

Welsh European Funding Office

European Structural Funds Programmes 2014-2020

Guidance on Indicator Definitions, Data and Evidence Requirements

Ireland Wales Cooperation Programme 2014 - 2020

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Glossary¹

Applied Research	'Applied research' means industrial research, experimental development, or any combination of both.
Cooperation	Collaboration between at least two independent parties to exchange knowledge or technology, or to achieve a common objective based on the division of labour where the parties jointly define the scope of the collaborative project, contribute to its implementation and share its risks, as well as its results. One or several parties may bear the full costs of the project and thus relieve other parties of its financial risks. Contract research and provision of research services are not considered forms of collaboration.
Experimental development	Acquiring, combining, shaping and using existing scientific, technological, business and other relevant knowledge and skills with the aim of developing new or improved products, processes or services. This may also include, for example, activities aiming at the conceptual definition, planning and documentation of new products, processes or services. Experimental development may comprise prototyping, demonstrating, piloting, testing and validation of new or improved products, processes or services in environments representative of real life operating conditions where the primary objective is to make further technical improvements on products, processes or services that are not substantially set. This may include the development of a commercially usable prototype or pilot which is necessarily the final commercial product and which is too expensive to produce for it to be used only for demonstration and validation purposes. Experimental development does not include routine or periodic changes made to existing products, production lines, manufacturing processes, services and other operations in progress, even if those changes may represent improvements.
Full-time equivalent	Jobs should be reported as FTEs, based on a 30 hour week. For example, if a post involves working 30 hours or more per week then it is 1 FTE. If a job is not full-time, then the hours worked each week will need be divided by 30 to

¹ Definitions have been taken from EU 1303/2013 and C(2014)3282 and EC Concepts and Recommendations, March 2014

	give the proportion of FTE represented. For example, 18 hours per week would be 0.6 FTE.
Fundamental Research (Basic Research)	Experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any direct commercial application or use in view.
Gender	<p>The term "sex" refers to the biological and physiological characteristics that define men and women while the term "gender" refers to the social representation of male and female attributes. For the purposes of ESF monitoring it is recommended that:</p> <ul style="list-style-type: none"> - in cases where information is collected directly from participants the gender identity of participants should be recorded (i.e. the sex/gender that the participant wishes to be identified with) ; - in cases where information is taken from registers the existing records can be used without further enquiry.
Industrial Research	Planned research or critical investigation aimed at the acquisition of new knowledge and skills for developing new products, processes or services or for bringing about a significant improvement in existing products, processes or services. It comprises the creation of components parts of complex systems, and may include the construction of prototypes in a laboratory environment or in an environment with simulated interfaces to existing systems as well as of pilot lines, when necessary for the industrial research and notably for generic technology validation.
Innovation Advisory Services	Consultancy, assistance and training in the fields of knowledge transfer, acquisition, protection and exploitation of intangible assets, use of standards and regulations embedding them.
Innovation Support Services	The provision of office space, data banks, libraries, market research, laboratories, quality labelling, testing and certification for the purpose of developing more effective products, processes or services.
Knowledge Transfer	A process which has the aim of acquiring, collecting and sharing explicit and tacit knowledge, including skills and competence in both economic and non-economic activities such as research collaborations, consultancy, licensing, spin-off creation, publication and mobility of researchers and other personnel involved in those activities. Besides scientific and technological knowledge, it includes other kinds of knowledge such as knowledge on the use of standards and regulations

	embedding them and on conditions of real life operating environments and methods for organisational innovation, as well as management of knowledge related to identifying, acquiring, protecting, defending and exploiting intangible assets.
Operation	a project, contract, action or group of projects selected by the managing authorities of the programmes concerned, or under their responsibility, that contributes to the objectives of a priority or priorities; in the context of financial instruments, an operation is constituted by the financial contributions from a programme to financial instruments and the subsequent financial support provided by those financial instruments.
Organisational Innovation	The implementation of a new organisational method in an undertaking's business practices, workplace organisation or external relations, excluding changes that are based on organisational methods already in use in the undertaking, changes in management strategy, mergers and acquisitions, ceasing to use a process, simple capital replacement or extension, changes resulting purely from changes in factor prices, customisation, localisation, regular, seasonal and other cyclical changes and trading of new or significantly improved products.
Process Innovation	'Process innovation' means the implementation of a new or significantly improved production or delivery method (including significant changes in techniques, equipment or software), excluding minor changes or improvements, increases in production or service capabilities through the addition of manufacturing or logistical systems which are very similar to those already in use, ceasing to use a process, simple capital replacement or extension, changes resulting purely from changes in factor prices, customisation, localisation, regular, seasonal and other cyclical changes and trading of new or significantly improved products.
R & D Project	An operation that includes activities spanning over one or several categories of research and development defined in this framework, and that is intended to accomplish an indivisible task of a precise economic, scientific or technical nature with clearly pre-defined goals. A R&D project may consist of several work packages, activities or services, and includes clear objectives, activities to be carried out to achieve those objectives (including their expected costs), and concrete deliverables to identify the outcomes of those activities and compare them with the

	relevant objectives. When two or more R&D projects are not clearly separable from each other and in particular when they do not have independent probabilities of technological success, they are considered as a single project.
Research Infrastructure	Facilities, resources and related services that are used by the scientific community to conduct research in their respective fields and covers scientific equipment or set of instruments, knowledge-based resources such as collections, archives or structured scientific information, enabling information and communication technology-based infrastructures such as grid, computing, software and communication, or any other entity of a unique nature essential to conduct research. Such infrastructures may be 'single-sited' or 'distributed' (an organised network of resources)
SME	<p>A category of micro, small and medium-sized autonomous enterprises employing fewer than 250 persons and which have an annual turnover not exceeding EUR 50 million, and/or an annual balance sheet total not exceeding EUR 43 million.</p> <p>You are autonomous if:</p> <ul style="list-style-type: none"> – you are totally independent, i.e. you have no participation in other enterprises and no enterprise has a participation in yours. – you have a holding of less than 25% of the capital or voting rights (whichever is the higher) in one or more other enterprises and/or outsiders do not have a stake of 25% or more of the capital or voting rights (whichever is the higher) in your enterprise. <p>If you are autonomous, it means that you are not a partner or linked to another enterprise (see Art. 3.1, p.35).²</p>
Social Enterprise	An enterprise with primarily social objectives whose surpluses are principally reinvested for that purpose in the enterprise or in the community, rather than being driven by the need to maximise profit for shareholders and owners.

² http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm As defined in 2003/361/EC (1);

Priority Axis 1 – Cross Border Innovation

Thematic Objective 1

Strengthening research, technological development and innovation.

Investment Priority 1b

Promoting business investment in R&I, developing links and synergies between enterprises, research and development centres and the higher education sector, in particular promoting investment in product and service development, technology transfer, social innovation, eco-innovation, public service applications, demand stimulation, networking, clusters and open innovation through smart specialisation, and supporting technological and applied research, pilot lines, early product validation actions, advanced manufacturing capabilities and first production, in particular in key enabling technologies and diffusion of general purpose technologies.

Specific Objective 1

To increase the intensity of knowledge transfer collaborations involving research organisations and SME's in line with the shared priorities of the smart specialisation strategies

Result Indicator

Levels of investment in R&D and innovation arising from cross-border collaboration in shared priorities as specified in the smart specialisation strategies

Outputs

Indicator	Measurement unit	Target value (2023)
Number of enterprises receiving support (non-financial)	Enterprises	1200
Employment increase in supported enterprises	Full time equivalents	35
Number of enterprises cooperating with research institutions	Enterprises	70
Private investment matching public support in innovation or R&D projects	EUR	791,984
Number of enterprises supported to introduce new to the market products	Enterprises	30
Number of enterprises supported to introduce new to the firm products	Enterprises	600
Number of enterprises participating in cross border, transnational or interregional research projects	Enterprises	50
Number of research institutions participating in cross border, transnational or interregional research projects	Organisations	45
Number of new or enhanced cross border innovation networks	Networks	6
Number of pilot projects completed	Completed pilot projects	3
Number of enterprises receiving support	Enterprises	1200

Number of enterprises receiving support (non-financial)

The number of enterprises receiving support that does not involve direct financial transfer. This indicator is a subset of enterprises receiving support.

The amount of support should be calculated on a cumulative basis. The support encompasses only advisory work and does not include travel time.

A minimum of 1 day (6 hours activity) which was delivered through a business diagnostic or equivalent that results in an action plan OR 2 days (12 hours) active consultancy support. A business diagnostic should result in an action plan.

An enterprise can only be counted as receiving non-financial support once during the lifetime of an operation.

Examples of the types of action supported can be found within the Operational Programme.

Unit:

Enterprises

Data Requirements:

Data on all enterprises supported should be submitted when they are included on a claim. Evidence should be available when the claim is made. A complete list of fields is given in the Annex.

Suggested Evidence:

The evidence of eligibility, activities and outputs should be set out within the Business Plan. Evidence will need to be provided of the SME status of every enterprise receiving support.

ERDF supported enterprises can use the model declaration form in the EC SME user guide to establish SME status:

<http://ec.europa.eu/DocsRoom/documents/10109/attachments/1/translations/en/renditions/pdf>

Alternatively, evidence might come from company accounts; companies house records; databases such as MINT; cross-reference to other information held by public bodies.

Evidence should be provided with details of the supported enterprise's activities prior to the support, details of the support activities undertaken and how these relate to the outputs and results.

An example of appropriate evidence will be signed time sheets that provide detail of the activities undertaken and the number of hours of assistance.

Employment increase in supported enterprises

Number of gross new working positions in supported enterprises in full time equivalents (FTE).

FTE is based upon contracted hours.

This is essentially a 'before-after' indicator which captures the part of the employment increase that is direct consequence of project completion (workers employed to implement the project are not counted). The positions need to be filled (vacant posts are not counted) and increase the total number of jobs in the enterprise. If total employment in the enterprise does not increase, the value is zero – it is regarded as realignment, not increase. Safeguarded etc. jobs are not included.

Gross: Not counting the origin of the jobholder as long as it directly contributes to the increase of total jobs in the organisation. The indicator should be used if the employment increase can plausibly be attributed to the support.

Durability: Jobs are expected to be permanent, i.e. last for a reasonably long period depending on industrial-technological characteristics; seasonal jobs should be recurring.³ Zero hours contracts are excluded.

Figures of enterprises that went bankrupt are registered as a zero employment increase.

Timing: Data is collected before the project starts and up to 12 months post intervention.

Unit:

FTE (contracted hours based on 30 hour week)

Data Requirements:

The gender of the first post-holder must be reported.

Salary Bands (0-€18,999; €19,000 – €23,999; €24,000 - €28,999; €29,000 - €38,999; €39,000 and above.

Suggested Evidence:

An increase in employment can be evidenced by self-declaration. ***The format of the self-declaration form should be attached to the Monitoring and Evaluation Plan***, but should include details of the posts which have been created, that the increase was due to the ERDF intervention, include the salary band and gender of first post holder. The declaration should be signed by a director or senior manager and state their role.

³ An example would be a post-doctorate researcher where the minimum period would be 2 years

Number of enterprises cooperating with supported research institutions

This is a measure of the scale of RD&I activity led by one or more ERDF funded research institutions.

The number of enterprises that cooperate with a research institution in an R D & I **project**.⁴ Each research institution and each enterprise should be recorded separately against this indicator. Where one enterprise takes the lead and others are sub-contractors and the sub-contractor interacts with the research institution, the sub-contractor should be included.

At least one enterprise and one research institution participates in the R D & I project. One or more of the cooperating parties (research institution or enterprise) may receive the support but it must be conditional to the cooperation. Cooperation between the parties may be new or existing, but the R D & I project cannot have existed prior to ERDF funding. The cooperation should last at least for the duration of the R D & I project. Completion of the project will be when the project is brought to an end and there is a concrete deliverable that identifies the outcomes and how they relate to the activities and objectives.⁵

Enterprises may be counted only once during the life of a R D & I **project**. An Enterprise can be recorded more than once in an operation provided that they cooperate for the life of each individual R D & I project and the operation can show that each project has distinctively different aims and objectives. The origin of the enterprise does not matter.

Unit:

Enterprises

Data Requirements:

Enterprises should be claimed upon completion of a collaboration project.

For each RD project the following should be reported:

Lead research institution: name / identifier and address

All partner research institutions: name / identifier and address

Enterprise(s) supported (Annex A data)

Enterprises(s) participating (i.e. may not be receiving support) in RD project: name / identifier such as VAT no / address / SME status

Data on all enterprises supported should be submitted when they are included on a claim. Evidence should be available when the claim is made. A complete list of fields is given in the Annex.

⁴ For definition of a project and operation please see Glossary

⁵ For more detail see 2014/C 198/01

Suggested Evidence:

Evidence should be included in the Business Plan.

The evidence should be able to identify the immediate context and specific aims of the proposed cooperation, the activities to be undertaken and how they are expected to contribute to the anticipated outputs.

In addition to the enterprise data, details of the research institution should be provided with information with details of the specific expertise offered in relation to the cooperation activities.

This should be supported by a letter of agreement of cooperation or memorandum of understanding between the parties, which states the contribution of the enterprise and the research institution.

Details of cooperation activities that have been undertaken and how they link to the outputs and results should be provided upon completion of the project.

Private investment matching public support in innovation or R&D projects

Total value of private contribution in supported innovation or R&D including non-eligible parts of the project.⁶ Investment is the cumulative amount to the end of the project.

Support can be financial or non-financial support. Financial support can be grant or non-grant support (loans, interest subsidy, credit guarantee, venture capital or other financial instrument).

Match and investment in-kind should be included if this is specified in a collaborative agreement and is auditable. In-kind contributions include contributions to the project from the non-academic collaborators (for example staff time, use of equipment and other resources, materials, provision of data etc.) as described in the project collaboration agreement.

Unit:

€ - euro

Data Requirements:

Match Funding Y/N

Suggested Evidence:

Details of the form, nature and amount of the investment and how it has added to the project. In-kind contributions should be 'contractually explicit' i.e. the external partner should be aware of the financial values assumed for their contribution. In-kind contributions could for example include staff time, resources, materials, provision of data etc. (HESA, 2014).

Sign-off of the € investment by (depending on the size of enterprise) the Managing Director, Financial Director, Operational Management or whoever was responsible for participation in the Structural Fund activity. Bank records showing transfer of funds.

Whoever signs should be familiar with, and able to express a knowledgeable opinion on, the activity.

⁶ https://www.hesa.ac.uk/index.php?option=com_content&view=article&id=2964&ItemId=233 (HESA guidance on collaborative research)

Number of enterprises supported to introduce new to the market products

The indicator measures the number of enterprises that have developed or introduced a 'new to the market' product in any of its markets. This 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 projects, it is still counted as one enterprise. In case of cooperation projects, the indicator measures each participating enterprise.

A product is new to the market if there is no other product available on a market that offers the same functionality, or the technology that the new product uses is fundamentally different from the technology of already existing products. Products can be tangible or intangible (incl. services and processes).

If a product is new both to the market and to the firm, the enterprise should also be counted as supported to introduce new to the market products.

Enterprises included in this indicator should also be recorded as receiving grants/financial /non-financial support.

While most classic innovations lead to products new to both the market and the firm, it is possible that the product is new to the market but not new to the firm, e.g. adapting an existing product to a new market without changing functionality.

Unit:

Enterprises

Data Requirements:

Data on all enterprises supported should be submitted when they are included on a claim. Evidence should be available when the claim is made. A complete list of fields is given in the Annex.

Suggested Evidence:

Baseline evidence at the start of the support to identify current enterprise activity, products and processes followed.

Detailed documentary evidence of what changes in process and/or products have developed as a result of the support and activity of the project and how they qualify as 'new to market'.

Evidence that the product has been produced, marketed and is available to purchase.

Number of enterprises supported to introduce new to the firm products

The indicator measures the number of enterprises that have developed or introduced a *'new to the firm'* product. This includes process innovation as long as the process contributes to the development of the new product. *Projects* without the aim of actually developing a product are excluded. If an enterprise introduces several products or receives support for several projects, it is still counted as one enterprise. In case of cooperation projects, 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 (incl. services and processes).

If a product is new both to the market and to the firm, the enterprise should be counted in both relevant indicators.

Enterprises included in this indicator should also be recorded as receiving grants/financial / non-financial support and new enterprises.

While most classic innovations lead to products new both to the market and to the firm, it is possible that the product is new to the firm but not new to the market, e.g. certain technology transfers.

Unit:

Enterprises

Data requirements:

Data on all enterprises supported should be submitted when they are included on a claim. Evidence should be available when the claim is made. A complete list of fields is given in the Annex.

Suggested Evidence:

Baseline diagnostic evidence at the start of the support to identify current enterprise activity and products and processes followed. Detailed documentary evidence of what changes in process and/or products have developed as a result of the support and activity of the project.

Number of enterprises participating in cross border, transnational or interregional research projects

The number of enterprises that cooperate with a research institution in an R&D project.

The research project must qualify as cross-border, transnational or interregional. If a participating enterprise has departments operating in different places, the location of the participating department(s) should be taken into account to qualify as cross-border project.

At least one enterprise and one *research institution* participates in the project. Each research institution and each enterprise should be recorded separately against this indicator. One or more of the cooperating parties (research institution or enterprise) may receive the support but it must be conditional to the cooperation. Cooperation between the parties may be new or existing, but the project cannot have existed prior to ERDF funding. The cooperation should last at least for the duration of the R D and I project.

Enterprises may be counted only once during the life of a project.

If more than one enterprise cooperates with the research entity, each enterprise can be counted separately

Unit:

Enterprises

Data Requirements:

Data on all enterprises should be submitted when they are included on a claim. Evidence should be available when the claim is made. A complete list of fields is given in the Annex.

Suggested Evidence:

This output should be recorded at the inception of the collaboration.

Evidence should be included in the Business Plan.

The evidence should be able to identify the immediate context of the proposed cooperation between enterprise and the research institution, such as the purpose of the co-operation, the activities to be undertaken and how they are expected to contribute to the anticipated outputs.

In addition to the enterprise data, details of the research institution should be provided with information with details of the specific expertise offered in relation to the cooperation activities.

This should be supported by a letter of agreement of cooperation or memorandum of understanding between the parties, which states the contribution of the enterprise and the research institution.

Details of cooperation activities that have been undertaken and how they link to the outputs and results should be provided upon completion of the project.

Number of research institutions participating in cross border, transnational or interregional research projects

The number of research institution that participate in cross border, transnational or interregional research projects

The research project must qualify as cross-border, transnational or interregional. If a research institution has departments operating in different places, the location of the participating department(s) should be taken into account to qualify as cross-border project.

Cooperation between the parties may be new or existing, but the project cannot have existed prior to ERDF funding. The cooperation should last at least for the duration of the R D and I project.

Suggested Evidence:

This output should be recorded at the inception of the collaboration.

Evidence should be included in the Business Plan.

The evidence should be able to identify the immediate context of the proposed cooperation between enterprise and the research institution, such as the purpose of the co-operation, the activities to be undertaken and how they are expected to contribute to the anticipated outputs.

Details of the research institution should be provided with information of the specific expertise offered in relation to the cooperation activities.

This should be supported by a letter of agreement of cooperation or memorandum of understanding between the parties, which states the contribution of the enterprise and the research institution.

Details of cooperation activities that have been undertaken and how they link to the outputs and results should be provided upon completion of the project.

New or enhanced cross border innovation networks

The number of new or enhanced cross border innovation networks brought about by ERDF intervention.

Innovation networks involve multiple partners who exchange information, knowledge and resource to enable innovation. The network could involve creating a platform for HEI, third sector, businesses and public sector agencies to collaborate and co-ordinate their activities on a cross-border basis to meet the needs of the Programme area

For new networks they should not have existed prior to the existence of the ERDF intervention.

Suggested Evidence:

Details of the networks including names of participants and records of the types of information shared.

Any formal agreements drawn up to facilitate the network.

For enhanced networks details of what has been incorporated to the network by the ERDF intervention.

Number of pilot projects completed

A project planned as a trial designed to test a given approach for a limited group of beneficiaries over a limited period; intended to attract future activity in the field/discipline or sector⁷.

Unit:

Pilots completed

Suggested Evidence:

The data should be provided upon completion of the project.

Baseline evidence – proof of concept.

Cooperation agreement

Evidence of procurement process, technical specification for capacity of installation.

Evidence that installation has been completed and is operational.

Evaluation

⁷ DCLG ERDF 2007-13 Output Definitions

Priority Axis 2 – Adaption of the Irish Sea and Coastal Communities to Climate Change

Thematic Objective 5

Promoting climate change adaptation, risk prevention and management

Investment Priority 5a –

Supporting investment for adaptation to climate change including eco-system based approaches. This will include some activity around renewable energy.

Specific Objective 2

To increase capacity and knowledge of climate change adaptation for the Irish Sea and coastal communities

Result Indicator

Levels of knowledge of adaptation to climate change amongst communities and businesses

Outputs

Indicator	Measurement unit	Target value (2023)
Productive investment: Number of research institutions participating in cross-border, transnational or interregional research projects	Organisations	10
Number of pilot projects completed	Projects	2
Number of new awareness raising initiatives targeting coastal communities	Awareness raising initiatives	60
Number of organisations cooperating in enhancing the marine and coastal environment	Organisations	24

Number of research institutions participating in cross-border, transnational or interregional research projects

The number of research institutions that participate in cross border, transnational or interregional research projects

The research project must qualify as cross-border, transnational or interregional. If a research institution has departments operating in different places, the location of the participating department(s) should be taken into account to qualify as a cross-border project.

Cooperation between the parties may be new or existing, but the project cannot have existed prior to ERDF funding. The cooperation should last at least for the duration of the R D and I project.

Suggested Evidence:

This output should be recorded at the inception of the collaboration.

Evidence should be included in the Business Plan and agreed.

The evidence should be able to identify the immediate context of the proposed cooperation between enterprise and the research institution, such as the purpose of the co-operation, the activities to be undertaken and how they are expected to contribute to the anticipated outputs.

Details of the research institution should be provided with information of the specific expertise offered in relation to the cooperation activities.

This should be supported by a letter of agreement of cooperation or memorandum of understanding between the parties, which states the contribution of the enterprise and the research institution.

Details of cooperation activities that have been undertaken and how they link to the outputs and results should be provided upon completion of the project.

Number of pilot projects completed

A project planned as a trial designed to test a given approach for a limited group of beneficiaries over a limited period; intended to attract future activity in the field/discipline or sector⁸.

Unit:

Pilots completed

Suggested Evidence:

The data should be provided upon completion of the project.

Baseline evidence – proof of concept.

Cooperation agreement

Evidence of procurement process, technical specification for capacity of installation.

Evidence that installation has been completed and is operational.

Evaluation

⁸ DCLG ERDF 2007-13 Output Definitions

v 1.1

Number of new awareness raising initiatives targeting coastal communities

The number of new awareness raising initiatives targeting coastal communities which are funded through ERDF intervention.

The initiatives should address the challenges outlined in the Strategy section by dissemination of that knowledge to both the scientific community and the communities affected.

Suggested Evidence:

Details of the initiative and target recipients.

Number of organisations cooperating in enhancing the marine and coastal environment

The number of organisations that cooperate in a project which enhances the marine and coastal environment.

Cooperation between the parties may be new or existing, but the project cannot have existed prior to ERDF funding. The cooperation should last at least for the duration of the project.

Organisations may be counted only once during the life of a project.

Unit:

Organisations

Suggested Evidence:

This output should be recorded at the inception of the cooperation.

Evidence should be included in the Business Plan.

The evidence should be able to identify the immediate context of the proposed cooperation organisations, such as the purpose of the cooperation, the activities to be undertaken and how they are expected to contribute to the strategy laid out in the Operational Programme.

Priority Axis 3 – Cultural and Natural Resources and Heritage

Thematic Objective 6

Protecting the environment and promoting resource efficiency

Investment Priority 6c

Conserving, protecting, promoting and developing natural and cultural heritage

Specific Objective 3

To sustainably realise the potential of natural and cultural assets in increasing visitor numbers to coastal communities in the Programme area

Result Indicator

Total number of overseas visitors to the coastal communities of the Programme area.

Output indicators

Indicator	Measurement unit	Target value (2023)
Employment increase in supported enterprises	Full time equivalents	10
Number of pilot projects completed	Completed pilot projects	2
Number of new tourism networks promoting cultural, natural or heritage assets	Cross-border networks	12
Number of coastal communities participating in cross-border cooperation around cultural, natural or heritage tourism	Communities	20

Employment increase in supported enterprises

Number of gross new working positions in supported enterprises in full time equivalents (FTE).

FTE is based upon contracted hours.

This is essentially a 'before-after' indicator which captures the part of the employment increase that is a direct consequence of project completion (workers employed to implement the project are not counted). The positions need to be filled (vacant posts are not counted) and increase the total number of jobs in the enterprise. If total employment in the enterprise does not increase, the value is zero – it is regarded as realignment, not increase. Safeguarded etc. jobs are not included.

Gross: Not counting the origin of the jobholder as long as it directly contributes to the increase of total jobs in the organisation. The indicator should be used if the employment increase can plausibly be attributed to the support.

Durability: Jobs are expected to be permanent, i.e. last for a reasonably long period depending on industrial-technological characteristics; seasonal jobs should be recurring.⁹ Zero hours contracts are excluded.

Figures of enterprises that went bankrupt are registered as a zero employment increase.

Timing: Data is collected before the project starts and up to 12 months post intervention.

Unit:

FTE (contracted hours based on 30 hour week)

Data Requirements:

The gender of the first post-holder must be reported.

Salary Bands (0-€18,999; €19,000 – €23,999; €24,000 - €28,999; €29,000 - €38,999; €39,000 and above.

Suggested Evidence:

An increase in employment can be evidenced by self-declaration. ***The format of the self-declaration form should be attached to the Monitoring and Evaluation Plan***, but should include details of the posts which have been created, that the increase was due to the ERDF intervention, include the salary band and gender of first post holder. The declaration should be signed by a director or senior manager and state their role.

⁹ An example would be a post-doctorate researcher where the minimum period would be 2 years

Number of pilot projects completed

A project planned as a trial designed to test a given approach for a limited group of beneficiaries over a limited period; intended to attract future activity in the field/discipline or sector¹⁰.

Unit:

Pilots completed

Suggested Evidence:

The data should be provided upon completion of the project.

Baseline evidence – proof of concept.

Cooperation agreement

Evidence of procurement process, technical specification for capacity of installation.

Evidence that installation has been completed and is operational.

Evaluation

¹⁰ DCLG ERDF 2007-13 Output Definitions

Number of new tourism networks promoting cultural, natural or heritage assets

The number of new tourism networks promoting cultural, natural or heritage assets brought about by ERDF intervention.

The EC defines¹¹ cultural, natural or heritage assets as:

‘A rich and diverse mosaic of cultural and creative expressions, inherited from past generations and composed by natural, built and archaeological sites as well as museums, monuments, artworks and historic cities. It includes literary, musical, and audiovisual works, and the knowledge, practices and traditions of European citizens.’

Networks involve **multiple partners** who exchange information, knowledge and resource. The network could involve creating a platform for HEI, third sector, businesses and public sector agencies to collaborate and co-ordinate their activities on a cross-border basis to meet the needs of the Programme area

Suggested Evidence:

Details of the networks including names of participants and records of the types of information shared.

Any formal agreements drawn up to facilitate the network.

For enhanced networks details of what has been incorporated to the network by the ERDF intervention.

¹¹ http://ec.europa.eu/culture/policy/culture-policies/cultural-heritage_en.htm

Number of coastal communities participating in cross-border cooperation around cultural, natural or heritage tourism

The number of coastal communities participating in cross-border cooperation around a cultural, natural or heritage tourism project.

The project must qualify as cross-border, transnational or interregional.

Cooperation between the parties may be new or existing, but the project cannot have existed prior to ERDF funding. The cooperation should last at least for the duration of the project.

Suggested Evidence:

This output should be recorded at the inception of the collaboration.

Evidence should be included in the Business Plan.

The evidence should be able to identify the immediate context of the proposed cooperation between the enterprise and the research institution, such as the purpose of the cooperation, the activities to be undertaken and how they are expected to contribute to the anticipated outputs.

Details of the communities should be provided.

Annex 1 - Enterprise Database

The following information should be collected for each enterprise receiving support:

Grouping	Category	Criteria	Guidance
Identifier			
	Record identifier	Free	This is a unique identifier which as an Operation you use to identify an Enterprise. It must be unique for all Enterprises in your Operation.
	VAT number	Number / N/A	N/A if the enterprise is not VAT registered
	Company number	Number / N/A	N/A if the enterprise does not have a Company number
	PAYE reference	Number / N/A	N/A if the enterprise does not have a PAYE reference
Contact details			
	Contact Title	Free	This should be the person who understands the support given to the Enterprise by the Operation.
	Contact first name(s)	Free	
	Contact surname	Free	

Grouping	Category	Criteria	Guidance
	Contact job title	Free	
	Enterprise Name	Free	In order to assess the lasting effects of Structural Funds WEFO will need to carry out research. For the purpose of this research WEFO may need to contact enterprises.
	Enterprise Address 1	Free	This should be the address of the Enterprise supported.
	Enterprise Address 2	Free	
	Town/City	Free	
	Unitary Authority/County of Enterprise	Carmarthenshire; Ceredigion; Conwy; Denbighshire; Flintshire; Gwynedd; Isle of Anglesey; ; Pembrokeshire; Powys; Swansea; ; Wrexham; Carlow;	This is the Unitary Authority of the Enterprise supported.

Grouping	Category	Criteria	Guidance
		Cork; Dublin City; DunLaoghaire/Rathdown; Fingal; Kerry; Kildare; Kilkenny; Meath; South Dublin; Tiperrary; Waterford; Wexford; Wicklow Outside of Wales and Ireland	
	Postcode of the enterprise	XX###XX	Contact purposes and to confirm location

Grouping	Category	Criteria	Guidance
	Preferred language for communication	Welsh; English	In order to assess the lasting effects of Structural Funds WEFO will need to carry out research. For the purpose of this research WEFO may need to contact the Enterprise supported.
	Telephone number	Number	Number including area code
	Alternative Telephone Number	Number	Alternative number
	Email address	Free	
	Is this a home address?	Yes; No	This data field is for Data Protection purposes.
Company type / scale			
	Date of first commercial sale	dd/MM/yyyy; N/A	Enter the date. If no commercial sales as yet, enter N/A.
	Social enterprise	Yes; No	A social enterprise is an enterprise with primarily social objectives whose surpluses are principally reinvested for that purpose in the enterprise or in the community, rather than being driven by the need to maximise profit for

Grouping	Category	Criteria	Guidance
			shareholders and owners.
	SME	Yes; No	Is the enterprise classified as a Small and Medium-sized Enterprise? See http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm for a definition of an SME.
	Sector	Number (four digit SIC code)	UK Standard Industrial Classification of Economic Activities 2007 (SIC 2007) should be used to provide class level information on the enterprise to four digits. Further details can be found at http://www.ons.gov.uk/
	Number of employees	0-1; 2-9; 10-49; 50-249; or 250+	Use bands as shown in the criteria column.
	Turnover	< €10,000; €10,000 to €49,999; €50,000 to €99,999; €100,000 to €199,999;	Use bands as shown in the criteria column.

Grouping	Category	Criteria	Guidance
		€200,000 to €499,999; €500,000 to €999,999; €1,000,000 to €1,999,999; €2,000,000 to €4,999,999; €5,000,000 to €9,999,999; €10,000,000 to €19,999,999; €20,000,000 to €49,999,999; or €50,000,000 or more	
Demographics			
	Number of owners	Number	This equal opportunities information should be provided for the owners of the enterprise supported. If information is not available for owners, information should be provided for directors or senior managers.
	Number of male owners	Number	
	Number of female owners	Number	

Grouping	Category	Criteria	Guidance
	Number of BME owners	Number	<p>This equal opportunities information should be provided for the owners of the enterprise supported. If information is not available for owners, information should be provided for directors or senior managers.</p> <p>Ethnic origin questions are not about nationality, place of birth or citizenship. They are about broad ethnic groups.</p> <p>Black and Minority Ethnic groups include people who may face barriers because of their ethnic origin, in accessing opportunities in Wales.</p>
	Number of non BME owners	Number	
	Number of owners who consider themselves disabled	Number	<p>This equal opportunities information should be provided for the owners of the enterprise supported. If information is not available for owners, information should be provided for directors or senior managers.</p> <p>The Social Model of Disability recognises that disabled people are people with impairments who are disabled by their environment.</p> <p>The Social Model of Disability makes the important difference between ‘impairment’ and ‘disability’. It recognises that people with impairments are disabled by the barriers that commonly exist in a society. In simple terms, it is not the inability to walk that prevents a person entering a building unaided but the existence of stairs that are inaccessible to a wheelchair-user. In other</p>

Grouping	Category	Criteria	Guidance
			<p>words, 'disability' is socially constructed.</p> <p>The Social Model of Disability requires society to remove the barriers in order that all people have equality.</p> <p>Further information can be found at http://www.disabilitywales.org/</p> <p>Owners should be asked whether they consider themselves to be a disabled person because of the barriers (attitudinal, environmental and organisational) which prevent them from participating fully in all areas of life.</p>
	Number of owners who understand Welsh	Number	<p>This equal opportunities information should be provided for the owners of the enterprise supported. If information is not available for owners, information should be provided for directors or senior managers.</p>
	Number of owners who speak Welsh	Number	
	Number of owners who read Welsh	Number	
	Number of owners who write Welsh	Number	

Grouping	Category	Criteria	Guidance
	Number of owners who are aged 0-24	Number	This equal opportunities information should be provided for the owners of the enterprise supported. If information is not available for owners, information should be provided for directors or senior managers.
	Number of owners who are aged 25-44	Number	
	Number of owners who are aged 45-64	Number	
	Number of owners who are aged 65-74	Number	
	Number of owners who are aged 75+	Number	
Administration / activity indicators			
	Date received support	dd/MM/yyyy	This should be the date that support was first received by the enterprise.
	Type of support received	Non-financial support;	<p><i>Non-financial support</i></p> <p>Support that does not involve direct financial transfer.</p> <p>The amount of support should be calculated on a cumulative basis. The support encompasses only advisory work and does not include travel time. A</p>

Grouping	Category	Criteria	Guidance
			<p>minimum of 1 day (6 hours activity) delivered through a business diagnostic or equivalent. OR 2 days (12 hours) active consultancy support.</p> <p>An enterprise can only be counted as receiving non-financial support once during the lifetime of a project.</p> <p>Non-refundable direct financial support which is conditional only on completion of the project. (grants).</p> <p>The grant value should be at least €1,000.</p> <p>An enterprise receiving grants more than once within a project is still only one enterprise receiving grants during the lifetime of a project.</p> <p>An enterprise recorded as receiving grants can also be recorded as receiving financial support other than grants or receiving non-financial support if they receive relevant support through different activities.</p>
	Amount of financial support – grant	€	The amount should be presented in GBP. Definition of “Financial support – grant” can be found above.

Grouping	Category	Criteria	Guidance
	Amount of financial support – other than grant	€	The amount should be presented in GBP. Definition of “Financial support – other than grant” can be found above.
	Specific Objective	SO#.#	This is the Specific Objective of the Structural Funds Operation/project.
	Beneficiary	Free cell	Business Party Name of the organization responsible for managing/providing the intervention.
Outputs / Outcomes			
	Number of collaborative R&D projects participated in	Number	How many collaborative R&D project(s) has the Enterprise participated in? A collaborative R&D project is where at least one enterprise and one research institution participates in the project. One or more of the cooperating parties (research institution or enterprise) may receive the support but it must be conditional to the cooperation. Cooperation between the parties may be new or existing, but the project cannot have existed prior to ERDF funding. The cooperation should last at least for the duration of the project.
	Introduced new to the firm products?	Yes; No	Has the Enterprise introduced a product new to the firm? A product is new to the firm if the enterprise did not produce a product with the same functionality or the

Grouping	Category	Criteria	Guidance
			<p>production technology is fundamentally different from the technology of already produced products. Products can be tangible or intangible (including services and processes).</p> <p>If a product is new both to the market and to the firm, the enterprise should be counted in both data fields.</p>
	Introduced new to the market products?	Yes; No	<p>Has the Enterprise introduced a product new to the market? A product is new to the market if there is no other product available on a market that offers the same functionality, or the technology that the new product uses is fundamentally different from the technology of already existing products. Products can be tangible or intangible (including services and processes).</p> <p>If a product is new both to the market and to the firm, the enterprise should also be counted in both data fields.</p>
	Amount of Private investment matching public – Grants	€	<p>Total value, in EUR, of private contribution to supported SMEs. The enterprise supported was reported under enterprises receiving grants.</p> <p>This value reported should exclude the funding used to match the ERDF grant at operation level.</p> <p>Private investment can include investment in kind if this is specified in a contractual agreement and is auditable.</p>

Grouping	Category	Criteria	Guidance
			<p>In-kind contributions include contributions to the project from the private sector (for example staff time, use of equipment and other resources, materials, provision of data etc.) as described in the project agreement.</p> <p>Investment is the cumulative amount to the end of the project.</p>
	Amount of Private investment matching public support - Non-grants	€	<p>Total value, in EUR, of private contribution to supported SMEs. The enterprise supported was reported under enterprises receiving financial support other than grants.</p> <p>This value reported should exclude the funding used to match the ERDF grant at operation level.</p> <p>Private investment can include investment in kind if this is specified in a contractual agreement and is auditable. In-kind contributions include contributions to the project from the private sector (for example staff time, use of equipment and other resources, materials, provision of data etc.) as described in the project agreement.</p> <p>Investment is the cumulative amount to the end of the project.</p>
	Number of Patents registered	Number	<p>The number of patents for products, processes or services formally filed with the UK Patent Office or an equivalent office abroad, by the enterprise supported.</p>

Grouping	Category	Criteria	Guidance
	Adopting or improving equality and diversity strategies and monitoring systems?	Yes; No	Has the enterprise adopted a strategy, which outlines the key priorities for action by the employer and its staff to promote equality and diversity and challenge discrimination and monitoring progress against these priorities? The equality strategies and monitoring systems must have been adopted or improved as a result of Structural Fund support to the enterprise.
	Adopting or improving sustainable development strategies and monitoring systems	Yes; No	Has the enterprise adopted a strategy, which outlines the key priorities for action by the employer and its staff to promote sustainable development, and monitoring progress against these priorities? The sustainable development strategies and monitoring systems must have been adopted or improved as a result of Structural Fund support to the enterprise.
	Increase in level of export	€	<p>The gross value, in Euros, of new export business (goods and services) secured by enterprises due to Structural Fund intervention. They may be one-off or on-going. On-going benefits should be scored once as an annualised figure based on current performance.</p> <p>The annualised figure should be recorded within one year of the intervention.</p> <p>If a project is assisted or financially supported more than once the one-off or annualised increase in level of export</p>

Grouping	Category	Criteria	Guidance
			<p>should be calculated cumulatively, provided that it is additional.</p> <p>Example of value of new export business:</p> <ul style="list-style-type: none"> - One-off order received from customer outside of the UK, value expressed in €; - Call-off / term contract signed with customer outside of the UK, value of year 1 commitment expressed in €. <p>Export of goods: goods which leave the statistical territory of the UK.</p> <p>Export of services: services where the customer is outside of the statistical territories of the UK and Ireland (EC, 2014)</p>
	Enterprise created	Yes; No	<p>Was the enterprise created after receiving advice or support from ERDF or ERDF financed facility?</p> <p>The enterprise should not have existed prior to Structural Fund activity and should exist for the duration of the project.</p> <p>An enterprise will not become new if only its legal form changes.</p>

Grouping	Category	Criteria	Guidance
	Date enterprise created	dd/mm/yyyy	For new enterprises only.
	Increase in employment in supported enterprises	Number	<p>Gross new working positions in supported enterprises in full time equivalents (FTE).</p> <p>Essentially a 'before-after' indicator which captures the part of the employment increase that is direct consequence of project completion (workers employed to implement the project are not counted). The positions need to be filled (vacant posts are not counted) and increase the total number of jobs in the enterprise. If total employment in the enterprise does not increase, the value is zero – it is regarded as realignment, not increase. Safeguarded etc. jobs are not included.</p> <p>Gross: Not counting the origin of the jobholder as long as it directly contributes to the increase of total jobs in the organisation. The indicator should be used if the employment increase can plausibly be attributed to the support.</p> <p>Durability: Jobs are expected to be permanent, i.e. last for a reasonably long period depending on industrial-technological characteristics; seasonal jobs should be for a minimum of four weeks and be recurring. Zero hours contracts are excluded.</p>

Grouping	Category	Criteria	Guidance
			<p>Figures of enterprises that went bankrupt are registered as a zero employment increase.</p> <p>Timing: Data is collected before the project starts and 12 months post intervention.</p> <p>Refer to the definition of “Increase in employment in supported enterprises in this document.</p>
	Increase in employment in supported enterprise - Number where first post holder is Male	Number	<p>Refer to the definition of “Increase in employment in supported enterprises above.</p> <p>This is the gender breakdown of the above.</p>
	Increase in employment in supported enterprise - Number where first post holder is Female	Number	<p>Refer to the definition of “Increase in employment in supported enterprises above.</p> <p>This is the gender breakdown of the above.</p>

Grouping	Category	Criteria	Guidance
	Increase in employment in supported enterprise - Number in salary band - €14,999 and below	Number	
	Increase in employment in supported enterprise - Number in salary band - €15,000-€19,999	Number	
	Increase in employment in supported enterprise - Number in salary band - €20,000-€24,999	Number	

Grouping	Category	Criteria	Guidance
	Increase in employment in supported enterprise - Number in salary band - €25,000-€34,999	Number	
	Increase in employment in supported enterprise - Number in salary band - €35,000 and above	Number	

Version Control

Page 8	Modified suggested evidence for SME status
Page 9	Modified suggested evidence. Declaration from enterprise now acceptable to evidence 'increase in employment in supported enterprises'
Page 10	Definition of 'Number of enterprises cooperating with supported research institutions' brought in line with mainstream ERDF Programmes.
Page 12	Definition of 'private investment matching public support' amended to include match funding.
Page 14	Modified evidence for new to the market products
Page 25	Modified suggested evidence. Declaration from enterprise now acceptable to evidence 'increase in employment in supported enterprises'