet statement.
 - Profit and loss account, clearly indicating the amount of annual turnover from sales of goods and services.
 - Annexes to these documents and/or accompanying notes, indicating:
 - staff headcount (number of declared employees according to Article 5 of the SME Recommendation [2003/361](#)) and
 - any equity participations in other companies/downstream organisations with exact percentage of the shares and voting rights held per participation (according to Article 3 of the SME Recommendation).

If the annexes/notes to the financial statements do not contain the requested headcount information, other documents can be provided that contain equivalent data (such as headcount reports for social security purposes, extracts from HR records of the participant certifying headcount, etc). In exceptional cases, self-declarations can be accepted.

4. Documents evidencing the mechanisms of ownership and control, corporate governance and decision-making rules of your organisation (e.g. statutes/articles of

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association and shareholders' agreements, memorandum of understanding among shareholders, internal corporate governance rules, etc).

Note:

If your organisation is **not autonomous** (i.e. is linked/partner to another organisation within the meaning of Articles 3.2 and 3.3 of the SME Recommendation), the documents listed under points 1 to 3 above are also required for all its upstream and downstream linked/partner organisations, as defined in Article 6 of the SME Recommendation.

If your organisation is **a newly established entity with not yet closed accounts** for its first accounting period, please submit:

- a self-declaration, including a bona fide estimate in the form of a business plan, dated and signed by the legal representative of your organisation. The business plan should cover the entire period (financial years) necessary for the organisation to generate turnover (by delivering goods or services for remuneration on a given market). As minimum requirements, the business plan should include financial projections concerning the profit & loss account, balance sheet and forecasted headcount of your organisation, together with a narrative part describing its core activity and its expected market position.

If your organisation **has already closed accounts, but has not generated a turnover yet** due to a lengthy period of time-to-market, please submit, in addition to the approved financial statement:

- a self-declaration including a bona fide estimate of the investment made and the likely expected return (in the form of a business plan for the entire period) to demonstrate that, despite the lack of turnover, your organisation is engaged in an economic activity and hence qualifies as an enterprise (concerning the business plan, same requirements as above).

Important:

- You can provide documents in any official EU language (if possible with a free translation in English, in order to facilitate the process). Documents in other languages may be accepted if accompanied by a free translation in English. In case of doubt, the Central Validation Service has the right to request a certified/legal English translation.
- If you have already provided some of the requested documents, you do not need to submit them again.
- For more information, please consult the EU SME Recommendation [2003/361](#) and the [User Guide](#) to the SME definition on the [Europa](#) website.

If you have technical difficulties uploading the documents, please check the [IT How To](#).

If the problem persists, please contact the IT Helpdesk (via the [Helpdesk contact form](#)).

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 Please note that [SME]/[Mid-cap] statuses may be mandatory depending on the funding programme/call to which you apply. If we do not receive the supporting documents in time, we may have to withdraw your [SME]/[Mid-cap] status in the Participant Register and this may affect your participation some EU funded actions.

Kind regards,

Central Validation Service
European Research Executive Agency

Disclaimer:

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You can access the Portal with your **EU Login** account to read the latest notifications (or take other action): Participant Register > Actions > Modify organisation.

In order to **contact** us, please use the Messages function in your Organisation page in the Participant Register.

SME/MID-CAP STATUS VERIFICATION (VALIDATION ON SAMPLE/REQUESTS BY OPERATIONAL SERVICES) (PNS-SME-01b)

RE: PIC No [insert PIC number] — [SME]/[Mid-cap] status — Request for documents (PNS-SME-01b)

Dear Participant,

Following your recent application for an EU grant in the EU Funding & Tenders Portal Participant Register, we are contacting you to proceed with the validation of your organisation as a [small and medium-sized enterprise (SME)]/[middle-capitalisation enterprise (Mid-cap)].

The assessment will be done in accordance with the [Rules for legal entity validation, LEAR appointment and financial capacity assessment](#) available on the Funding & Tenders Portal Reference Documents.

Please **upload** the following documents in the Participant Register within **7 days** after receiving this message (using the following [link](#)):

1. Graph showing the complete ownership structure of your organisation, including all direct and indirect shareholders/owners.
2. Proof of the direct and indirect shareholders/owners of your organisation and their respective percentage of interest and voting rights, for instance commercial registry extracts; company's shareholders book extract/registry extract, capitalisation table presenting the exact distribution of shares/voting rights on undiluted and fully-diluted basis, signed by the legal representative of the organisation etc.
3. Approved financial statements for the most recent closed accounting period, including:
 - Balance sheet statement.
 - Profit and loss account, clearly indicating the amount of annual turnover from sales of goods and services.
 - Annexes to these documents and/or accompanying notes, indicating:
 - staff headcount (number of declared employees according to Article 5 of the EU SME Recommendation [2003/361](#)) and
 - any equity participations in other companies/downstream organisations with exact percentage of the shares and voting rights held per participation (according to Article 3 of the EU SME Recommendation).

If the annexes/notes to the financial statements do not contain the requested headcount information, other documents can be provided that contain equivalent data (such as headcount reports for social security purposes, extracts from HR records of the participant certifying headcount, etc). In exceptional cases, self-declarations can be accepted.

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4. Documents evidencing the mechanisms of ownership and control, corporate governance and decision-making rules of your organisation (e.g. statutes/articles of association and shareholders' agreements, memorandum of understanding among shareholders, internal corporate governance rules, etc).

Note:

If your organisation is was **not autonomous** (i.e. is linked/partner to another organisation within the meaning of Articles 3.2 and 3.3 of the SME Recommendation), the documents listed under points 1 to 3 above are also required for all of its upstream and downstream linked/partner organisations, as defined in Article 6 of the SME Recommendation.

If your organisation is a **newly established entity with not yet closed accounts** for its first accounting period, please submit:

- a self-declaration, including a bona fide estimate in the form of a business plan, dated and signed by the legal representative of the organisation. The business plan should cover the entire period (financial years) necessary for the organisation to generate turnover (by delivering goods or services for remuneration on a given market). As minimum requirements, the business plan should include financial projections concerning the profit & loss account, balance sheet and forecasted headcount of your organisation together with a narrative part describing its core activity and its expected market position

If your organisation **has already closed accounts, but has not generated a turnover yet** due to a lengthy period of time-to-market, please, submit, in addition to the approved financial statement:

- a self-declaration including a bona fide estimate of the investment made and the likely expected return (in the form of a business plan for the entire period) to demonstrate that, despite the lack of turnover, your organisation is engaged in an economic activity and hence qualifies as an enterprise (concerning the business plan, same requirements as above).

Important:

- You can provide documents in any official EU language (if possible with a free translation in English, in order to facilitate the process). Documents in other languages may be accepted if accompanied by a free translation in English. In case of doubt, the Central Validation Service has the right to request a certified/legal English translation.
- If you have already provided some of the requested documents, you do not need to submit them again.
- For more information, please consult the EU SME Recommendation [2003/361](#) and the [User Guide](#) to the SME definition on the [Europa](#) website

If you have technical difficulties uploading the documents, please check the [IT How To](#).

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 Please note that [SME]/[Mid-cap] statuses may be mandatory depending on the funding programme/call to which you apply. If we do not receive the supporting documents in time, we may have to withdraw your [SME]/[Mid-cap] status in the Participant Register and (some of) your applications may be rejected.

Kind regards,

Central Validation Service
European Research Executive Agency

Disclaimer:

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You can access the Portal with your **EU Login** account to read the latest notifications (or take other action): Participant Register > Actions > Modify organisation.

In order to **contact** us, please use the Messages function in your Organisation page in the Participant Register.

REMINDER (SME AND MIDCAP)(PNS-SME-02)

RE: PIC No [insert PIC number] — [SME]/[Mid-cap] status — Reminder (PNS-SME-023)

Dear Participant,

We contacted you recently regarding documents required for the verification of your [SME]/[Mid-cap] status.

Please **upload** these documents in the Participant Register within **7 days** after receiving this message (using the following [link](#)).

If you have technical difficulties uploading the documents, please check the [IT How To](#).

If the problem persists, please contact the IT Helpdesk (via the [Helpdesk contact form](#)).

 Please note that the [SME]/[Mid-cap] statuses may be mandatory depending on the funding programme/call to which you apply. If we do not receive the supporting documents in time, we may have to withdraw your [SME]/[Mid-cap] status in the Participant Register and (some of) your applications may be rejected.

Kind regards,

Central Validation Service
European Research Executive Agency

Disclaimer:

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In order to **contact** us, please use the Messages function in your Organisation page in the Participant Register.

LAST REMINDER (SME AND MID-CAP) (PNS-SME-03)

RE: PIC No [insert PIC number] — [SME]/[Mid-cap] status — Last reminder (PNS-SME-03)

Dear Participant,

We contacted you recently regarding documents required for the verification of your [SME]/[Mid-cap] status.

Please **upload** these documents in the Participant Register within **7 days** after receiving this message (using the following [link](#)).

Please be aware that we will NOT send any further reminders.

If we do not receive these documents within the given deadline, it will not be possible to verify the status of your organisation, and this may affect your participation in certain EUfunded actions.

If you have technical difficulties uploading the documents, please check the [IT How To](#).

If the problem persists, please contact the IT Helpdesk (via the [Helpdesk contact form](#)).

Kind regards,

Central Validation Service
European Research Executive Agency

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NON RESPONSIVE PIC (SME AND MID-CAP) (PNS-SME-04)

RE: PIC No [insert PIC number] — [SME]/[Mid-cap] status — PIC marked as non-responsive (PNS-SME-04)

Dear Participant,

This is to inform you that the verification of the [SME]/[Mid-cap] status of your organisation has been put on hold since you didn't respond to our requests for supporting documents/information.

You can resume the procedure by uploading the necessary documents in the Participant Register (using the following [link](#)).

 Please note that [SME]/[Mid-cap] statuses may be mandatory depending on the funding programme/call to which you apply. If we do not receive the supporting documents in time, we may have to withdraw your [SME]/[Mid-cap] status in the Participant Register and (some of) your applications may be rejected..

Kind regards,

Central Validation Service
European Research Executive Agency

Disclaimer:

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You can access the Portal with your **EU Login** account to read the latest notifications (or take other action): Participant Register > Actions > Modify organisation.

In order to **contact** us, please use the Messages function in your Organisation page in the Participant Register.

SME/MID-CAP VALIDATION COMPLETED (PNS-SME-05)

RE: PIC No [insert PIC number] — [SME]/[Mid-cap] status — Completed (PNS-SME-05)

Dear Participant,

Your organisation has been validated as [SME] [Mid-cap].

The data and information has been encoded based on the documents you provided and other relevant information.

For more information on the validation, please see [Rules for legal entity validation, LEAR appointment and financial capacity assessment](#).

In case your [SME] [Mid-cap] status changes, please immediately update your data in the Participant Register.

Kind regards,

Central Validation Service
European Research Executive Agency

Disclaimer:

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In order to contact us, please use the Messages function in your Organisation page in the Participant Register.

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SME/MID-CAP VALIDATION REFUSED (PNS-SME-06) (NOT AUTOMATED MESSAGE)

RE: PIC No [insert PIC number] — [SME]/[Mid-cap] status — Refused (PNS-SME-06)

Dear Participant,

Based on the supporting documents you submitted, it was not possible to validate your organisation (PIC No [indication of the PIC number]) as an [SME] [Mid-cap].

The documents you provided were not sufficient to demonstrate that your organisation meet the necessary conditions for this status.

For more information on the validation, please see [Rules on legal entity validation, LEAR appointment and financial capacity assessment](#).

We remain available to reconsider our assessment, if you can provide the necessary information to show that you fulfil the conditions.

Until then, the your organisation will not be able to benefit of this status.

If you disagree with our assessment, you may request a validation review procedure — within **30 days** after receiving this message (via the following link: REA-VALIDATION-REVIEW@ec.europa.eu).

Kind regards,

Central Validation Service
European Research Executive Agency

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HISTORY OF CHANGES		
VERSION	PUBLICATION DATE	CHANGE
1.0		Initial version. Not published.
2.0	14.12.2017	Validation LS and publication.
3.0	02.06.2020	Changes due to new Financial Regulation Update to new MFF
4.0	01.09.2022	Minor editing and alignments. Addition of table of content. Links to language versions.
5.0	01.02.2024	Simplification of procedures. Updates in line with the update of the Validation Rules. Update of links.