



European Union
European Structural
and Investment Funds

2014 to 2020 European Growth Programme

Output Indicator Definitions Guidance for the
European Regional Development Fund for England

VERSION 6

June 2018

(C1) Number of enterprises receiving support

Terms	Definitions
Unit of measurement	Number of enterprises
Investment priorities where the indicator is used	IP1b IP2a IP2b IP3a IP3c IP3d IP4a IP4b IP4e IP4f IP6f IP9d
Count Criteria: What can be recorded against this indicator?	<ul style="list-style-type: none">• The type of support includes consultancy, information, diagnostic advice and guidance to individual businesses, as well as financial assistance for investment that results in the production of goods and/or services.• This output indicator covers all size of business - sole trader, micro business, small and medium-sized enterprise, large business. It includes social enterprises where these engage in economic activity.• Specific calls for proposals or specific conditions may require those running projects to work with particular types of businesses. Furthermore, eligibility rules and in particular state aid rules may limit the type of businesses that may be supported.• Assistance counted can include initial diagnostic and assessments, as well as any defined subsequent support.• The method for delivering assistance can be face-to-face, telephone or web-based dialogue, through conferences, seminars, meetings, and workshops dependent on the needs of individual businesses.• Assistance can include one-to-one or in groups.• Activities should support the project's objectives and be directed towards ultimately improving the performance of the business.

	<ul style="list-style-type: none"> • Support can be provided across a range of activity including: <ul style="list-style-type: none"> ○ Management/leadership support ○ Corporate and social responsibility ○ Access to new supply chains and markets including new international markets ○ Marketing ○ Innovation and commercialisation of R&D ○ Process improvement, quality assurance ○ Access to Finance Support ○ Direct loans and financial instruments ○ Resource efficiency. • The list of activity above is not exclusive. Any support can be counted if this is consistent with national eligibility rules and the operational programme and addresses a genuine business need established through a diagnostic or other assessment.
<p>Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?</p>	<p>To count one instance of this indicator you must provide evidence to demonstrate the ERDF project has provided the following:</p> <p>For non- financial support:</p> <ul style="list-style-type: none"> • 2 days (12 hours) active consultancy support. <p>For financial support (loan or grant) investment:</p> <ul style="list-style-type: none"> • Grant or Loan/Risk Finance Investment of at least £1,000. <p><i>Multiple Counting:</i> A specific business can only be counted once by a project. Multiple instances of financial or non-financial support within a project cannot be counted multiple times. Separate projects may count the same business where they provide the level of support meeting the criteria above in separate interventions. Each individual support claimed should have a unique indicator.</p>
<p>Count Exclusion: What activity cannot be counted against this indicator?</p>	<ul style="list-style-type: none"> • The 12-hour support excludes travelling and preparation time; it is only the actual time delivering the support to the business that can be counted. • Distribution of generic guidance, mail-shots and brochures (electronic or hard copy) are excluded. • Activity already counted toward achieving Indicators for ERDF outlined in this note cannot be double counted. • Any businesses ineligible for ERDF support under national eligibility rules are excluded.
<p>Verification Evidence:</p>	<p>Record of business - Name, address including post code, contact details, company registration number (CRNs) if applicable. Each</p>

<p>What records need to be retained to count this indicator?</p>	<p>enterprise should have a unique identifier at operational level during the course of the project.</p> <p>Support claimed through hours supported – record, electronic or paper, of support meeting the minimum threshold verified and signed by a senior member of staff in the enterprise assisted, including time period claimed.</p> <p>Support claimed for direct financial support - documentation demonstrating that value meeting the minimum threshold has been provided to the business, with a unique identifier.</p>
<p>Additional Information Required for Indicator</p>	<p>Types of additional data which will need to be provided:</p> <ul style="list-style-type: none"> • For enterprises: details of the size of the enterprise, sole trader, small and medium-sized enterprise, large company. <p>A small and medium-sized enterprise covers enterprises which employ fewer than 250 persons and which have an annual turnover not exceeding 50 million Euro, and/or an annual balance sheet total not exceeding 43 million Euro (in accordance with the definition laid down in EU Regulation No 1303/2013 within the meaning of Commission Recommendation 2003/361/EC⁴).</p>
<p>Relationship to other Indicators</p>	<p>Indicator C1 is the primary output for enterprises supported.</p> <p>C1 subsets</p> <p>Indicators C2-C5 are subsets of indicator C1. All instances reported under C1 under priority axis 1 and 3 should also be reported under one or more of the following:</p> <ul style="list-style-type: none"> • C2 – <u>Enterprises receiving grants</u> • C3 – <u>Enterprises receiving financial support other than grants</u> • C4 – <u>Enterprises receiving non-financial support</u> • C5 – <u>New enterprises supported</u> <p>Other outputs related to C1</p> <p>Enterprises reported under C1 and one of the above subsets may also be reported under the following where they meet the relevant definition, criteria and count threshold:</p> <ul style="list-style-type: none"> • C28 - <u>Enterprise supported to introduce new product to market</u> • C29 - <u>Enterprise supported to introduce new product to firm</u> <p>Multiple counts of these indicators <i>do not</i> increase the number of enterprises supported under C1.</p> <p>Enterprises reported under P13</p> <p>Indicator P13 for 'Enterprise receiving information, diagnostic and</p>

⁴ Commission Recommendation of 6 May 2003 concerning the definition of micro, small and medium-sized enterprises, http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2003.124.01.0036.01.ENG

	<u>brokerage</u> ' may also be reported under C1, but only where they have met the C1 count threshold of 12 hours. The 3 hours of support under P13 can be counted towards the 12 hours needed for an output under C1.
Notes	Business is the term commonly used in the UK; the EU Regulations use enterprise.

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(C26) Number of enterprises cooperating with research entities

Terms	Definitions
Unit of Measurement	Number of enterprises
Investment Priorities where this indicator is used	IP1b IP4f
Count Criteria: What can be recorded against this indicator?	<p>This focuses on collaborations which are about transferring good ideas, research results and skills between the knowledge base and business to enable innovative new products and services to be developed and includes:</p> <ul style="list-style-type: none">• Research collaborations and free dissemination of research.• Joint and long term development of new business or services.• Formation of joint ventures and spin-out companies. <p>Collaborations are intended to be long-term and sustained, and are distinct from enterprise support. Benefit must be conditional on some form of formal co-operation.</p> <p>Collaboration must include a minimum of one enterprise and one research entity. Each enterprise in a collaboration may be counted. A research entity is an organisation whose primary activity is R&D. This includes England Public Sector Research Establishments (PSRE) or equivalents, Research and Development Organisations (RDOs), Research and Technology Organisations (RTOs), Higher Education (HEIs) and Further Education Institutions (FEIs).</p> <p>Collaborations are not restricted to small and medium-sized enterprises, but must involve an enterprise within the private sector. Social enterprises can be counted.</p> <p>One or more of the operating parties (research institution or enterprise) may directly receive the ERDF support, but it must be conditional on the cooperation.</p>
Count Threshold: What is the threshold or minimum requirement for recording (one count) of	<p>A collaboration can only be counted once.</p> <p>If a collaboration on a particular intervention includes work with lead and sub-contracting organisation, or multiple enterprises, <i>each</i> enterprise within the partnership can be counted separately.</p>

(C26) Number of enterprises cooperating with research entities	
this indicator?	
Count Exclusions: What activity can't be counted against this indicator?	Enterprises that receive assistance for the same collaboration more than once within a project and within the time period are excluded, as this would be double counting. Distribution of generic guidance, mail-shots and brochures (electronic or hard copy) is excluded.
Verification Evidence: What records need to be retained to count this indicator?	For enterprises: Name, registered address including post code, company number. If there is ambiguity in public private status, evidence of profit making intentions is required. For the collaboration: Letter or other form of agreement (e.g. a memorandum of understanding (MOU) or a contract), which explains what each party's role is in the collaboration, including shared objective and aims. Evidence of outcomes during the operation. For research entity: Name, address, including post code, evidence of primary activity, i.e. charter.
Additional information required for indicators	For evaluation purposes, additional details about the size of enterprise engaged in collaboration, including Company Registration Numbers (CNRs) and unique identifiers, may be required.
Relationship to other Indicators	The enterprise may also be reported under <u>indicator C1 – 'Enterprises receiving support'</u> – where the ERDF support is given directly to the enterprise and the support meets the definition, criteria and count of C1.

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(C28) Number of enterprises supported to introduce new to the market products

Terms	Definitions
Unit of Measurement	Number of enterprises
Investment Priorities where the indicator is used	IP1b IP3a
<p>Count Criteria: What can be recorded against this indicator?</p>	<p>This is a subset of the indicator C1 - therefore <u>Count Criteria under C1</u> must be fulfilled.</p> <p>Support must be for an enterprise to introduce one of the following:</p> <ul style="list-style-type: none"> • Product - when it is either at pre-launch or launched to the market • Process - when it has been introduced into the business • Service - when it has been introduced to the market. <p>The indicator measures if an enterprise receives support to develop a 'new to the market' product in any of its markets. It includes process innovation as long as the process contributes to the development of the product.</p> <p>A product is new to the market if there is no other product available on a market that offers the same functionality, or the design or technology that the new product uses is fundamentally different from the design or technology of already existing products. Products can be tangible or intangible (incl. services and processes).</p> <p>Supported operations that aimed to introduce new to the market products but did not succeed are still counted.</p> <p>If a product is new both to the market and to the firm, the enterprise should be counted as supported to introduce new to the market products as well as supported to introduce new to the firm products.</p> <p>Enterprises included in this indicator should also be recorded as receiving one of grants or financial or non-financial support.</p> <p>The indicator applies to all sizes of enterprise, but eligibility rules or operation selection criteria may restrict the scope of activity.</p>

(C28) Number of enterprises supported to introduce new to the market products

<p>Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?</p>	<p>This is a subset of indicator C1 – <u>Count Threshold is as C1.</u></p>
<p>Count Exclusions: What activity cannot be counted against this indicator?</p>	<p>This is a subset of indicator C1 - <u>Count Exclusion is as C1.</u></p> <p>Operations without the aim of actually developing a product are excluded. If an enterprise introduces several products or receives support for several operations, it is still counted as one enterprise. In case of cooperation operations, the indicator measures all participating enterprises.</p>
<p>Verification Evidence: What records need to be retained to count this indicator?</p>	<p>In addition to the <u>evidence required for indicator C1:</u></p> <p>Products, processes, services:</p> <ul style="list-style-type: none"> • A self-declaration from the enterprise to confirm the product, process or service is new to the market. • The enterprise should also confirm the date the new product/process/service was launched and should provide further documentation to confirm details of product/process/service, which could include marketing information or literature. If product has not progressed to market, the enterprise should provide information on the status of the product.
<p>Relationship to other indicators</p>	<p>This is a subset of indicator C1 - '<u>Enterprises receiving support</u>', and either <u>C2</u>, <u>C3</u> or <u>C4</u>.</p> <p>Enterprises reported under this indicator may also be reported under indicator C29 where they meet the definition.</p>

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(C29) Number of enterprises supported to introduce new to the firm products

Terms	Definitions
Unit of Measurement	Number of enterprises
Investment priorities where the indicator is used	IP1b IP2b IP3c IP3d IP4f IP6f
Count Criteria: What can be recorded against this indicator?	<ul style="list-style-type: none"> • This is a subset of the indicator C1 - therefore <u>Count Criteria under C1</u> must be fulfilled. • The indicator measures if an enterprise is supported to develop a “new to the firm” product. It includes process innovation as long as the process contributes to the development of the product. Projects without the aim of actually developing a product are excluded. If an enterprise introduces several products or receives support for several operations, it is still counted as one enterprise. In case of cooperation operations, the indicator measures all participating enterprises to which the product is new. • A product is new to the firm if the enterprise did not produce a product with the same functionality or the production technology is fundamentally different from the technology of already produced products. Products can be tangible or intangible (including services). • Supported projects that aimed to introduce new to the firm products but did not succeed are still counted. • If a product is new both to the market and to the firm, the enterprise should be counted in both indicators. • Enterprises included in this indicator should also be recorded as receiving one of grants or financial or non-financial support. • The indicator applies to all sizes of enterprise, but <u>National Eligibility rules</u> or project selection criteria may restrict the scope of activity.
Count Threshold	This is a subset of indicator C1 – <u>Count Threshold is as C1.</u>

(C29) Number of enterprises supported to introduce new to the firm products

<p>Count Exclusions: What activity cannot be counted against this indicator?</p>	<p>This is a subset of indicator C1 - <u>Count Exclusion is as C1.</u></p>
<p>Verification Evidence: What records need to be retained to count this indicator?</p>	<p>In addition to the <u>evidence required for indicator C1:</u></p> <p>Products, processes, services:</p> <ul style="list-style-type: none"> • Evidence might include the date a new or improved process became operational or the date the new product or service was launched from market information or marketing literature. If product has not progressed to market, the enterprise should provide information on the status of the product. • A self-declaration from the enterprise to confirm the product, process or service is new to the firm.
<p>Additional information required for indicators</p>	<p>Not applicable</p>
<p>Relationship to other indicators</p>	<p>This is a subset of indicator C1 - <u>'Enterprises receiving support'</u> and either <u>C2</u>, <u>C3</u> or <u>C4</u>.</p> <p>Enterprises reported under this indicator may also be reported under indicator C28 where they meet the definition.</p>

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