

The SME Self-Assessment User Guide

June 2021

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The SME Self-Assessment

The SME Self-Assessment questionnaire allows you to determine whether your organisation qualifies as a Micro, Small or Medium-sized Enterprise ('SME') according to the relevant rules of the European Commission.

The assessment is based on the SME Recommendation 2003/361/EC (<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2003:124:0036:0041:en:PDF>) as well as on the definition of Micro, Small and Medium-sized Enterprises (http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition/index_en.htm).

The questionnaire comprises a series of easy-to-answer questions in logical sequence: the answer you provide will determine the next question in the sequence.

Some important keywords

To establish the SME status of an organisation, it is necessary to determine its "ownership structure". The questions in the SME Self-Assessment questionnaire will help you describe the family tree ("ownership structure") of your organisation. Furthermore, it will help you assess whether your organisation fulfils the requirements set out in the SME Recommendation.

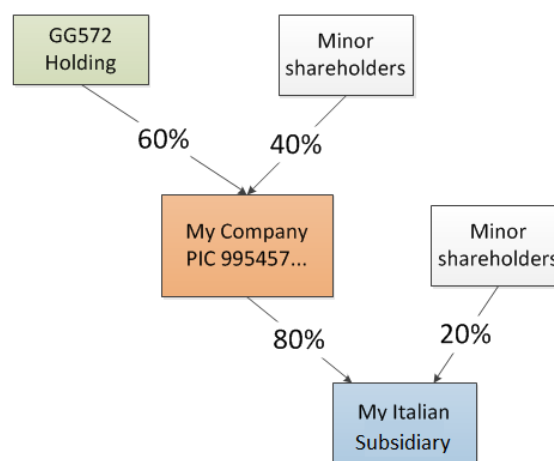
The SME questionnaire first requires information about your organisation (in the following example "My company"), and about any other relevant entities to which it is related.

Example: 60% of My Company is owned by "GG572 Holding" (the Shareholder). Other (minor) companies own shares/voting rights of My Company, each owning less than 25%.

My Company has an 80% subsidiary (the Participation) in Italy (My Italian Subsidiary). The rest of "My Italian Subsidiary" is owned by minor shareholders.

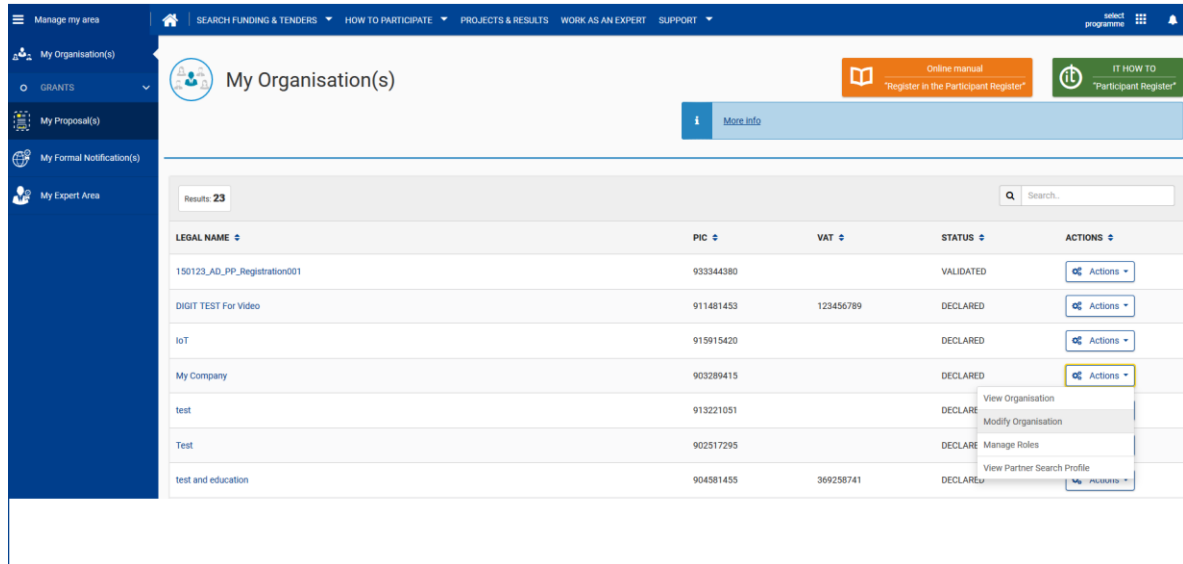
In a case like this, you will be asked to enter financial data of:

- the Shareholder (GG572 Holding) and
- the Participation (My Italian Subsidiary).



Getting started

Access first the Participant Register. To do so, log on into the Funding & Tenders Portal and go to My Organisation(s) within Manage my area on the left side. Click on the Actions button next to your organisation and select Modify organisation.

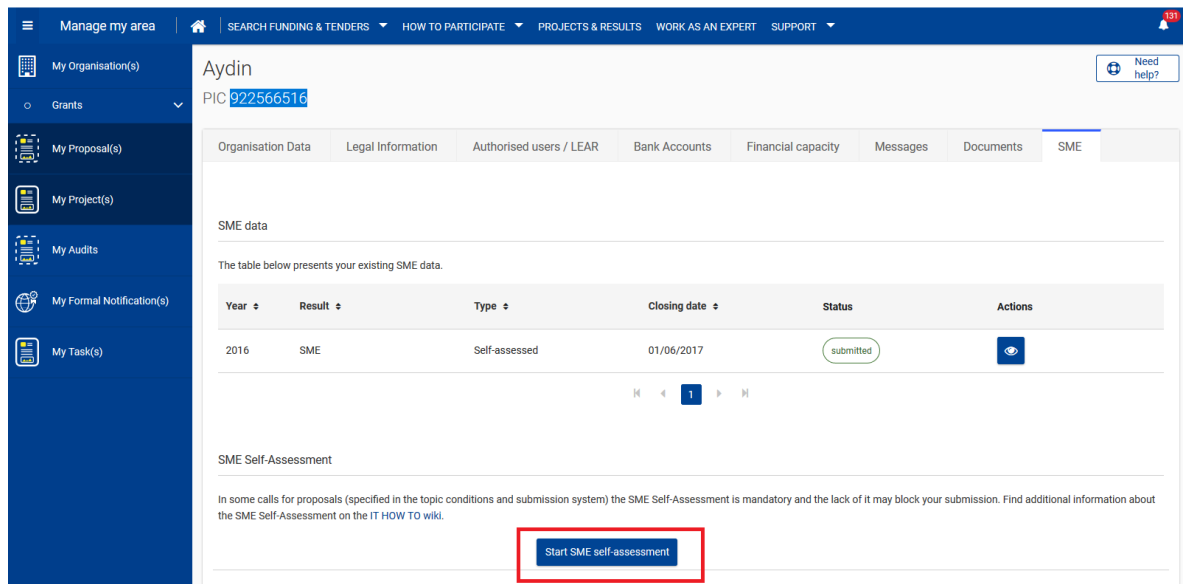


Results: 23

LEGAL NAME	PIC	VAT	STATUS	ACTIONS
150123_AD_PP_Registration001	93344380		VALIDATED	Actions
DIGIT TEST For Video	911481453	123456789	DECLARED	Actions
IoT	915915420		DECLARED	Actions
My Company	903289415		DECLARED	Actions
test	913221051		DECLARE	View Organisation Modify Organisation Manage Roles View Partner Search Profile
Test	902517295		DECLARE	
test and education	904581455	369258741	DECLARE	

Start SME self assessment

Go to the **SME** tab and click on [Start SME self assessment](#) to start the SME questionnaire.



Aydin
PIC: 922566516

Organisation Data | Legal Information | Authorised users / LEAR | Bank Accounts | Financial capacity | Messages | Documents | **SME**

SME data

The table below presents your existing SME data.

Year	Result	Type	Closing date	Status	Actions
2016	SME	Self-assessed	01/06/2017	submitted	

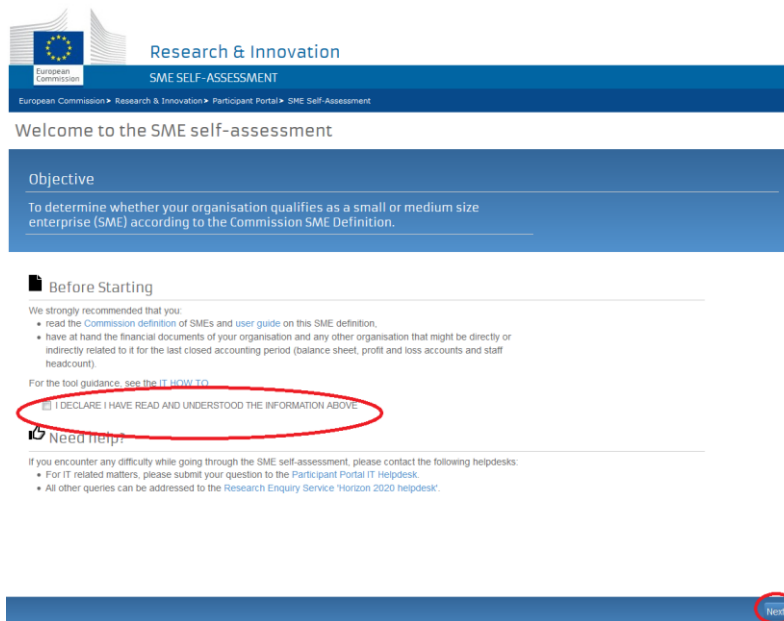
SME Self-Assessment

In some calls for proposals (specified in the topic conditions and submission system) the SME Self-Assessment is mandatory and the lack of it may block your submission. Find additional information about the SME Self-Assessment on the IT HOW TO wiki.

Start SME self-assessment

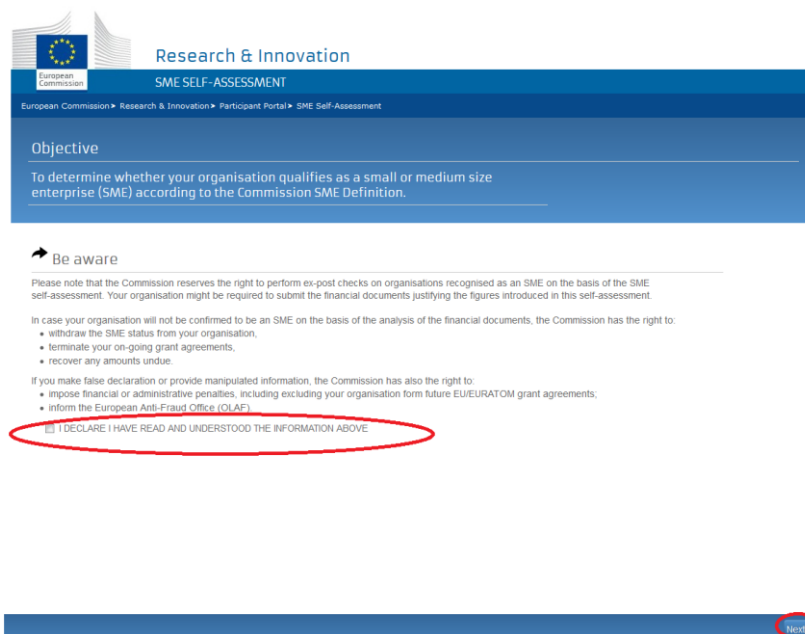
The first screen includes links to information you need to be familiar with before completing the questionnaire, such as the European Commission's SME definition, the User Guide on the SME definition and the link to the **IT How To**, where information about how to use the questionnaire is to be found.

After having read the above documents, you can start the questionnaire, by ticking the declaration about having read and understood the information shown. To proceed, click next.



The second screen will inform you about responsibilities and potential consequences of inaccurate and false declaration made in fulfilling the SME self-assessment.

After having read these warnings, you can proceed with the questionnaire, by ticking the declaration. To continue, click next.



You are required to read the information displayed on this third screen on which you will also find ad hoc links to the relevant EU documentation (SME Definition and User Guide - i.e. 1, 2, 3 below).

After having read carefully the information provided, you are required to tick the corresponding declaration box (i.e. 4 below) and launch the SME questionnaire by clicking on the Start button (5 below).



What you need to check to know if Test Registration is an SME

Step 1 Test Registration has to be an "enterprise"

[Article 1 to the Annex to the SME Definition](#)

[More details: User Guide, page 9](#)

An enterprise is any entity engaged in an economic activity. Economic activity is selling products or providing services on the market at a given price. Newly established enterprises (start-up companies) or companies without economic activity (but expecting to enter soon into the market) may also qualify as SMEs. The legal form is not important: even self-employed, family firms, partnerships and associations or any other entity may be an enterprise.

Step 2 Test Registration has to meet the following conditions

[Article 2 to the Annex to the SME Definition](#)

[More details: User Guide, page 10](#)

- To employ fewer than 250 persons, and
- To have an annual turnover not exceeding EUR 50 million and/or
- To have an annual balance sheet not exceeding EUR 43 million.

Step 3 Do financial data of other entities have to be added to Test Registration's data?

[Article 2 to the Annex to the SME Definition](#)

[More details: User Guide, page 10](#)

For this purpose, it is important to establish if Test Registration is **autonomous** or not:

- **Autonomous** if it is totally independent or does not have any partners or linked entities.
- **Not autonomous** if it has relationships with other entities (partners or links). In this case, you need to provide the information listed in Step 2 for all of them.

I have read and understood the information above and I am ready to enter data for **Test Registration**

[Start](#)

The SME-Questionnaire step by step

All along the questionnaire you will find:

- on the left hand side of the screen: the questions to be answered (#1 on next screen shot), and
- on the right hand side of the screen: a glossary containing all the information necessary to answer the questions asked. Definitions are in alphabetical order (#2 on next screen shot). Answering the question (#3 on next screen shot) triggers a new question (#4 on second next screen shot). The corresponding Glossary definition will be expanded for your better understanding of the question (#5 on second screen shot). You may, at any time, expand any of the Glossary definitions by clicking on its title.

The screenshot displays a two-panel interface. The left panel, titled 'TEST REGISTRATION 1', contains a question: 'We first need to know if Test Registration has closed and approved annual accounts, or if Test Registration is an enterprise recently created with no closed annual accounts yet. Does Test Registration have closed and approved annual accounts?'. Below the question are two radio buttons: 'Yes' (which is selected and circled in red) and 'No'. A 'Cancel' button is also present. The right panel, titled 'Glossary 2', lists various terms with their definitions. The 'Staff headcount' entry is highlighted with a red border. The glossary entries include: Annual balance sheet total, Business plan, Companies with closed accounts but no turnover yet (with a detailed definition and bullet points), Consolidated Accounts, Currency, Date of closure, Economic activity, Investment in Research and Development (R&D), Investor, Legal person, Parent company, Percentage, Public body, Staff headcount, Start-up, and Turnover.

TEST REGISTRATION

We first need to know if Test Registration has closed and approved annual accounts, or if Test Registration is an enterprise recently created with no closed annual accounts yet. Does Test Registration have closed and approved annual accounts?

Yes No

Do the last closed and approved annual accounts show a turnover generated by Test Registration's activity?

Yes No

[Cancel](#)

Glossary

- Annual balance sheet total
- Business plan
- Companies with closed accounts but no turnover yet
- Consolidated Accounts
- Currency
- Date of closure
- Economic activity
- Investment in Research and Development (R&D)
- Investor
- Legal person
- Parent company
- Percentage
- Public body
- Staff headcount
- Start-up
- Turnover** 5

The 'turnover' is intended as the total revenues generated from the sales of products and/or supply of services. The turnover is generally indicated in the company's profit and loss account.


Note: Turnover is not the same as profit. Profit generally means the amount of turnover remaining after all business expenses have been deducted. In comparison, turnover is generally the gross amount of income received by the business. Turnover is not the same as "other operating income". The "other operating income" can refer for example to revenue from grants, membership fees or sponsorships but it is rarely the turnover.

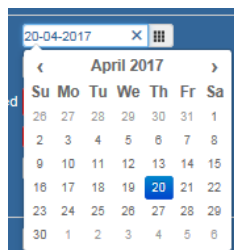
[\(Article 2 to the Annex to the SME Definition\)](#)

[More details User Guide, page 13](#)

How to answer the questions:

The initial questions are of 'yes/no' type; you will be required to provide input afterwards.

The  icon indicates fields with date format. Click on the empty space on the left side to display a calendar and to select a date:



Some other fields are drop-down lists.

Fields without icon on the right are number fields where you need to provide input manually.

Whenever you provide wrong kind of input format or no input, a message will list the errors. Amend accordingly to be able to continue:

MY COMPANY

We first need to know if My Company has closed and approved annual accounts, or if My Company is an enterprise recently created with no closed annual accounts yet. Does My Company have closed and approved annual accounts?

Yes No

Do the last closed and approved annual accounts show a turnover generated by My Company's activity?

Yes No

You are now required to insert financial data related to the last closed accounting period. If My Company is part of a group, you may use the consolidated accounts of the group.

Please enter data from the last closed accounting period

Will you use consolidated accounts? Drop-down

Yes No

Individual accounts

Date of closure of the accounts: 04-02-2019

Staff Headcount: 1

Currency of the annual accounts: EUR

Annual turnover: 100,000.00

Annual balance sheet total: _____

You could also encounter questions for which you need to make a declaration. Tick the corresponding box in those cases.

Lengthy Time-To-Market

I declare that Test Registration invests in Research and Development.

Please note that, at any time, clicking the Cancel button will take you out of the questionnaire without saving.

Step 1 My Organization

You will be asked first to fill in information concerning your organisation. Each answer triggers a different new set of questions:

<p>SEDIA MASTER PIC</p> <p>We first need to know if SEDIA MASTER PIC has closed and approved annual accounts, or if SEDIA MASTER PIC is an enterprise recently created with no closed annual accounts yet. Does SEDIA MASTER PIC have closed and approved annual accounts?</p> <p><input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p>Do the last closed and approved annual accounts show a turnover generated by SEDIA MASTER PIC's activity?</p> <p><input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p><input type="button" value="Cancel"/></p>	<p style="text-align: center;">Glossary</p> <p>Annual balance sheet total</p> <p>Business plan</p> <p>Companies with closed accounts but no turnover yet</p> <p>Consolidated Accounts</p> <p>Currency</p> <p>Date of closure</p> <p>Economic activity</p> <p>Investment in Research and Development (R&D)</p> <p>Investor</p> <p>Legal person</p> <p>Parent company</p> <p>Percentage</p> <p>Public body</p> <p>Staff headcount</p> <p>Start-up</p> <p>Turnover</p> <p><small>The 'turnover' is intended as the total revenues generated from the sales of products and/or supply of services. The turnover is generally indicated in the company's profit and loss account.</small></p> <p><small>Note: Turnover is not the same as profit. Profit generally means the amount of turnover remaining after all business expenses have been deducted. In comparison, turnover is generally the gross amount of income received by the business. Turnover is not the same as "other operating income". The "other operating income" can refer for example to revenue from grants, membership fees or sponsorships but it is rarely the turnover.</small></p> <p><small>Article 2 in the Annex to the SME Definition</small></p> <p><small>More details User Guide, page 13</small></p>
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SEDIA MASTER PIC

We first need to know if SEDIA MASTER PIC has closed and approved annual accounts, or if SEDIA MASTER PIC is an enterprise recently created with no closed annual accounts yet.
Does SEDIA MASTER PIC have closed and approved annual accounts?

Yes No

On the basis of your answer, SEDIA MASTER PIC is considered as a start-up company, recently created, with no closed annual accounts.

Will SEDIA MASTER PIC have generated a turnover in the course of its 1st financial year?

Yes No

[Cancel](#)

Glossary

Annual balance sheet total

Business plan

Companies with closed accounts but no turnover yet

Consolidated Accounts

Currency

Date of closure

Economic activity

Investment in Research and Development (R&D)

Investor

Legal person

Parent company

Percentage

Public body

Staff headcount

Start-up

Turnover

The 'turnover' is intended as the total revenues generated from the sales of products and/or supply of services. The turnover is generally indicated in the company's profit and loss account.

Note: Turnover is not the same as profit. Profit generally means the amount of turnover remaining after all business expenses have been deducted. In comparison, turnover is generally the gross amount of income received by the business. Turnover is not the same as 'other operating income'. The 'other operating income' can refer for example to revenue from grants, membership fees or sponsorships but it is rarely the turnover.

[\(Article 2 to the Annex to the SME Definition\)](#)
[More details User Guide, page 13](#)

You will reach the end of this first section when you are presented with the validate button



Click on it in order to validate your input.

If you detect an error, please correct the relevant field. Otherwise you can go the following step of the questionnaire.

[Contact](#) [Legal Notice](#) English(en)

Research & Innovation

SME SELF-ASSESSMENT

European Commission > Research & Innovation > Participant Portal > SME Self-Assessment

SME ownership and links

Current Organisation: **My Company**

Enter information about:

Shareholders / Upstream entities	Participations / Downstream entities	Other Relationships
<p>You are now requested to introduce information related to the shareholders (upstream entities) of My Company.:"</p> <ul style="list-style-type: none"> A public body, or A private entity holding 25% or more of the Voting Rights, or A private / natural person holding above 50% of the Voting Rights. <p style="font-size: small; text-align: right;"> Article 3.4 SME Definition (User guide, page 19 - EN version) Article 3.2 - 3.3 SME Definition (User guide, page 18 - EN version) Article 3.2 - 3.3 SME Definition (User guide, page 33 - EN version) </p> <p>As a general rule, data inserted for the shareholders should be related to the same accounting period than the one previously inserted for My Company.</p>		
<p>If any of the listed entities hold voting rights in My Company, please click below.</p> <p style="text-align: center;">Shareholder</p>	<p>If you want to declare that no entity of the listed types hold voting rights in My Company, please click below.</p> <p style="text-align: center;">No Shareholders to add</p>	

Choose one of the 2 options to proceed

Overview of ownership

Name	%	Type	Financial Data	Actions	S	P	O
My Company		MO	TC: 100,000.00 EUR BS: Employees: 1.00	✕	-	-	-

11

Finish later

10

Draft auto-saved at: 11:59:26 15-02-2019

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At this point, your input has been saved as a draft (# 10 above). You can leave the questionnaire, by clicking the Finish later button (# 11 above), and return back to it at any moment by clicking the

[Continue SME self assessment](#)

in the Beneficiary Register application.

The screenshot shows the user interface of the Beneficiary Register application. On the left is a dark blue sidebar with navigation options: My Organisation(s), Grants, My Proposal(s), My Project(s), My Audits, My Formal Notification(s), and My Task(s). The main content area is titled 'Aydin' with PIC 922566516. It features a horizontal menu with tabs: Organisation Data, Legal Information, Authorised users / LEAR, Bank Accounts, Financial capacity, Messages (1), Documents (4), and SME. The 'SME' tab is active. Below the menu, the 'SME data' section contains a table with the following data:

Year	Result	Type	Closing date	Status	Actions
2016	SME	Self-assessed	01/06/2017	submitted	

Below the table, there is a 'SME Self-Assessment' section with a text block: 'In some calls for proposals (specified in the topic conditions and submission system) the SME Self-Assessment is mandatory and the lack of it may block your submission. Find additional information about the SME Self-Assessment on the IT HOW TO wiki.' At the bottom of this section is a blue button labeled 'Continue SME self-assessment' which is highlighted with a red rectangle.

Note: If, at a later stage, you come back to the self-assessment, you will face the same declarations as in the initial phase. You will therefore have to acknowledge them again by ticking the corresponding boxes.

Step 2: Shareholders

Now the system will ask you to enter information concerning the "family tree" of your organization (in this case the name of the company is Test Registration).

You have to indicate here the existence of **Shareholders** related to your organisation. You will secondly be asked to fill in information concerning these shareholders, if any.

[Contact](#) [Legal Notice](#) English(en) ▾

European Commission

Research & Innovation

SME SELF-ASSESSMENT

European Commission > Research & Innovation > Participant Portal > SME Self-Assessment

SME ownership and links

Current Organisation: **My Company**

Enter information about:

Shareholders / Upstream entities	Participations / Downstream entities	Other Relationships
You are now requested to introduce information related to the shareholders (upstream entities) of My Company: ¹		
<ul style="list-style-type: none">A public body, orA private entity holding 25% or more of the Voting Rights, orA private / natural person holding above 50% of the Voting Rights.		<p>Article 3.4 SME Definition (User guide, page 19 - EN version)</p> <p>Article 3.2 - 3.3 SME Definition (User guide, page 18 - EN version)</p> <p>Article 3.2 - 3.3 SME Definition (User guide, page 33 - EN version)</p>
As a general rule, data inserted for the shareholders should be related to the same accounting period than the one previously inserted for My Company.		

Choose one of the 2 options to proceed

If any of the listed entities hold voting rights in **My Company**, please click below.

[Shareholder](#)

If you want to declare that no entity of the listed types hold voting rights in **My Company**, please click below

[No shareholders to add](#)

Overview of ownership

Name	%	Type	Financial Data	Actions	S	P	O
My Company		MO	TO: 100,000.00 EUR BS: Employees: 1.00	✎	-	-	-

[Finish later](#) Draft auto-saved at: 11:59:26 15-02-2019

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When adding Shareholders, the system will ensure that you enter the totality of the shares (i.e. 100%).

To help you provide only relevant information, the question will indicate, each time, the categories (with minimum percentages) of the entities whose data contribute to the calculation.

It is, thus, very important to carefully read the different options before clicking on [Shareholder](#).

Next, a new blue pane will slide in and you will be asked to enter information concerning the shareholder¹ (name of the entity, whether it is a legal/natural person, public/private and if it belongs to one of the investors categories).

Click on **Validate** when done.

¹ Refer to chapter "Using consolidated accounts" in case you wish to use them.

EDIT SHAREHOLDER

Enter data about shareholder *My Company* that is:

MY FIRST SHAREHOLDER

Entity's name:

Is it a legal person?
 Yes, it's a legal person No, it's a natural person

Is it a public body?
 Yes No, it's a private entity

Does it belong to a specific category of investors?
 Yes No

What is the percentage of stakes or voting rights (take the highest) of My Company?
 %

You are now required to insert financial data related to the last closed accounting period.
 If **My first shareholder** is part of a group, you may use the consolidated accounts of the group.

Please enter data from the last closed accounting period

Will you use consolidated accounts?
 Yes No

Individual accounts

Date of closure of the accounts

Staff Headcount

Currency of the annual accounts

Annual turnover

Annual balance sheet total

In our example, we add a shareholder holding 75% named My first Shareholder.

Research & Innovation

SME SELF-ASSESSMENT

European Commission > Research & Innovation > Participant Portal > SME Self-Assessment

SME ownership and links

Current Organisation:

Enter information about:

Choose one of the 2 options to proceed

My Company

Shareholders / Upstream entities	Participations / Downstream entities	Other Relationships
<p>You are now requested to introduce information related to the shareholders (upstream entities) of My Company:"</p> <ul style="list-style-type: none"> • A public body, or Article 3.4 SME Definition (User guide, page 19 - EN version) • A private entity holding 25% or more of the Voting Rights, or Article 3.2 - 3.3 SME Definition (User guide, page 18 - EN version) <p>As a general rule, data inserted for the shareholders should be related to the same accounting period than the one previously inserted for My Company.</p>		

If any of the listed entities hold voting rights in **My Company**, please click below.

Shareholder

If you want to declare that no entity of the listed types hold voting rights in **My Company**, please click below

No shareholders to add

Overview of ownership

Name	%	Type	Financial Data	Actions	S	P	O
My Company		MO	TO: 175,000.00 EUR BS: 200,000.00 EUR Employees: 5.00		-	-	-
My first shareholder	75.00 %	S	TO: 150,000.00 EUR BS: 200,000.00 EUR Employees: 1.00		<input checked="" type="checkbox"/>	-	<input checked="" type="checkbox"/>

Finish later
Draft auto-saved at: 12:19:00 15-02-2019

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In case there are no (or no more) shareholders to be added (from one of the listed categories), click No shareholders to add to complete the ownership structure of the current entity. In this case

the system will create a **Minor Shareholders** category in the ownership structure which means that the rest of the ownership (or even the 100%) is not relevant to the calculation. In our example Minor Shareholders will hold 25%.

The Shareholder(s) added will be visible in the overview of the "family tree".

Overview of ownership

Name	%	Type	Financial Data	Actions	S	P	O
My Company		MO	TO: 175,000.00 EUR BS: 200,000.00 EUR Employees: 5.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
My first shareholder	75.00 %	S	TO: 150,000.00 EUR BS: 200,000.00 EUR Employees: 1.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
My Minor Shareholders	25.00 %	S	TO: BS: Employees:		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

As a general rule, data inserted for the shareholders should be related to the same accounting period than the one previously inserted for your organisation.

Step 3: Participations

Once you have completed the Shareholder(s) section, the system will ask you to enter information concerning your Participation(s). You will therefore thirdly be asked to provide information about Participations.

Research & Innovation
SME SELF-ASSESSMENT

European Commission > Research & Innovation > Participant Portal > SME Self-Assessment

SME ownership and links

Current Organisation: My Company

Enter information about:

- Shareholders / Upstream entities ✓
- Participations / Downstream entities**
- Other Relationships

Voting rights held by My Company in other entities

As a general rule, data inserted for the participations should be related to the same accounting period than the one previously inserted for My Company.

Choose one of the 2 options to proceed

You are now requested to introduce information related to the Participations (downstream entities) of My Company. If My Company holds 25% or more of the capital or voting rights in another entity, please add this entity by clicking below

[Add participation](#)

If My Company does not hold 25% of the capital or voting rights in another entity, please confirm it clicking below

[No participation to add](#)

Overview of ownership

Name	%	Type	Financial Data	Actions	S	P	O
My Company		MO	TO: 175,000.00 EUR BS: 200,000.00 EUR Employees: 5.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
My first shareholder	75.00 %	S	TO: 150,000.00 EUR BS: 200,000.00 EUR Employees: 1.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
My Minor Shareholders	25.00 %	S	TO: BS: Employees:		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Finish later Draft auto-saved at: 12:37:53 15-02-2019

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Also in this case, the question will indicate every time what is the minimum percentage of Participation that you need to declare.

When you click on **Add Participation**, a blue pane containing questions about these Participations will slide in and you will be asked to enter information concerning Participation(s). Once this information is filled in, click **Validate**.

In our example, the company "My Test Subsidiary" is indicated as owned at 80% by Test Registration.

ADD PARTICIPATION

Enter data about participation of *My Company*
Please add entity in which My Company holds 25% or more of the capital or voting rights

MY ITALIAN SUBSIDIARY

Entity's name:
My Italian Subsidiary

What is the percentage of stakes or voting rights (take the highest) held by My Company?
80 %

You are now required to insert financial data related to the last closed accounting period.
If My Italian Subsidiary is part of a group, you may use the consolidated accounts of the group.

Please enter data from the last closed accounting period

Will you use consolidated accounts?
 Yes No

Individual accounts

Date of closure of the accounts	14-02-2019
Staff Headcount	4
Currency of the annual accounts	EUR
Annual turnover	500,000.00
Annual balance sheet total	60,000.00

When all the Participations are added, or in case there are no other relevant Participations, click **No Participation to add** to move to the next step.

The Participation(s) added will be visible in the overview of the "family tree".

Overview of ownership

Name	%	Type	Financial Data	Actions	S	P	O
My Company		MO	TO: 175,000.00 EUR BS: 200,000.00 EUR Employees: 5.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
My first shareholder	75.00 %	S	TO: 150,000.00 EUR BS: 200,000.00 EUR Employees: 1.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
My Minor Shareholders	25.00 %	S	TO: BS: Employees:		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
My Italian Subsidiary	80.00 %	P	TO: 500,000.00 EUR BS: 60,000.00 EUR Employees: 4.00		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

As a general rule, data inserted for the participations should be related to the same accounting period than the one previously inserted for your organisation.

Step 4: Other Relationships

Once you have completed the Participation(s) section, the system will ask you to enter information concerning your Other Relationship(s). You will therefore be asked to provide information about Other Relationship(s).

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SME ownership and links

Current Organisation: **My Company**

Enter information about:

- Shareholders / Upstream entities
- Participations / Downstream entities
- Other Relationships**

Potential relations between **My Company** and other entities.
The EC Recommendation stipulates that other forms of relations might also need to be considered when assessing the SME status of an entity. Please read carefully through the list of potential relations that might exist between My Company and another entity.

- My Company has the right to appoint or remove a majority of the members of the administrative, management or supervisory body of another entity;
- My Company has the right to exercise a dominant influence over another entity (pursuant to a contract or a provision in the memorandum or articles of association);

or

- Another entity is entitled to appoint or remove a majority of the administrative, management or supervisory body of My Company.
- A contract enables another entity to exercise a dominant influence over My Company.

Link to (Article 2 to the Annex to the SME Definition). Link to User Guide, page 13

As a general rule, data inserted for the other relationships should be related to the same accounting period than the one previously inserted for My Company.

Choose one of the 2 options to proceed

If any of the above options applies to My Company please click below

[Add other relationship](#)

If none of the above options applies to My Company please click below

[No other relationship to add](#)

Overview of ownership

Name	%	Type	Financial Data	Actions	S	P	O
My Company		MO	TO: 175,000.00 EUR BS: 200,000.00 EUR Employees: 5.00		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
My first shareholder	75.00 %	S	TO: 150,000.00 EUR BS: 200,000.00 EUR Employees: 1.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
My Minor Shareholders	25.00 %	S	TO: BS: Employees:		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
My Italian Subsidiary	80.00 %	P	TO: 500,000.00 EUR BS: 60,000.00 EUR Employees: 4.00		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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The question explains what kind of relationships has to be declared at this stage. You can click on the [Add Other Relationship](#) button and enter the information related to this entity. If there are none or no more relevant Other Relationships to be added, click on the [No Relationship to ADD](#) button.

STEP 5: The system moves to following entities

Once you have provided all the information for your organisation (Shareholders-Participation-Other Relationships), you will be asked to repeat the same exercise for all the entities you indicated as belonging to the "family tree".

In other words, you will complete again STEPS 2, 3 and 4 for each entity listed in the "family tree".

Research & Innovation
SME SELF-ASSESSMENT

European Commission > Research & Innovation > Participant Portal > SME Self-Assessment

SME ownership and links

Current Organisation: **My first shareholder**

Enter information about: Shareholders / Upstream entities ✓ Participations / Downstream entities Other Relationships ✓

Voting rights held by **My first shareholder** in other entities

As a general rule, data inserted for the participations should be related to the same accounting period than the one previously inserted for My first shareholder.

Choose one of the 2 options to proceed

You are now requested to introduce information related to the Participations (downstream entities) of My first shareholder. If My first shareholder holds 25% or more of the capital or voting rights in another entity, please add this entity by clicking below

If My first shareholder does not hold 25% of the capital or voting rights in another entity, please confirm it clicking below

Add participation No participation to add

Overview of ownership

Name	%	Type	Financial Data	Actions	S	P	O
My Company		MO	TO: 175,000.00 EUR BS: 200,000.00 EUR Employees: 5.00	✉	✓	✓	✓
My first shareholder	75.00 %	S	TO: 150,000.00 EUR BS: 200,000.00 EUR Employees: 1.00	✉ 🗑️	✓	-	✓
My Minor Shareholders	25.00 %	S	TO: BS: Employees:	✉ 🗑️	✓	✓	✓
My Italian Subsidiary	80.00 %	P	TO: 500,000.00 EUR BS: 60,000.00 EUR Employees: 4.00	✉ 🗑️	-	-	-

Important: Where am I?


To identify which is the current relevant entity at any given point in time look at the top of the table, in the orange box. In the overview of the ownership table, you will see the current entity in a light orange background.

The Progress Bar



If you want to see how far you are from the results page, you can give a look at the progress bar (top right of the screen). The circles represent the entities that have already been declared (a green circle for the completed ones and a grey bullet for the entities for which you still need to provide information).

If you are introducing a complex group structure, it may happen that either:

- 1) the  button is not present on the screen on which you introduce the data of the entity and you can't add the entity in the group structure
- 2) or you are directed immediately to the final "Ready for the results screen".


Such proceeding will indicate that the data of the entity must not be taken into account when calculating the thresholds relevant for the SME status.


Reviewing and editing the information:

Overview




















The table "Overview of Ownership" at the bottom of the main screen displays the entities that you declared, its corresponding financial data, ownership percentages, type of relationships as well as the parent company to which they are related. The **last** three columns (S for Shareholders, P for Participations and O for Other Relationships) include the information that has been completed so far.

The icon  indicates that you still need to provide information.


The green checkmark icon  means that you provided all the required information or that no further information is needed.

The grey checkmark icon  means that you don't have to provide information for the specific category of relationship.

Overview of ownership

Name	%	Type	Financial Data	Actions	S	P	O
My Company		MO	TO: 175,000.00 EUR BS: 200,000.00 EUR Employees: 5.00				
My first shareholder	75.00 %	S	TO: 150,000.00 EUR BS: 200,000.00 EUR Employees: 1.00	 			
My Minor Shareholders	25.00 %	S	TO: BS: Employees:	 			
My Italian Subsidiary	80.00 %	P	TO: 500,000.00 EUR BS: 60,000.00 EUR Employees: 4.00	 			

Edit data for a company


After creating an entity (which is done by validating the blue pane), you can edit the data at any time by clicking the edit button .

For this purpose, the blue pane will reappear and enable you to edit the information you provided previously: legal name, percentage, and financial data.

Important: The information related to the legal status of any entity is not editable using this procedure. If you want to change the status of any organisation from Natural Person to Legal Person, you will have to delete this entity and create a new one.



Edit the Ownership Structure: Shareholders

If you have already submitted information about the shareholder structure of a certain entity and you want to modify that structure, you can do the following:


- Modify the percentage amount of a Shareholder: select the edit button corresponding to the shareholder and modify its percentage. If you are going to enter a higher percentage, the system will only allow it if a Minor Shareholder item has been previously generated for that shareholder structure. Once the new percentage value has been entered and validated, if the total % is less than 100%, you will have to confirm once again that the current entity does not have Other Shareholders.
- Delete a Shareholder by clicking . If you do so, you will have to replace the percentage that remains uncovered by adding a new shareholder or clicking.



No shareholders to add


if the rest is assumed to be held by minor shareholders.

- Delete Minor Shareholders by clicking . You might want to do this if the percentage of non-relevant shareholders is now partially or totally held by a relevant shareholder. This case is similar to the previous one: you will have to replace the percentage that remains uncovered by adding a new shareholder or clicking  (if the rest is held by minor shareholders).

Edit the Ownership Structure: Participations and other Relationships

If you forgot to add a **Participation** or an **Other relationship**, you can do it at a later stage by clicking the green check mark , corresponding to the appropriate relationship (column P or O).

Important: This action can only be performed when the corresponding icon is the green check mark . If the  icon is displayed next to the relevant relationship, you will have to wait before adding a new relationship. The questionnaire will prompt you to add it at a later point.

To delete a Participation or any Other Relationship (or a Shareholder), you can click the delete icon  placed next to that entity.

Important: Every time you delete an entity, all relationships created by that entity will also be deleted.

Ready for the Results

Once all the necessary information is entered, the “Ready for the results” page appears.

Now is the time to check that all the information provided is correct. You can do so by reviewing it on the "Overview" section of the Ownership table.

> ● ● ● ●

Ready for the result of the SME self-assessment

Below you will find a summary of the data that you have entered.
Before pressing the “submit” button, please verify that the all inserted data and information is correct as no changes will be possible after that.
Once you submit the data, the SME self-assessment will automatically determine whether **My Company** qualifies as an SME according to the EC Recommendation 2003/361/EC and will transmit the result of the SME self-assessment, together with the information provided by you, to the relevant EU services.

- I confirm to have read and understood the explanations provided throughout the SME self-assessment.
- I declare, under my responsibility, that the information and data introduced is true and correct and has been inserted in good faith and in compliance with the SME rules and guidelines.
- I confirm that, apart from the organisation(s) listed here below, there are no other organisations which can be considered as partner or linked to **My Company** under the terms and conditions of Articles 3.2 and 3.3 of the SME Definition (including organisations having other relationships, such as the right to exercise a dominant influence).
- I acknowledge that my self-assessment will be available to all relevant EU Services.
- I agree to submit the financial documents justifying the figures and data introduced in the SME self-assessment should an ex post check be performed on **My Company**.

Finish and view results

Important: Your data will only be saved by clicking "Submit changes" in the Beneficiary Register

Overview of ownership

Name	%	Type	Financial Data	Actions	S	P	O
▼ My Company		MO	TO: 175,000.00 EUR BS: 200,000.00 EUR Employees: 5.00		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
My first shareholder	75.00 %	S	TO: 150,000.00 EUR BS: 200,000.00 EUR Employees: 1.00		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
My Minor Shareholders	25.00 %	S	TO: BS: Employees:		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
▼ My Italian Subsidiary	80.00 %	F	TO: 500,000.00 EUR BS: 60,000.00 EUR Employees: 4.00		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Minor shareholders	20.00 %	S	TO: BS: Employees:		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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After your review, click

Finish and view results

Important: It can happen that you see the results page although some information concerning the created entities is still missing.

This means that, while performing the calculation process, the SME self-assessment detected that some of the relevant thresholds have already been exceeded. Therefore, your organisation does not qualify as a SME.

After clicking

Finish and view results

, you will see the final report.



SME STATUS ASSESSMENT - FINAL REPORT

Date: 15-02-2019

The «SME» status assessment of My Company is now completed.

Result

Based on the information and financial figures related to the financial year 2018 taken into consideration under the terms of the SME Definition,

My Company qualifies as an SME

Please find hereafter the 2018 results for My Company concerning the SME criteria relevant under the SME Definition.

SME Thresholds

Staff Headcount: 10.00

Aggregated Annual Turnover: 825,000.00 EUR

Aggregated Annual Balance Sheet: 460,000.00 EUR

The My Company declared that it is engaged in an economic activity.

Relevant figures (in terms of staff headcount, annual turnover and/or annual balance sheet) for the following partner/linked entities (under Article 3 of the SME Definition) have been taken into consideration and consolidated:

Name of the entity		%	Relationship	TO	BS	Staff	pub	NP	INV	Closing date	Cons acc y/n
My Company	AGGREGATED	100.00	MAIN	825,000.00 EUR	460,000.00 EUR	10.00					
	INDIVIDUAL	100.00		175,000.00 EUR	200,000.00 EUR					04-02-2019	
My first shareholder	actual %	75.00	Shareholder of My Company	150,000.00 EUR	200,000.00 EUR	1.00					
	effective %	100.00		150,000.00 EUR	200,000.00 EUR	1.00				13-02-2019	
My Minor Shareholders	actual %	25.00	Shareholder of My Company	EUR	EUR						
	effective %	25.00		0.00 EUR	0.00 EUR	0.00					
My Italian Subsidiary	actual %	80.00	Owned by My Company	500,000.00 EUR	60,000.00 EUR	4.00					
	effective %	100.00		500,000.00 EUR	60,000.00 EUR	4.00				14-02-2019	
Minor shareholders	actual %	20.00	Shareholder of My Italian Subsidiary	EUR	EUR						
	effective %	0.00		0.00 EUR	0.00 EUR	0.00	Y				

Close

You have to submit the result of your self-assessment at this point. To do so, click on Close. The system will automatically direct you back to the Portal, where you can click on **Submit** to save the results into your organisation data.

The screenshot shows the 'SME' tab selected in the portal. The table below presents existing SME data:

Year	Result	Type	Closing date	Status	Actions
2016	SME	Self-assessed	01/06/2017	To Submit	Submit

The 'Submit' button in the actions column is highlighted with a red box.

Additional information about specific situations

Using Consolidated Accounts

Every time you are asked to enter financial data for a given entity, you have the option of using consolidated accounts.

The use of consolidated accounts allows you to provide financial data for a group of companies at once.


After selecting this option, you have to indicate whether the selected company is preparing consolidated accounts for a group (is the parent company) or if its accounts are included in consolidated accounts prepared by another company (parent company).

When using consolidated accounts, only the parent company will have to provide financial (consolidated) data.

Important: Your organisation will always have to provide individual financial data, even if you are using Consolidated Accounts

It can happen that, at the end of the process, some entities remain without a parent company: if so, a message will list these entities and the parent companies (if existing).

You will be able to fix this by performing one of the following actions:

- Select (by clicking the edit button  in the overview of the ownership table) one of the parent companies and link it to one or more of the listed entities);
- Select (by clicking the edit button  in the overview of the ownership table) one of these entities and link it to a parent company;
- Select (by clicking the edit button  in the overview of the ownership table) one of these entities, and provide individual financial data (after deselecting the consolidated options).

SME Self-Assessment - Tips and tricks

- Get Prepared. Prepare the latest financial accounts of all the relevant organisations and keep them at hand while entering data in the SME Self-Assessment. As a recommendation, it is very helpful to prepare a diagram that shows the relationships between your organisation and the other relevant organisations in its ownership structure. You are asked to declare the following financial data: Total Annual Balance Sheet, Annual Turnover, Currency used, Staff Headcount and Date of Closure of the financial period.
- Always stay focused on the current question and follow the corresponding instructions.
- What am I being asked? When you answer the questions, always pay attention to the Current Organisation – this is the organisation that you are expected to enter data for (highlighted in orange on the screen).
- Read carefully the complete question.
- Relevant information only - The tool will not ask you and will not let you enter data which is not relevant for self-assessment purposes.
- No duplicates - Make sure you are not adding an organisation that you have already mentioned.
- Overview - You can review your added organisations and their situation in the Overview of ownership table at any moment during this process.
- Did I forget something? The Overview of ownership is also the place where you can re-edit or correct data already entered, using the buttons next to each organisation (edit, delete, etc.).
- Ready to submit The tool will invite you to submit your data once all required information is encoded for all organisations indicated. It is then time to check that all data is correct.