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

VERSION 9

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NB: Version Control

The version of the Output Definition Guidance that applies to a project is that which is in force at the time a grant funding agreement is signed by both parties; the "agreement". Grant recipients should ensure that they only work to the version that appears in their funding agreement, and that this is the correct version at the time of signature. Earlier versions of this guidance can be obtained from your contract manager in MHCLG's Growth Delivery Team.

Following the agreement date, grant recipients may choose to adopt an later version of the Output Definition Guidance. If the project chooses to adopt a later version of the definitions, then this should be done through a project change request otherwise the guidance version in force at the time the agreement was entered into will continue to apply. The revised definitions will apply only from the time of the project change request and the latest version of the guidance must be adopted in full.

Version Updates

Output Reference	Explanation
C8	*Count exclusions box* updated to make clear that support to establish a self-employed person cannot be counted as a C8.
C8	*Verification evidence box* updated to clarify that the actions required to evidence a C8 output can be undertaken by a senior member of staff or the business owner. The additional material specifically covering actions for Sole Traders has been removed as it is now addressed more simply by the revised text.
C8	*Additional information required for indicator box* updated to clarify that if there are changes to the individual undertaking the post covered by the C8 count the details of the first person to hold the post should be provided.

N.B This table is intended as a reference tool to signpost updates in this version and does not form part of the output definitions.

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Purpose

This guidance document provides definitions for output indicators for the European Regional Development Fund (ERDF) England **operational programme** for 2014 to 2020. It is intended to support those involved in any stage of developing, managing or evaluating a project funded by ERDF or anyone who provides or collates management information to support the production of ERDF grant claims including:

- During project development to forecast the likely levels of outputs a project will deliver and to factor in the project management resources required to obtain appropriate verification evidence;
- When completing an outline or full ERDF application;
- When developing management information systems to support project management;
- When compiling ERDF claims;
- When preparing for an audit or verification visit;
- When closing an ERDF project;
- When compiling statistical analysis and evaluation.

The ERDF output indicators referred to in this guidance are important because they provide information that will be used to assess implementation and performance of the ERDF programme and help the managing authority[1] and partners fulfil the formal reporting requirements set out in **EU regulations**.

Monitoring of outputs should be conducted on an ongoing basis to support the day-to-day management of the programme and ensure effective use of the funds. For example, monitoring data can act as a vital tool for identifying situations where programmes are not fulfilling expectations and where action may be needed to undertake a corrective measure. Monitoring data will also inform any evaluation of whether the anticipated results of the programmes have been achieved.

The **EU's Common Provisions Regulation** for the 2014 to 2020 ESIF programme and **ERDF regulations** place strong emphasis on the quality of data gathered and reported. Data quality is likely to be audited throughout the programme period.

In addition, **MHCLG staff** have access to an **ERDF Output Query Log** where responses to previous questions are recorded. If you have a query regarding these definitions it may be addressed here.

[1] Throughout this document, unless indicated otherwise, the phrase “managing authority” will mean the European Regional Development Fund (ERDF) managing authority (Ministry of Housing, Communities and Local Government and its Growth Delivery Teams) and the London Intermediate Body (Greater London Authority).

Indicator Characteristics

Results are at the core of the ERDF programme and reflect the move to a results-based approach in the 2014 to 2020 programme period. The results indicators that have been selected in the ERDF programme define the specific changes that will be achieved in response to outputs that are produced by projects supported by ERDF. This approach and the relationship between results and outputs is known as the 'intervention logic'. A more detailed description of the intervention logic is in Annex 1. This guidance document focusses solely on outputs; results are typically not captured at project level for ERDF and are therefore not covered in this guide.

Indicator definitions

There are 2 types of output indicators listed in this document:

- Output indicators prefixed with a "C" are set down in the **EU regulation for ERDF** and are common across the EU.
- Output indicators prefixed with a "P" are programme specific for the **ERDF operational programme for England**.

This guidance document provides definitions for each output indicator setting out:

- The unit of measurement for the indicator as specified in the ERDF operational programme;
- The priority axis and investment priority where the indicator is used;
- The specifics of what is to be counted under each indicator;
- The threshold or minimum requirement for recording (one count) of this output;
- Any activities that are excluded from the definition of an output;
- The verification evidence or records that must be retained to demonstrate that outputs have been achieved;
- Any relationship with other indicators;
- Further explanatory notes where appropriate.

Annex 2 provides a table of output indicators broken down by priority axis.

Outputs will be collected at project level and will be collated generally on a quarterly basis. In addition to recording data on each relevant output indicator, projects may be asked to provide some basic details about the businesses and individuals they are supporting in order to support ongoing evaluation of the programme. This information will be used to identify which groups and types of organisations have received support.

Evaluation process

In order to assess the effectiveness and efficiency of the ERDF programme, output data that is collected will be evaluated during the 2014 to 2020 programme period. Evaluation will include a variety of data collection methods at planned stages in the programme. The full approach to evaluation will be set out separately in an ERDF Evaluation Strategy.

The primary purpose of evaluation is to identify what works and what does not in order for timely decisions to be made to support the effective implementation of programmes and to draw conclusions for policy making. It will do this through the utilisation of both theory-based and counterfactual impact evaluation[2].

Evaluation evidence will be shared and compared across the UK in England, Northern Ireland, Scotland and Wales. Where possible, common approaches will be developed and agreed to support UK-level evaluation of ERDF and other European Structural and Investment Funds.

To supplement evaluation undertaken in England and the UK, the European Commission intends to collect evidence from evaluations covering the same policy fields across Member States: where a sufficient number of good quality evaluations cover the same fields, it will carry out meta-analyses and to the extent possible build a repository of evidence for policy making. The results of these analyses will be disseminated widely. The European Commission will also encourage exchange of information between Member States on available evidence and also on fields lacking strong evidence.

The metrics defined within this document form a key element of the evidence base necessary for evaluation of the programme. Projects may be required to submit supplementary data during the life cycle of the ERDF programme. This data will need to be collated in various ways to provide a comprehensive picture of the impact of the programme. This supplementary data will include Companies House Reference Numbers (CRNs) and diversity monitoring information.

Impacts

The Office for National Statistics (ONS) Business Structures Database tracks the employment of all UK businesses that are economically active. Using the CRN, this enables an objective estimate of the employment impacts of the programme to be

[2] For more information please see: *European Commission* Guidance Document on Evaluation, Terms of Reference for Impact Evaluations Guidance on Quality Management of External Evaluations Plans, February 2015, http://ec.europa.eu/regional_policy/sources/docoffic/2014/working/evaluation_plan_guidance_en.pdf

built. In order to do this, a matched comparison group can be selected to compare employment change in ERDF-funded businesses to non-funded businesses.

Equality and diversity

Recording equality and diversity data on individuals receiving support through ERDF ensures that there is no inherent bias in the provision of help through the funding stream and that it is accessible by all groups.

Effective monitoring of diversity characteristics is a legal requirement under the **2010 Equality Act**, which sets out public sector equality duty in relation to the following protected characteristics[3].

For the 2014 to 2020 ERDF programme equality and diversity data will be collected for the following output indicators listed in this guidance:

- C8: Employment increase in supported enterprises
- P11: Number of potential entrepreneurs assisted to be enterprise ready
- C25: Number of researchers working in improved research facilities

Projects with these outputs should provide basic information on the following characteristics:

- Gender
- Age
- Disability
- Ethnicity

This information should be submitted and collected as part of the claims process. This does not represent the full list of protected characteristics under the **2010 Equality Act**. Where a project has a particular objective to work with people with specific characteristics, this will be inherent in the project specification and the project will be asked to capture this as part of its project management.

[3] *Equality and Human Rights Commission*: Equality information and the equality duty: A guide for public authorities England (and non-devolved public authorities in Scotland and Wales), Revised (second) edition, 19 December 2011, http://www.equalityhumanrights.com/sites/default/files/documents/EqualityAct/PSED/ehrc_psed_equality_information_web.pdf

Data collection

Projects will submit the indicator data with each claim to the managing authority. This will normally be quarterly. There will also be an annual audit of a sample of projects' data for the purposes of verification and validation.

The managing authority will monitor the data and undertake work to verify and validate it periodically. The managing authority may conduct more in-depth analysis through surveys or qualitative means as part of its evaluation.

By completing the monitoring returns, projects agree to the data they provide the managing authority being used to collate reports on national and regional ERDF activity for publication. Access to additional data held within projects may be necessary for the purposes of this validation exercise.

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Detailed Definitions for ERDF

Indicators are listed thematically based on type of support being provided under ERDF:

1. Support for businesses
2. Supporting ICT connectivity
3. Enterprise culture
4. Working with research entities
5. Energy and low carbon
6. Land and environment
7. Transport

1. Support for businesses

Multiple counting for C1 and C1 subsets, C2, C3, C4 and C5

Multiple counting is not permitted, since this inflates and distorts reporting of programme performance. This guidance explains what can and cannot be counted in relation to the output C1 'Enterprises Supported' and its 4 subsets, C2, C3, C4 and C5.

The guidance applies equally to all other outputs listed in this guidance as regards output counting within a project for a specific enterprise and output counting in different projects for a specific enterprise.

C1 counting

A specific enterprise receiving financial or non-financial support can be counted once in a given project as a C1 output. Where that same enterprise receives financial or non-financial support in the same project, further C1 outputs cannot be counted and claimed for that enterprise under that same project.

If however that same enterprise receives financial or non-financial support under different projects under different priority axes or under the same priority axis, each C1 support can be counted separately. For example, a specific enterprise might get support under one project under priority axis 4 investment priority IP4b 'Promoting energy efficiency and renewable energy use in enterprises', through some 'green' diagnostics or energy audits leading to an energy action plan. The C1 output should be counted in this case providing it meets the qualifying criteria for this output. That same enterprise might then receive support in a separate project, also under priority axis 4, investment priority IP4f 'Promoting research and innovation in, and adoption of, low carbon technologies', to develop and demonstrate some low carbon technologies/materials. The C1 output should be counted in this case providing it

meets the qualifying criteria for this output. The 2 interventions would be funded under separate projects, each with a C1 count. In all cases each individual enterprise support claimed should have a unique indicator.

This guidance on multiple counting for C1 outputs is designed to ensure that support received by a given enterprise under different projects are individually counted, since each C1 support will be different and often complementary/progressive – as in the above low carbon example, where an enterprise gets energy advice and an action plan under one project, and then puts that energy advice and action plan into practice in a different project, by developing some low carbon technologies/materials.

Conversely, this guidance is designed to ensure that a C1 output for a given enterprise is only counted once within a given project. Whilst an individual enterprise might get different types of support over the duration of a specific project, these form part of a single package of assistance within that project, and cannot therefore qualify for more than one C1 output under that project. This will ensure that multiple counting does not occur.

C2, C3, C4 and C5 counting

This guidance on C1 support applies equally to the subsets of C1, i.e. C2, C3, C4 and C5. Each of these C1 subsets can be counted in addition to C1, as relevant and as set out in the output definitions for each below. However, each C1 subset, i.e. C2, C3, C4 and C5, can only be counted once in relation to a specific enterprise in an individual project (in addition to the C1 counted). The guidance on C1 counting for an enterprise receiving support under different projects applies also to C1 subsets, i.e. C2, C3, C4 and C5.

(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?	• 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.

	• Support can be provided across a range of activity including:
	  ○ 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.

Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	To count one instance of this indicator you must provide evidence to demonstrate the ERDF project has provided the following: **For non- financial support:** • 2 days (12 hours) active consultancy support. **For financial support (loan or grant) investment**: • Grant or Loan/Risk Finance Investment of at least £1,000. *Multiple Counting:* 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.
Count Exclusion: What activity cannot be counted against this indicator?	• 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. N.B that costs incurred in supporting businesses that are ineligible for ERDF support will also be considered ineligible.

Verification Evidence: What records need to be retained to count this indicator?	**Record of business** - Name, address including post code, contact details, company registration number (CRNs) if applicable. Each enterprise should have a unique identifier at operational level during the course of the project. **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. **Support claimed for direct financial support** - documentation demonstrating that value meeting the minimum threshold has been provided to the business, with a unique identifier.
Additional Information Required for Indicator	Types of additional data which will need to be provided: • **For enterprises**: details of the size of the enterprise, sole trader, small and medium-sized enterprise, large company. 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/EC[4]).
Relationship to other Indicators	**Indicator C1 is the primary output for enterprises supported.** **C1 subsets** 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: • C2 – Enterprises receiving grants • C3 – Enterprises receiving financial support other than grants • C4 – Enterprises receiving non-financial support • C5 – New enterprises supported **Other outputs related to C1** 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: • C28 - Enterprise supported to introduce new product to market

[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

	• C29 - Enterprise supported to introduce new product to firm Multiple counts of these indicators *do not* increase the number of enterprises supported under C1. **Enterprises reported under P13** Indicator P13 for 'Enterprise receiving information, diagnostic and brokerage' 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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(P13) Number of enterprises receiving information, diagnostic and brokerage support	
Terms	**Definitions**
Unit of Measurement	Number of enterprises
Investment Priorities where this indicator is used	IP3c IP3d
Count Criteria: What can be recorded against this indicator?	• The type of support includes information, diagnostic advice/guidance and signposting to individual businesses. It is required that all 3 elements – information, diagnostic and brokerage – be included for activity to be eligible. • Support must signpost to relevant ERDF funded provision and/or other provision relevant to the needs of the enterprise. • This output indicator covers the following size of businesses – sole trader, micro business, small and medium-sized enterprises. It includes social enterprises where these engage in economic activity. • Specific calls for proposals or specific conditions may require those running operations 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 must include a structured review lasting a minimum of 3 hours incorporating information, diagnostic assessment and advice and guidance. The method for delivering assistance can include face-to-face, telephone or web-based dialogue, through conferences, seminars and/or workshops dependent on the needs of business. • Assistance can include one-to-one or in groups. • Activities should support the project objectives and be directed towards ultimately improving the performance of the business or supporting the creation of a new enterprise. • Support can be provided across a range of activity including: ○ Management/leadership support ○ Corporate and social responsibility

(P13) Number of enterprises receiving information, diagnostic and brokerage support	
	○ 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 and environment management. • The list 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.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	To count one instance of this indicator you must provide evidence to demonstrate you have provided the following: • Businesses supported with information, diagnostic and brokerage support *only* (a minimum of 3 hours) *Multiple Counting*: A specific business can only be counted once by a project. Multiple instances of support within a project cannot be counted multiple times.
Count Exclusions: What activity cannot be counted against this indicator?	• The 3-hour information, diagnostic and brokerage provision 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 document cannot be double counted. • Any businesses ineligible for ERDF support under **National Eligibility Rules** are excluded.
Verification Evidence: What records need to be retained to	**Record of Business** - Name, address including post code, contact details, company number (CRN) if applicable. Each enterprise supported should be given a unique identifier at operational level during the course of the project.

(P13) Number of enterprises receiving information, diagnostic and brokerage support	
count this indicator?	**Support claimed through hours supported –** record, electronic or paper, of support meeting the minimum threshold verified by a senior member of staff in the enterprise assisted, including time period claimed.
Additional Information Required for Indicator	Types of additional data which may need to be provided: • For businesses: details of the size of the business, sole trader, small and medium-sized enterprise.
Relationship to other Indicators	It is anticipated that this output will reflect stand-alone information, diagnostic and brokerage support only. It may complement, but will not be a prerequisite requirement for achievement of outputs linked to C1 'Enterprises Supported' and/or C5 'New enterprises supported'. Where enterprises receive a sufficient level of information, diagnostic and brokerage support to meet the count threshold for C1, they may also be reported as such as well as any subsets of C1. 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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(C2) Number of enterprises receiving grants	
Terms	**Definitions**
Unit of Measurement	Number of enterprises
Investment priorities where the indicator is used	IP1b IP3a IP3c IP3d
Count Criteria: What can be recorded against this indicator?	• This is a subset of the indicator C1 - 'Enterprises receiving support' - therefore the criteria of C1 must be fulfilled. • To register support as grant, the business must be provided with a cash payment by the project, which is not repaid.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	This is a subset of indicator C1 - Count Threshold is as C1.
Count Exclusions: What activity cannot be counted against this indicator?	This is a subset of indicator C1 - Count Exclusion is as C1.
Verification Evidence: What records need to be retained to count this indicator?	In addition to evidence required for C1: • Evidence of the grant received meeting the minimum threshold. • A unique identifier.
Relationship to other indicators	This is a subset of indicator C1 - 'Enterprise supported'. Enterprises reported under C1 may also be reported under C2 where they meet the relevant definition, criteria and count threshold. Enterprises reported under C2 may also be reported under the following where they meet the relevant definition, criteria and count threshold: • C28 - Enterprise supported to introduce new product to market • C29 - Enterprise supported to introduce new product to firm

Notes	Business is the term commonly used in the UK; the EU Regulations use enterprise.

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(C3) Number of enterprises receiving financial support other than grants	
Terms	**Definitions**
Unit of Measurement	Number of enterprises
Investment priorities where the indicator is used	IP1b IP3a IP3c IP3d
Count Criteria: What can be recorded against this indicator?	• This is a subset of the indicator C1 on 'Enterprises receiving support' therefore criteria of C1 must be fulfilled. • To count support as financial support other than a grant, the business must be provided with a loan or risk finance investment (e.g. equity share) from the project which is repayable.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	This is a subset of indicator C1 - **Count Threshold is as C1.**
Count Exclusions: What activity cannot be counted against this indicator?	This is a subset of indicator C1 - Count Exclusion is as C1.
Verification Evidence: What records need to be retained to count this indicator?	In addition to the evidence required for C1: Support claimed for direct financial support – • Documentation demonstrating the business received loan value meeting the minimum threshold or risk finance investment documentation demonstrating that the investment meets the minimum threshold. • A unique identifier.
Relationship to other Indicators	This is a subset of indicator **C1 - 'Enterprises supported'.** Enterprises reported under C1 may also be reported under C3 where they meet the relevant definition, criteria and count threshold.

(C3) Number of enterprises receiving financial support other than grants	
	Enterprises reported under C3 may also be reported under the following where they meet the relevant definition, criteria and count threshold: • C28 - Enterprise supported to introduce new product to market • C29 - Enterprise supported to introduce new product to firm
Notes	Business is the term commonly used in the UK; the EU Regulations use enterprise.

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(C4) Number of enterprises receiving non-financial support	
Terms	**Definitions**
Unit of Measurement	Number of enterprises
Investment Priorities where the indicator is used	IP1b IP3a IP3c IP3d
Count Criteria: What can be recorded against this indicator?	• This is a subset of indicator C1 – therefore Count Criteria under C1 must be fulfilled. • To register as non-financial support, the business must be provided with a service or services by the project with no direct payment of monies.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	This is a subset of indicator C1 – **Count Threshold is as C1.**
Count Exclusions: What activity cannot be counted against this indicator?	This is a subset of indicator C1 - Count Exclusion is as C1.
Verification Evidence: What records need to be retained to count this indicator?	In addition to the evidence required for indicator C1: Support claimed through hours supported – record, electronic or paper, of support meeting the minimum threshold (12 hours) verified by a senior member of staff in the enterprise assisted, including time period claimed.
Relationship to other Indicators	This is a subset of indicator **C1 - 'Enterprises supported'.** Enterprises reported under C1 may also be reported under C4 where they meet the relevant definition, criteria and count threshold.

(C4) Number of enterprises receiving non-financial support	
	Enterprises reported under C4 may also be reported under the following where they meet the relevant definition, criteria and count threshold: • C28 - Enterprise supported to introduce new product to market • C29 - Enterprise supported to introduce new product to firm
Notes	Business is the term commonly used in the UK; the EU Regulations use enterprise.

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(C5) Number of new enterprises supported	
Terms	**Definitions**
Unit of Measurement	Number of enterprises
Investment priorities where the indicator is used	IP1b IP2a IP2b IP3a IP3c IP3d IP4a IP4f IP6f IP9d
Count Criteria: What can be recorded against this indicator?	• This is a subset of indicator C1 – therefore Count Criteria under C1 must be fulfilled. • Activity must be to support a new business or a business locating in the England programme area for the first time. A new business is one which: • has been registered at Companies House or HMRC for less than 12 months before assistance is provided; or • is a business locating in the England programme area for the first time, to start trading (i.e. registers for VAT, or registers for National Insurance (Class 2) contributions, or the start date of a company's first accounting period, or the date a business receives risk finance investment prior to its first commercial sale). Businesses locating are defined as: • new to the England programme area or branches of businesses which remain established outside the UK.

(C5) Number of new enterprises supported	
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	This is a subset of indicator C1 – **Count Threshold is as C1.**
Count Exclusions: What activity cannot be counted against this indicator?	This is a subset of indicator C1 - Count Exclusion is as C1. The same business cannot be counted at different phases of its growth, as this would be double counting.
Verification Evidence: What records need to be retained to count this indicator?	In addition to the evidence required for indicator C1: **Evidence of a new business** – Evidence of Companies House or HMRC registration less than 12 months before assistance is provided.
Relationship to other Indicators	Enterprises reported under C1 should be reported under C5 where they meet the relevant definition, criteria and count threshold. Enterprises reported under C5 may also be reported under the following where they meet the relevant definition, criteria and count threshold: • C28 - Enterprise supported to introduce new product to market • C29 - Enterprise supported to introduce new product to firm

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(C6) Private investment matching public support to enterprises (grants)	
Terms	**Definitions**
Unit of Measurement	GPB - the managing authority will convert this to Euros for the purposes of reporting to the European Commission
Investment Priorities where this indicator is used	IP1b IP3a IP3c IP3d
Count Criteria: What can be recorded against this indicator?	The ERDF support to the enterprise is provided in the form of a grant. The gross amount of direct tangible investment from the private sector, charitable and not-for-profit organisations induced through ERDF assistance or financial support. Eligible non-monetary contributions made by individuals or organisations that add value to a project and can be given a monetary value e.g. land or loans, donated to the operation. To be eligible for inclusion of contributions in kind, these must be auditable and consistent with **National Eligibility Rules.** The investment must have been induced through ERDF assistance or financial support. **Private Sector**: Includes businesses, registered charities, not for profit organisations, private individuals and further education or higher education institutions, and social enterprises (where the funding cannot be traced to a public source).
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	• The sum of the private contribution to the supported project (£) where the project includes support that constitutes state aid, including support to parts of the project not eligible for ERDF. • The levered private investment is counted when it is received by enterprises from the ERDF project, or from a third party private investor resulting from ERDF investment. • Should be counted up to the financial completion date of the ERDF project. • State aid includes projects deemed exempt from specific approval, including de minimis aid and investment covered by General Block Exemption Regulations.

(C6) Private investment matching public support to enterprises (grants)	
	• Private contributions can include monetised in-kind contributions where they are in line with **National Eligibility Rules**.
Count Exclusions: What activity cannot be counted against this indicator?	• The ERDF support to the enterprise provided through financial instruments (for example a loan or guarantee) • Any expenditure on the project by any public or private sector funder prior to the start date specified in the funding agreement is excluded. • Investment subsequent to the project ending (as specified in the funding agreement) by other public sector and/or the private sector is excluded. • Funds awarded from the National Lottery are excluded.
Verification Evidence: What records need to be retained to count this indicator?	**Private sector organisations** • For each funder: name, address, contact details, status of organisation or individual and the organisation/business they represent. **Gross Funds Received:** • Private – copy of receipts for each contributor's financial contribution. **Gross Funds Spent** • In-kind contributions - Recipient statement (signed by finance director) on what was provided, when it was spent (receipts/ invoices) and how it was used. In-kind contributions must comply with **National Eligibility Rules**. • Validate through the recipient accounts and primary records e.g. invoices/receipts.
Relationship to other Indicators	Not applicable

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(C7) Private investment matching public support to enterprises (non-grants)	
Terms	**Definitions**
Unit of Measurement	GBP (the managing authority will convert this to Euros for the purposes of reporting to the European Commission)
Investment Priorities where the indicator is used	IP1b IP3a IP3c IP3d
Count Criteria: What can be recorded against this indicator?	The ERDF non-grant support to the enterprise must be provided through financial instruments (for example a loan or guarantee) The gross amount of direct tangible or intangible investment from the private sector or: commercial, charitable and not-for-profit organisations and private individuals induced through ERDF non-grant support. Eligible non-monetary contributions made by individuals or organisations that add value to a project and can be given a monetary value e.g. land or loans, donated to the operation. To be eligible for inclusion the contributions in kind must be auditable and consistent with **National Eligibility Rules.** The investment must have been induced through ERDF assistance or financial support. **Private Sector:** Includes businesses, registered charities, not-for-profit organisations, private individuals and further education or higher education institutions, and social enterprises (where the funding cannot be traced to a public source).
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	• The ERDF non-grant support to the enterprise must be provided through financial instruments (for example a loan or guarantee). • The sum of the private contribution to the supported project (£) where the project includes support that constitutes state aid, including support to parts of the project not eligible for ERDF. • The levered private investment is counted when it is received by enterprises from the ERDF project, or from a third party private investor resulting from ERDF investment. • Should be counted up to 3 years following the support provided.

(C7) Private investment matching public support to enterprises (non-grants)	
	• State aid includes projects deemed exempt from specific approval, including de minimis aid and investment covered by General Block Exemption Regulations. • Private contributions can include monetised in-kind contributions in line with **National Eligibility Rules**.
Count Exclusions: What activity cannot be counted against this indicator?	• The ERDF support to the enterprise provided through a grant is excluded. • Any expenditure on the project prior to the start date specified in the funding agreement is excluded. • Investment subsequent to 3 years following the support provided is excluded. • Funds awarded from the National Lottery are excluded.
Verification Evidence: What records need to be retained to count this indicator?	**Private sector organisations –** For each funder: name, address, contact details, status of organisation or individual and the organisation/business they represent. **In-kind contributions** – Recipient statement (signed by finance director) on what was provided, its financial value (receipts/ invoices) and how it was used. In-kind contributions must comply with **National Eligibility Rules**.
Relationship to other Indicators	Not applicable

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(C8) Employment increase in supported enterprises	
Terms	**Definitions**
Unit of Measurement	Full-time equivalents above the baseline set at the start of the intervention
Investment Priorities where the indicator is used	IP1b IP3a IP3c IP3d IP9d
Count Criteria: What can be recorded against this indicator?	• Those jobs created following an intervention with an enterprise that result in an increase in the overall number of FTE staff employed within that enterprise. To determine the employment increase a baseline of the number of jobs in place in the enterprise immediately prior to the start of the support should be taken and compared to the number of jobs in place at the end of the support. The difference between the two is the employment increase. It should be noted that the employment increase due to the support might not always equal the number of jobs created that are directly attributable to the support – e.g. where organisations have restructured during the period and posts been removed. • The benchmarking must take account of the characteristics of employees in respect of gender • A new, permanent, paid, full-time equivalent (FTE) job created as a result of activity supported by project. • New means it should not have existed with that employer in the England programme area before the intervention. • Permanent means it should have an intended life expectancy of at least 12 months from the point at which it is created. A full-time equivalent (FTE) job created can be counted even if it does not last for 12 months provided there is contractual evidence that the intended life expectancy of the job was 12 months. The indicator applies to all sizes of enterprise, but eligibility rules or project selection criteria may restrict the scope of activity.

(C8) Employment increase in supported enterprises	
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	This indicator can be counted if: • A job with an intended life expectancy of at least 12 months is created. Date of creation is the day the new employee starts work in the enterprise. • The 36 hours per week threshold is reached. Part-time jobs should be treated on a pro-rata basis. • A job results in an overall increase in the employment levels of the supported enterprise. **Seasonal jobs** may be counted where this is normal practice for an industry. The job must exist for a minimum of 4 weeks per annum and is counted on a pro-rata basis.
Count Exclusions: What activity cannot be counted against this indicator?	Jobs which are created to directly set up the project's activities, including construction jobs, do not count as an increase in employment in supported enterprises, as these are inputs to rather than outputs of the operation. Jobs which have been created as a result of realignment of posts across the enterprise. Jobs which have been safeguarded. Establishing an individual as self-employed or increasing the hours a self-employed person spends working in the business[5].

[5] This has always been the case as set out in the FAQs below but is being added in this version for clarity.

(C8) Employment increase in supported enterprises	
Verification Evidence: What records need to be retained to count this indicator?	**Job Created:** Employment Increase: written confirmation from a senior member of staff or business owner in the supported enterprise confirming the overall increase in employment levels within the enterprise as a result of the support provided. This should include confirmation of the baseline and end figures and specific details of the jobs created resulting in the increase. To include details of the job as advertised and started, duration, and the number of hours per week. The written confirmation should include the following text: "*The enterprise had X employees prior to the commencement of support, which has now risen to Y. The new post(s) has (have) resulted in an increase in employment within the enterprise and is (are) neither (i) a result of a realignment of posts across the organisation; nor (ii) a post(s) which has (have) been safeguarded."*
Additional Information Required for Indicator	Projects need to provide basic information about the individuals that take up the additional posts to: • **Gender:** Male/Female/ Prefer not to say • **Age:** The following age categories should be used: 16-24/25-29/30-34/35-39/40-44/45-49/50-54/55-59/60-64/65+/Prefer not to say • **Disability:** "Do you consider yourself to have a disability?" Yes/No/Prefer not to say • **Ethnicity:** White/Mixed / Multiple ethnic groups/Asian / Asian British/Black / African / Caribbean / Black British/Other ethnic group/Prefer not to say The above information should be captured based on the first person to occupy the additional, new post.
Relationship to other Indicators	• This indicator will result from some form of support to an enterprise. For the avoidance of doubt, providing all other evidentiary requirements associated with this output (C8) are met C8 outputs may be claimed in cases where the support/assistance provided by the project to the enterprise in which the employment is increased does not reach the threshold required to trigger a C1 output. • The support can create a multiple of employment outputs.
FAQs	

(C8) Employment increase in supported enterprises

Q. Does the type of business created make a difference to whether we can count a job as well?
A. The type of business is not relevant providing it is consistent with the **National Eligibility Rules.**

Q. Can helping individuals to obtain voluntary work count as employment and meet the criteria for this output?
A. No – the indicator is limited to paid employment.

Q. If we train people in construction skills with the aim of them becoming self-employed, can we count them under increase in employment?
A. No.

Q. Can sole traders count themselves as a job created/employment increase?
A. No. Whilst sole traders can provide verification evidence for those they employ through a self-declaration, as there are no other senior staff to do so, to be an employee, you and the employer must be legally separate. In the case of a Sole trader, they are legally the same as their business, therefore, to have two parties to the contract is not possible.

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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
Count Criteria: What can be recorded against this indicator?	This is a subset of the indicator C1 - therefore Count Criteria under C1 must be fulfilled. Support must be for an enterprise to introduce one of the following: • **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. 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. 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). Supported operations that aimed to introduce new to the market 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 as supported to introduce new to the market products as well as supported to introduce new to the firm products. 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 eligibility rules or operation selection criteria may restrict the scope of activity.

(C28) Number of enterprises supported to introduce new to the market products	
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	This is a subset of indicator C1 – **Count Threshold is as C1.**
Count Exclusions: What activity cannot be counted against this indicator?	This is a subset of indicator C1 - Count Exclusion is as C1. 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.
Verification Evidence: What records need to be retained to count this indicator?	In addition to the evidence required for indicator C1: **Products, processes, services:** • 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.
Relationship to other indicators	This is a subset of indicator C1 -'Enterprises receiving support', and either C2, C3 or C4. Enterprises reported under this indicator may also be reported under indicator C29 where they meet the definition.

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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?	• This is a subset of the indicator C1 - therefore Count Criteria under C1 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 **National Eligibility rules** or project selection criteria may restrict the scope of activity.
Count Threshold	This is a subset of indicator C1 – **Count Threshold is as C1.**

(C29) Number of enterprises supported to introduce new to the firm products	
Count Exclusions: What activity cannot be counted against this indicator?	This is a subset of indicator C1 - Count Exclusion is as C1.
Verification Evidence: What records need to be retained to count this indicator?	In addition to the evidence required for indicator C1: **Products, processes, services:** • 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.
Additional information required for indicators	Not applicable
Relationship to other indicators	This is a subset of indicator C1 - 'Enterprises receiving support' and either C2, C3 or C4. Enterprises reported under this indicator may also be reported under indicator C28 where they meet the definition.

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2. Supporting ICT connectivity

(P3) Additional Businesses with broadband access of at least 30mbps	
Terms	**Definitions**
Unit of Measurement	Number of enterprises
Investment Priorities where this indicator is used	IP2a
Count Criteria: What can be recorded against this indicator?	Enterprises should be covered as a result of the project (i.e. through coverage which has been delivered by the project). Under the European Commission's state aid decision for the UK National Broadband Scheme (paragraph 6), the UK defines "superfast broadband as speeds greater than those available on current generation network infrastructure, and which is delivered over next generation networks capable of providing at least 30 Mbps download speeds"[6].
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	Broadband of 30mbps or above.
Count Exclusions: What activity cannot be counted against this indicator?	• Small and medium-sized enterprises which are not eligible for ERDF support. • Excludes enterprises which already have superfast coverage through commercial broadband delivery. • Enterprises which already have superfast broadband (30mbps) delivery are excluded from support that enables ultrafast (at least 100mbps) broadband delivery.

[6] European Commission State aid SA.33671 (2012/N) – United Kingdom: National Broadband scheme for the UK - Broadband Delivery UK, Brussels, 20.11.2012, C(2012) 8223 final https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/378513/State_aid_-_Decision_on_the_National_Broadband_Scheme_for_the_UK.pdf

(P3) Additional Businesses with broadband access of at least 30mbps	
Verification Evidence: What records need to be retained to count this indicator?	Evidence of coverage can be provided via suppliers' reports on speeds made available to premises as a result of ERDF support. For example, contractual reports on premises that have passed the threshold, which list all additional small and medium-sized enterprise premises and their estimated speeds – and where the estimated speeds have been verified through a standardised approach which is also documented. This needs to be combined with a list of addresses of eligible enterprises to give the number of eligible enterprises that have been given access to speeds meeting the threshold.
Additional Information Required for Indicators	Evidence of standardised approach to estimating speeds for premises passed.
Relationship to other indicators	P3 is focused on the supply side, looking at the number of businesses who have the possibility to access superfast and ultrafast broadband as the relevant infrastructure is in place. P4 is focused on the demand side, looking at the number of businesses who actually take up superfast broadband.

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(P4) Additional Businesses taking up broadband access of at least 30mbps	
Terms	**Definitions**
Unit of Measurement	Number of businesses
Investment Priorities where this indicator is used	IP2b
Count Criteria: What can be recorded against this indicator?	The count is the number of enterprises supported to take up broadband access. This requires that superfast broadband is delivered over next generation networks capable of providing at least 30mbps download speeds. This means that while the infrastructure has to be capable of delivering such speeds, not every customer will necessarily get 30mpbs.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	Not applicable
Count Exclusions: What activity cannot be counted against this indicator?	• Small and medium-sized enterprises which are not eligible for ERDF support. • Excludes enterprises which already have superfast coverage through commercial broadband delivery. • Enterprises which already have superfast broadband (30mbps) are excluded from support that enables ultrafast (at least 100mbps) broadband access.
Verification Evidence: What records need to be retained to count this indicator?	Details of the business supported: • Name • Address including post code • Evidence that broadband services of at least 30mbps have been taken up.
Relationship to other indicators	• Indicator P3 focuses on the supply side, looking at the number of businesses who have the possibility to access superfast

(P4) Additional Businesses taking up broadband access of at least 30mbps	
	broadband as the relevant infrastructure is in place. • Indicator P4 focuses on the demand side, looking at the number of businesses who actually take up superfast broadband.

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3. Enterprise culture

(P11) Number of potential entrepreneurs assisted to be enterprise ready	
Terms	**Definitions**
Unit of Measurement	Number of individuals
Investment Priorities where this indicator is used	IP3a IP9d
Count Criteria: What can be recorded against this indicator?	Assistance must be focussed advice and guidance, reported on the following target groups: • Individuals aged 16 and over currently in employment, unemployed or economically inactive with an interest in exploring alternative career pathways. • Pre-start support provided to a potential entrepreneur may be recorded as eligible activity. This applies to entrepreneurs who are not trading and have not been registered with Companies House or HMRC before assistance is initiated. The assistance will involve some form of direct interaction with individuals. This may be one-to-one or in groups and take the form of coaching, mentoring and workshops constituting part of the enterprise journey. It could therefore include: • Workshops and sessions to develop understanding of the issues of starting a business; • Coaching and mentoring to nurture behaviours, values and dispositions to support self-employment and new businesses start up; • Support to explore appropriate business opportunities, for example franchise, social enterprise, building enterprise teams; • Community enterprise coaching – using community-based infrastructures to support people to overcome barriers and actively explore starting a business; • Supporting those in employment to consider business start-ups and ownership as a career opportunity.

(P11) Number of potential entrepreneurs assisted to be enterprise ready	
	• 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.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	To count one instance of this indicator you must provide evidence to demonstrate the ERDF project has: • provided at least 2 days /12 hours of assistance to the individual/enterprise.
Count Exclusions: What activity cannot be counted against this indicator?	• Individuals who are under 16 cannot be counted. • Multiple counts of the same individual within a project is excluded. • Assistance which is provided in the form of generic guidance, mail shots either electronic or hard copy is excluded. • Training / education is specifically an ESF activity in this programme, not an ERDF activity, so cannot be counted. • Sign posting activity alone will not count as a form of assistance • The same business cannot be counted at different phases of its growth, as this would be double counting.
Verification Evidence: What records need to be retained to count this indicator?	**Individual:** • Name, date of birth, address, postcode. **If support towards indicator continues after individual forms an enterprise:** • Evidence that support was initiated before the enterprise was formed (registration with Companies House or HMRC). **Activity:** Letter or standard form signed and dated by the individual specifying what assistance they received and on what date(s).
Additional Information Required for Indicators	The unit of measurement is the individual (potential entrepreneur), not whether they actually go on to start a business. However, it is likely that rate of business start-up will need to be tracked as part of project and programme level evaluation. Projects will need to provide basic information about the individual they support relating to:

(P11) Number of potential entrepreneurs assisted to be enterprise ready	
	• **Gender:** Male/Female/Prefer not to say • **Age:** The following age categories should be used: 16-24/25-29/30-34/35-39/40-44/45-49/50-54/55-59/60-64/65+/Prefer not to say • **Disability:** "Do you consider yourself to have a disability?" Yes/No/Prefer not to say • **Ethnicity:** White/Mixed / Multiple ethnic groups/Asian / Asian British/Black / African / Caribbean / Black British/Other ethnic group/Prefer not to say
Relationship to other indicators	None

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4. Working with research entities

(C25) Number of researchers working in improved research facilities*[7]	
Terms	**Definitions**
Unit of Measurement	Full-time equivalents
Investment Priorities where this indicator is used	IP1a
Count Criteria: What can be recorded against this indicator?	• New or existing working positions in research infrastructure that (a) directly perform R and D activity and (b) are directly affected by the project. If more researchers are employed in the facilities as the result of the project, the new posts are included. • The post must be filled. Vacant posts are not counted. • The facilities may be private or public. Research infrastructure is a wide term for a very heterogeneous group of tangible or intangible assets but has been defined by the EU in other contexts as "facilities, resources and related services that are used by the scientific community to conduct top-level research in their respective fields and covers major scientific equipment or sets of instruments; knowledge-based resources such as collections, archives or structures for scientific information; enabling information and communications technology-based infrastructures such as grid, computing, software and communication, or any other entity of a unique nature essential to achieve excellence in research. Such infrastructures may be "single-sited" or "distributed" and an organised network of resources".
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	• The count is expressed in terms of full-time equivalents. • Jobs can be full-time, part-time or seasonal. Seasonal and part-time jobs are to be converted to full-time equivalents.

[7] *Indicator P1 for 'Number of researchers working in improved research and innovation facilities' no longer exists as an ERDF output and has been replaced by indicator C25. Please note C25 incorporates innovation activities previously captured under P1.

(C25) Number of researchers working in improved research facilities*[7]	
Count Exclusions: What activity cannot be counted against this indicator?	• Maintenance or replacement without improving quality is excluded. • This indicator focuses only on research infrastructure and therefore researchers in broader innovation infrastructure such as incubators should not be counted. • Support staff are not counted (i.e. jobs not directly involved in research and development activity).
Verification Evidence: What records need to be retained to count this indicator?	**Individual:** • Written confirmation from senior member of staff in the supported entity, confirming the position is wholly or predominantly based in the research facility improved by the ERDF project. • Copy of job descriptions for each post.
Additional Information Required for Indicators	Projects will need to provide basic information about the individual they support relating to: • **Gender:** Male/Female/ Prefer not to say • **Age:** The following age categories should be used: 16-24/25-29/30-34/35-39/40-44/45-49/50-54/55-59/60-64/65+/Prefer not to say • **Disability:** "Do you consider yourself to have a disability?" Yes/No/Prefer not to say • **Ethnicity:** White/Mixed / Multiple ethnic groups/Asian / Asian British/Black / African / Caribbean / Black British/Other ethnic group/Prefer not to say
Relationship to other indicators	Not applicable.

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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?	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: • 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. 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. 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). Collaborations are not restricted to small and medium-sized enterprises, but must involve an enterprise within the private sector. Social enterprises can be counted. 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.
Count Threshold: What is the threshold or minimum requirement for recording	A collaboration can only be counted once. If a collaboration on a particular intervention includes work with lead and sub-contracting organisation, or multiple enterprises, *each* enterprise within the partnership can be counted separately.

(C26) Number of enterprises cooperating with research entities	
(one count) of 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, mailshots 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 indicator C1 – 'Enterprises receiving support '– 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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5. Energy and low carbon

(C30) Additional capacity for renewable energy production	
Terms	**Definitions**
Unit of Measurement	Megawatts
Investment Priorities where this indicator is used	IP4a
Count Criteria: What can be recorded against this indicator?	Increase in energy production capacity of facilities using renewable energy resources, built/equipped by the project. Includes electricity and heat energy. The increase will be measured in relation to the capacity of the renewable energy installed. Renewable energy types are defined under article 2a of the **2009 EU Renewable Energy Directive**. • Technology which generates renewable energy that is installed by the project and connected into a building's power supply and/or the national grid/connected into local thermal grid can be counted. • Use of manufacturer estimates for a technology can be used.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	Not applicable.
Count Exclusions: What activity cannot be counted against this indicator?	• Beneficiaries in receipt of the Feed in Tariff are excluded. There is no netting off allowed when it comes to the cost of this contribution. • Energy resources derived from fossil fuels, waste products from fossil sources, or waste products from inorganic sources are excluded.
Verification Evidence:	When installing renewable measures, the manufacturer specification for the technology or product should be used to evidence the wattage that could be generated by the technology.

(C30) Additional capacity for renewable energy production	
What records need to be retained to count this indicator?	
Additional information required for indicators	Not applicable
Relationship to other indicators	This would be expected to result in carbon dioxide saving under indicator C34 on 'Estimated GHG reductions'. Where additional renewable energy capacity leads to primary energy reductions within public buildings, kWh's saved through the installation of renewable technologies will also need to be reported through indicator C32.

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(C31) Number of households with improved energy consumption classification	
Terms	**Definitions**
Unit of Measurement	Number of households
Investment Priorities where this indicator is used	IP4c
Count Criteria: What is recorded against this indicator?	The delivery of energy efficiency improvements through installation of technologies, insulation or renewables should be measured by the increase on the Standard Assessment Procedure (SAP) scale for the property, as measured in the **English Housing Survey**. The delivery of domestic energy efficiency and/or renewable technologies should wherever possible incorporate the use of innovative technologies as part of a whole place solution, which can also incorporate standard retrofit technologies. Project may use standard technologies in an innovative way, however the overarching aim of proposals should be to deliver energy efficiency in domestic properties and encourage the installation of renewable technologies.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	To claim a property to have had improved energy efficiency, the property will need to increase their position on the SAP scale[8]. The SAP scale is expressed on a scale of 1-100 where a property with a rating of 1 has poor energy efficiency (high costs) and a property with a rating of 100 represents zero net energy cost per year[9].
Count Exclusions: What activity cannot be counted	• Basic measures such as loft insulation and double/triple glazing are excluded as a standalone proposal • Installation of renewables where the feed in tariff (FIT) is being claimed cannot be counted.

[8] *Department for Energy and Climate Change*: guidance on Standard Assessment Procedure, https://www.gov.uk/guidance/standard-assessment-procedure

[9] *English Housing Survey:* Annual report on England's households 2013-14, Ministry of Housing, Communities and Local Government (July 2015), https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/446145/EHS_Households_2013-14.pdf

(C31) Number of households with improved energy consumption classification	
against this indicator?	
Verification Evidence: What records need to be retained to count this indicator?	The improved energy consumption will be measured by assessing the position on the SAP scale of a property in which improvements are made, before and after they are installed. Records should relate specifically to individual properties and include: • SAP assessment prior to improvements being undertaken. • SAP assessment following improvements.
Additional Information Required for Indicators	Not applicable
Relationship to other Indicators	This would be expected to result in carbon dioxide saving under indicator C34.

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(C32) Decrease of annual primary energy consumption of public buildings	
Terms	**Definitions**
Unit of Measurement	KWh/year
Investment Priorities where this indicator is used	IP4c
Count Criteria: What is recorded against this indicator?	This indicator measures the total decrease of annual primary energy of public buildings and measures gas, electricity and diesel separately. This will be calculated based on the changes in different forms of energy supply, including: • Change if grid supplied electricity (kWh) • Change if district heating supplied (kWh) • New on-site generation of electricity (kWh) • New on-site generation of heat (kWh) • Change in gas consumption (kWh) • Change in other energy consumption (kWh) The indicator covers primary energy (i.e. energy that has not been subjected to a conversion or transformation process) saved via the installation of energy efficiency measures or renewable technologies in buildings that are utilised by the public. This will be measured through the Energy Performance Certificate. Where a project involves the installation of renewable energy **BEIS Conversion Factors** will need to be used to demonstrate the savings through the energy that has been displaced by the renewables.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	Not applicable
Count Exclusions: What activity cannot be counted against this indicator?	Not applicable

(C32) Decrease of annual primary energy consumption of public buildings	
Verification Evidence: What records need to be retained to count this Indicator?	The difference in kWh should be included as the output. Value will be calculated from the energy certificates issued before and after the reconstruction. The indicator will show the total decrease of *annual* consumption, not the *total* saved consumption.
Relationship to other indicators	This would be expected to result in carbon dioxide savings under indicator C34 on 'Estimated GHG reductions'.

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(C34) Estimated GHG reductions	
Terms	**Definitions**
Unit of Measurement	Tonnes
Investment Priorities where this indicator is used	IP4a IP4b IP4c IP4e IP4f [NB: for C34 (PA4f), the PA4 Programme Guidance states: "where a project is working with an SME on low carbon technology, the project may not be able to report CO2e saving as they are working with business on the low carbon products and the saving generated by these cannot be evidenced"].
Count Criteria: What is recorded against this indicator?	Carbon dioxide equivalent (CO_2e) is the measure that should be used to record savings of carbon associated with the delivery of an operation. CO_2e covers a wide range of greenhouse gases (GHG) that have an impact on climate change. Tonnes of carbon saved should be measured using **BEIS Conversion Factors** for calculating resulting primary energy savings. • The estimate is based on the amount of CO2e saved in a given year, i.e. a projection of estimated savings of either one year following project completion or the calendar year after project completion through a methodology agreed by appraisers. Methodologies may also be discussed with contract managers as part of a Project Change Request
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	Not applicable
Count Exclusions: What activity cannot be counted against this indicator?	Not applicable

(C34) Estimated GHG reductions	
Verification Evidence: What records need to be retained to count this indicator?	Methodologies and verification evidence for measuring estimated GHG reduction must be agreed by appraisers. Methodologies may also be discussed with contract managers as part of a Project Change Request
Relationship to other Indicators	Indicator C34 on 'Estimated GHG reductions' will in many cases result from indicators C30, C31 or C32. It may also result from energy efficiency measure with business recorded under indicator C1 on 'Enterprises receiving support'.

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6. Land and Environment

(C22) Total surface area of rehabilitated land	
Terms	**Definitions**
Unit of measurement	Hectare
Investment priorities where the indicator is used	IP 6d
Count Criteria: What can be recorded against this indicator?	Surface of remediated or regenerated contaminated or derelict land that has been remediated for Green/Blue Infrastructure as detailed in the Operational Programme and made available for economic (except non-eligible, e.g. agriculture or forestry), biodiversity or community activities. Definitions of Green and Blue Infrastructure are provided in the Operational Programme, 2.A4; 2.A.6.1.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indictor?	The indicator can be captured following completion of the physical works and provision of evidence below.
Count Exclusion: What activity cannot be counted against this indicator?	Rehabilitation of land that leads to the commercial re-development of the land for buildings and hard infrastructure activity.
Verification Evidence: What records need to be	• Where required planning permission from the local authority and/or an Environmental Permit from the Environment Agency. • Area plan detailing the boundaries and total surface area.

retained to count this indicator?	• Before and after photographic evidence
Additional Information Required for Indicator	Barring recently cleared land, e.g. land which is mainly bare soil or rock, land being rehabilitated should have an ecological survey undertaken. The detail of this should be relative to the complexity of the habitat on site. Areas of contaminated land can develop rare and distinctive ecological habitats due to the contamination and this can have a higher biodiversity value than the remediated land.
Relationship to other Indicators	C23: Surface area of habitats supported in order to attain better conservation status

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(C23) Surface area of habitats supported in order to attain better conservation status	
Terms	**Definitions**
Unit of Measurement	Hectares
Investment Priorities where this indicator is used	IP5b IP6d
Count Criteria: What can be recorded against this indicator?	Improvements to a defined area of existing habitat(s) that have in place a management plan which can demonstrate how the proposed activity being undertaken will improve the biodiversity of the site. Public access to the site will be required to demonstrate the economic benefit to an area through the ability to market an area for visitors or investment, except where access will have a detrimental impact to a habitat or species. Activity can be associated with one species or include wider habitat improvements including associated access improvements where this is non statutory Rights of Way.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	Not applicable
Count Exclusions: What activity cannot be counted against this indicator?	• Existing activity that is being supported through DEFRA and its non-departmental bodies, such as Natural England or the Environment Agency or through any existing European Funding, is excluded. • Wider landscape management is excluded • Statutory activity is excluded • Activity being undertaken as part of off-setting or relocation of species is excluded • Formal gardens or land without public access is excluded
Verification Evidence: What records need to be retained to count this indicator?	An up to date management plan that has been agreed by a suitably qualified ecologist or agreed by a formally constituted management committee. • Proposed activity would need to be identified in the management plan which would include a commitment to the ongoing management of the site. • Photographic evidence of the activity undertaken

(C23) Surface area of habitats supported in order to attain better conservation status	
Notes	'Biodiversity' is a term commonly used to describe the variety of life on Earth. This encompasses the whole of the natural world and all living things with which we share the planet. It includes plants, animals, invisible micro-organisms and bacteria which, together, interact in complex ways with the inanimate environment to create living ecosystems. There are a range of formal designations applied to areas and habitats such as SSSI. Further details on these can be found at Natural England: **Natural England - Designations**

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(P2) Public or commercial buildings built or renovated	
Terms	**Definitions**
Unit of Measurement	Square metres (m^2)
Investment Priorities where this indicator is used	IP1a IP1b IP3a IP3c IP3d
Count Criteria: What is the activity that can be recorded against this indicator?	The entire area inside the external walls of a building, including corridors, lifts, plant rooms, service accommodation, which is newly built/constructed as part of the operation, or upgraded buildings refurbished, improved or adapted for productive use as part of the operation.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	Not applicable
Count Exclusions: What activity cannot be counted against this indicator?	• Areas which have been identified as ineligible in the application and funding agreement are excluded. • Instances where an existing building is purchased but there are no improvements or building work undertaken on it as part of the project are excluded.
Verification Evidence: What records need to be retained to count this indicator?	• Address of premises including postcode. • As built drawings showing floor space.

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(P12) Square metres public or commercial building built or renovated in targeted areas	
Terms	**Definitions**
Unit of Measurement	Square metres (m^2)
Investment Priorities where this indicator is used	IP9d
Count Criteria: What can be recorded against this indicator?	The entire area inside the external walls of a building including corridors, lifts, plant rooms, service accommodation, which is newly built /constructed as part of the operation, or upgraded buildings refurbished, improved or adapted for productive use as part of the operation, in an agreed community led local development (CLLD) area.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	Not applicable
Count Exclusions: What activity cannot be counted against this indicator?	• Areas which have been identified as ineligible in the application and funding agreement are excluded. • Instances where an existing building is purchased but there are no improvements or building work undertaken on it as part of the project are excluded.
Verification Evidence: What records need to be retained to count this indicator?	• Address of premises including postcode. • As built drawings showing floor space.

(P6) Business premises with reduced flood risk	
Terms	**Definitions**
Unit of Measurement	Number of business premises with reduced flood risk
Investment Priorities where this indicator is used	IP5b
Count Criteria: What can be recorded against this indicator?	The number of business premises that have reduced risk of flooding and/or coastal risks as a result of activity through ERDF. The reduced risk can be direct or indirect to the business premises and evidenced to reflect local circumstances as the impacts of flooding can vary from location to location. Examples of indirect risk include (but are not limited to): an access road is at risk of flooding, which would prevent staff, deliveries etc gaining access to the business premises. The methodology must be agreed by appraisers. Methodologies may also be discussed with contract managers as part of a Project Change Request. The Environment Agency, Priority Axis 5 leads and DEFRA may be called on to review and verify methodologies. This indicator measures how, for a given geographical area, ERDF funded activity to reduce the risk of flooding and/or coastal risk for business premises has affected/improved that area. The measure is the total number of business premises with reduced risk. For multi-occupied buildings all the business premises may be counted. For example, where a building houses 10 businesses, the count is 10. Where a single business has premises at multiple sites within the designated area each premise can be counted. For example, if Business Park X received flood protection and within the park Enterprise A had its headquarters, a warehouse plus an office in Business Park X Tower (which houses 10 enterprises) the count is: Enterprise A HQ: 1 count Enterprise A, 1st floor, Business Park X Tower plus 9 other business premises at Business Park X Tower: 10 counts Enterprise A Warehouse: 1 count Total business premises count: 12

Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	The indicator can be captured following completion of the physical works and provision of the evidence as below.
Count Exclusions: What activity cannot be counted against this indicator?	Properties that are only used, or only intended for use, for domestic purposes are excluded. For example residential households that are being counted as part of eligibility for Flood and Coastal Erosion Risk Management (FCERM) Grant in Aid cannot be counted against this indicator.
Verification Evidence: What records need to be retained to count this indicator?	Details of the works completed: • Plans and designs of the as-built works • Certificate of practical completion Details of the business premises with reduced flood risk: • Name • Address including post code • Evidence that the business premises was 'at risk', directly or indirectly e.g. flood management plans • Evidence of the agreed methodology • Evidence that the designed works will deliver reduced flood risk.

7. Transport

(C14a) Total length of reconstructed or upgraded roads of which TEN-T	
Terms	**Definitions**
Unit of Measurement	Kilometres
Investment Priorities where this indicator is used	IP7a
Count Criteria: What can be recorded against this indicator?	Length of road reconstructed within the Trans European Network (TEN-T) (as defined in **EU Regulation (EU) No 1315/2013)** where the capacity or quality of the road (including safety standards) was improved. If the upgrade is significant enough to qualify as new road, it will be counted under "Total length of newly built roads" and not this indicator. This covers both the core and comprehensive network although investments will be made only in the latter within the England ERDF Programme.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	Not applicable
Count Exclusions: What activity cannot be counted against this indicator?	• General maintenance of roads are excluded • Works that are a substitution of existing or statutory obligations cannot be counted • Road not in TEN-T are excluded. • Road built for the sole purpose of servicing a recreational facility e.g. parks, recreation grounds cannot be counted.
Verification Evidence: What records need to be retained to count this indicator?	Confirmation of completion to include confirmation of length of new road and co-ordinates (beginning and end of road).

(C14a) Total length of reconstructed or upgraded roads of which TEN-T (P7) Length of railway with new or enhanced signalling installation	
Terms	**Definitions**
Unit of Measurement	Kilometres
Investment Priorities where this indicator is used	IP7a
Count Criteria: What can be recorded against this indicator?	Length of railroads of which quality or capacity have been improved by enhancing or installing new signalling systems.
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	Not applicable
Count Exclusions: What activity cannot be counted against this indicator?	• General maintenance of railroads cannot be counted. • Works that are a substitution of existing and/or statutory obligations cannot be counted.
Verification Evidence: What records need to be retained to count this indicator?	Evidence of the completion to include confirmation of length of upgraded railway line and co-ordinates (beginning and end of line).
Relationship to other Indicators	Not applicable

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(P8) Alternative fuel charging/re-fuelling points	
Terms	**Definitions**
Unit of Measurement	Number of alternative fuel charging/re-fuelling points installed.
Investment Priorities where this indicator is used	IP7c
Count Criteria: What can be recorded against this indicator?	Relevant products and technologies should be in line with the **European Commission's Alternative Fuels Directive (2014) infrastructure.** A comprehensive mix of alternative fuel recharging/refuelling points are eligible (specifically including LPG, natural gas including biomethane, electricity, biofuels (liquid) and hydrogen).
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	Not applicable
Count Exclusions: What activity cannot be counted against this indicator?	Installation of alternative fuel charging/re-fuelling points in locations not accessible to the wider public through pay-as-you-go (PAYG) functionality is excluded.
Verification Evidence: What records need to be retained to count this indicator?	• Photographic evidence of installations • Location maps • Verification of commissioning of electric vehicle charge points.
Additional Information Required for Indicators	• Data from charge events demonstrating usage electric vehicle charge points. • Refuelling data from alternative fuel refuelling sites.
Relationship to other Indicators	There is a relationship with P9 'Improved multimodal connections' in terms of alternative fuel/electric vehicle infrastructure installed at multi-modal hubs (i.e. park and rides).

(P9) Improved multimodal connection points	
Terms	**Definitions**
Unit of Measurement	Number
Investment Priorities where this indicator is used	IP7c
Count Criteria: What can be recorded against this indicator?	Facilities (in particular stations and public transport stops) at which it becomes notably easier to combine the use of different modes of transport in a single trip. This can include: • Park and ride facilities (include those with electric charging points) • Bike and ride facilities (such as creating a save bicycle shelter at a public transport stop or train station; public bicycle pick-up points at public transport or train stations, facilities for the recharging of electric bikes etc.) • Car-sharing points at public transport or train stations • Improved connecting points between public transport and rail services
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	Not applicable
Count Exclusions: What activity cannot be counted against this indicator?	Provision of facilities in locations that do not improve multi-modal travel or support integrated mobility services are excluded.
Verification Evidence: What records need to be retained to count this indicator?	• Photographic evidence • Location maps

(P9) Improved multimodal connection points	
Additional Information Required for Indicators	Data from charge events demonstrating usage for electric bike charge points.
Relationship to other Indicators	There is a relationship with P8 in terms of alternative fuel/electric vehicle infrastructure installed at multi-modal hubs (i.e. Park and Rides). Double counting must be avoided

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(P10) Number of multimodal transport hubs	
Terms	**Definitions**
Unit of Measurement	Number
Investment Priorities where this indicator is used	IP7c
Count Criteria: What can be recorded against this indicator?	Provision of new multimodal transport hub
Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	Not applicable
Count Exclusions: What activity cannot be counted against this indicator?	• Branch line track improvements cannot be counted. • Addition or improved rolling stock to the St Ives Branch line service cannot be counted. • Refurbishment of the station building is excluded.
Verification Evidence: What records need to be retained to count this indicator?	• Contract completion certificates for works • Physical evidence of operation of car parks (site visit)
Relationship to other Indicators	Rail mainline signalling proposals will increase service frequencies on main line from January 2019. This will increase the demand for services at St. Erth. Additional patronage will result from the removal of constraints in capacity at St Erth / West Cornwall Transport Interchange. Charging /re-fuelling points could be provided as a part of this output, and must not be double counted under indicator P8 for 'Alternative fuel charging/re-fuelling points' or where funded via a separate project must be counted under P8.

8. Covid-19 Specific

(PCV33) Entities supported in combating or counteracting the effects of the COVID-19 pandemic	
Terms	**Definitions**
Unit of measurement	Number of entities supported
Investment priorities where the indicator is used	IP8b

Count Criteria: What can be recorded against this indicator?	• An entity is a community which has benefitted from ERDF-funded support to respond to the COVID-19 pandemic as set out in an Action Plan.
	• A community is that which is supported through the Action Plan. It can be (but is not limited to):
	  ○ a geographic area or group of areas;
	  ○ a category of enterprise (whether defined by business sector, enterprise size of other defined criteria); and/or
	  ○ a category of infrastructure (including both buildings and other built-infrastructure).
	• An applicable Action Plan can be a new plan or an existing plan which has been adapted in response to the COVID-19 pandemic

Count Threshold: What is the threshold or minimum requirement for recording (one count) of this indicator?	To count one instance of this indicator you must provide evidence to demonstrate a definable community has been assisted to respond to the impacts of COVID-19 due to the implementation of an identified Action Plan. *Multiple Counting: A specific Action Plan can only be counted once. Assistance to multiple communities through the implementation of a single Action Plan cannot be counted multiple times.*
Count Exclusion: What activity cannot be counted	• Communities cannot be counted if their support has not been provided pursuant to an Action Plan; • Communities cannot be counted if the support provided to them is not intended (in part or as a whole) to assist the communities to respond to the impacts of COVID-19.

against this indicator?	
Verification Evidence: What records need to be retained to count this indicator?	• A copy of the relevant Action Plan should be made available.
Additional Information Required for Indicator	• No additional data is required.
Relationship to other Indicators	• There is no direct relationship to other indicators.
Notes	

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9. Technical Assistance

(ER/T/O/01) Number of projects supported to submit an application	
Terms	**Definitions**
Unit of Measurement	Number
Investment Priorities where this indicator is used	Not applicable - Technical Assistance does not have any investment priorities.
Count Criteria: What can be recorded against this indicator?	Number of projects supported.
Verification Evidence: What records need to be retained to count this indicator?	Evidence may consist of the number of outline applications received by the Managing Authority. Applicants would need to keep a record of which applications they had supported which could then be cross referenced with the outline applications as submitted and backed up by timesheets.
Who can claim this: Applicant	Applicant only.

and/or Managing Authority.	

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(ER/T/O/02) Number of training events held by the managing authority and or partners	
Terms	**Definitions**
Unit of Measurement	Number.
Investment Priorities where this indicator is used	Not applicable - Technical Assistance does not have any investment priorities.
Count Criteria: What can be recorded against this indicator?	Number of training events held.
Verification Evidence: What records need to be retained to count this indicator?	Evidence may consist of 'sign-in sheets'; copies of event evaluations by delegates; a copy of event programme; agendas etc.
Who can claim this: Applicant and/or Managing Authority.	Both Applicant and Managing Authority.

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(ER/T/O/03) Number of attendees at training events part funded by Technical Assistance	
Terms	**Definitions**
Unit of Measurement	Number.
Investment Priorities where this indicator is used	Not applicable - Technical Assistance does not have any investment priorities.
Count Criteria: What can be recorded against this indicator?	Number of attendees attending training events.
Verification Evidence: What records need to be retained to count this indicator?	Evidence may be the 'sign-in sheet' used at the training events.
Who can claim this: Applicant	Both Applicant and Managing Authority.

and/or Managing Authority.	

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(ER/T/O/04) Number of dissemination events held	
Terms	**Definitions**
Unit of Measurement	Number.
Investment Priorities where this indicator is used	Not applicable - Technical Assistance does not have any investment priorities.
Count Criteria: What can be recorded against this indicator?	Number of dissemination events held.
Verification Evidence: What records need to be retained to count this indicator?	Evidence may consist of 'sign-in sheets'; copies of event evaluations by delegates; copy of event programmes; copy of agendas etc.
Who can claim this: Applicant	Both Applicant and Managing Authority.

and/or Managing Authority.	

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(ER/T/O/05) Number of attendees at dissemination events part funded by Technical Assistance	
Terms	**Definitions**
Unit of Measurement	Number.
Investment Priorities where this indicator is used	Not applicable - Technical Assistance does not have any investment priorities.
Count Criteria: What can be recorded against this indicator?	Number of attendees at dissemination events.
Verification Evidence: What records need to be retained to count this indicator?	Evidence may be 'sign-in sheets' used at the dissemination events.

Who can claim this: Applicant and/or Managing Authority.	Both Applicant and Managing Authority.

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(ER/T/O/06) Number of evaluations undertaken by applicants	
Terms	**Definitions**
Unit of Measurement	Number.
Investment Priorities where this indicator is used	Not applicable - Technical Assistance does not have any investment priorities.
Count Criteria: What can be recorded against this indicator?	Number of evaluations undertaken.
Verification Evidence: What records need to be retained to count this indicator?	Evidence may consist of the evaluation document itself and documentation detailing how the evaluation findings have impacted on ERDF local growth priorities.

Who can claim this: Applicant and/or Managing Authority.	Applicant only.

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(ER/T/O/07) Number of evaluations carried out by Managing Authority	
Terms	**Definitions**
Unit of Measurement	Number.
Investment Priorities where this indicator is used	Not applicable - Technical Assistance does not have any investment priorities.
Count Criteria: What can be recorded against this indicator?	Number of evaluations undertaken.
Verification Evidence: What records need to be	Evidence may consist of the evaluation document itself and documentation detailing how the evaluation findings have impacted on the implementation of the ERDF programme.

retained to count this indicator?	
Who can claim this: Applicant and/or Managing Authority.	Managing Authority only.

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(ER/T/O/08) Number of Managing Authority employees (FTE years) whose salaries are co-financed by Technical Assistance	
Terms	**Definitions**
Unit of Measurement	Number.
Investment Priorities where this indicator is used	Not applicable - Technical Assistance does not have any investment priorities.
Count Criteria: What can be recorded against this indicator?	Number of Managing Authority employees (FTE years).

Verification Evidence: What records need to be retained to count this indicator?	A monthly monitoring process is in place which tracks the number of FTE staff working on ERDF and the salary offsets against the TA budget.
Who can claim this: Applicant and/or Managing Authority.	Managing Authority only.

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(ER/T/O/09) Percentage of annual expenditure checked through on the spot verifications	
Terms	**Definitions**
Unit of Measurement	Percentage – A minimum of 15% of the amounts requested from the Commission each annual accounting year.
Investment Priorities where this indicator is used	Not applicable - Technical Assistance does not have any investment priorities.
Count Criteria: What can be recorded against this indicator?	Percentage of annual expenditure checked through on the spot verifications.

	The Annual Management Declaration accompanies the annual accounts to the Commision. The records of the ECPA's and the record of the values tested are recorded and audited by the GIAA as part of their Annual Control Report.
Verification Evidence: What records need to be retained to count this indicator?	The claims tested are recorded on E-CLAIMS and supported by OTSV records and reports. Management MI is produced on a monthly basis detailing the claims tested. Records are tested against the ECPA's and E-CLAIMS by the GIAA for each set of Annual Accounts.
Who can claim this: Applicant and/or Managing Authority.	Managing Authority only.

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(ER/T/O/10) Number of Programme Monitoring Committee and sub-committee meetings supported	
Terms	**Definitions**
Unit of Measurement	Number
Investment Priorities where this indicator is used	Not applicable - Technical Assistance does not have any investment priorities
Count Criteria:	Number of Programme Monitoring Committee and sub-committee meetings supported

What can be recorded against this indicator?	
Verification Evidence: What records need to be retained to count this indicator?	Evidence may consist of 'sign-in sheets'; copies of agendas and minutes of meetings etc.
Who can claim this: Applicant and/or Managing Authority.	Managing Authority only.

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(ER/T/R/01) Number of Technical Assistance project supported applications that are approved	
Terms	**Definitions**
Unit of Measurement	Number.
Investment Priorities where this indicator is used	Not applicable - Technical Assistance does not have any investment priorities.

Count Criteria: What can be recorded against this indicator?	Number of Technical Assistance project supported applications that are approved.
Verification Evidence: What records need to be retained to count this indicator?	Evidence may consist of the number of outline applications which have been accepted into the Programme; matured into full applications and have gone on to receive a signed GFA.
Who can claim this: Applicant and/or Managing Authority.	Managing Authority only.

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(ER/T/R/02) Number of evaluations where the results are used to inform future projects	
Terms	**Definitions**
Unit of Measurement	Number.
Investment Priorities where this indicator is used	Not applicable - Technical Assistance does not have any investment priorities.

Count Criteria: What can be recorded against this indicator?	Number of evaluations where the results are used to inform future projects.
Verification Evidence: What records need to be retained to count this indicator?	Applicant – evidence can either be the projects summative assessment and or a separate evaluation piece. Any Project Change Request made post evaluation activity must reflect the findings of the evaluation(s) where it makes sense to do so. Managing Authority – evidence will be the evaluation piece itself and how evaluation learning has been used to improve the quality of project and programme activity.
Who can claim this: Applicant and/or Managing Authority.	Both Applicant and Managing Authority.

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(ER/T/R/03) Number of attendees who found the training useful	
Terms	**Definitions**
Unit of Measurement	Number.
Investment Priorities where this indicator is used	Not applicable - Technical Assistance does not have any investment priorities.

Count Criteria: What can be recorded against this indicator?	Number of attendees who found the training useful.
Verification Evidence: What records need to be retained to count this indicator?	Evidence may be all 'completed evaluation sheets' available upon request.
Who can claim this: Applicant and/or Managing Authority	Both Applicant and Managing Authority.

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(ER/T/R/04) Number of attendees who found the dissemination event useful	
Terms	**Definitions**
Unit of Measurement	Number
Investment Priorities where	Not applicable - Technical Assistance does not have any investment priorities.

this indicator is used	
Count Criteria: What can be recorded against this indicator?	Number of attendees who found the dissemination event useful.
Verification Evidence: What records need to be retained to count this indicator?	Evidence may be all 'completed evaluation sheet's'.
Who can claim this: Applicant and/or Managing Authority.	Both Applicant and Managing Authority.

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(ER/T/R/05) Percentage points the programme Error Rate is below the 2% threshold	
Terms	**Definitions**
Unit of Measurement	Number.
Investment Priorities where	Not applicable - Technical Assistance does not have any investment priorities.

this indicator is used	
Count Criteria: What can be recorded against this indicator?	Percentage points the programme Error Rate is below the 2% threshold.
Verification Evidence: What records need to be retained to count this indicator?	The finalised error rate covering each accounting year is determined by the Audit Authority and finalised within the Annual Control Report. The Annual Control Report is sent to the Commission no later than 15 February each year.
Who can claim this: Applicant and/or Managing Authority.	Managing Authority only.

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(ER/T/R/06) Number of evaluations where recommendations to modify policy or processes have been implemented	
Terms	**Definitions**
Unit of Measurement	Number.
Investment Priorities where	Not applicable - Technical Assistance does not have any investment priorities.

this indicator is used	
Count Criteria: What can be recorded against this indicator?	Number of evaluations where recommendations to modify policy or processes have been implemented.
Verification Evidence: What records need to be retained to count this indicator?	Evidence will be both the evaluations themselves and how evaluation learning has been used to improve the quality of ERDF programme activity.
Who can claim this: Applicant and/or Managing Authority.	Managing Authority only.

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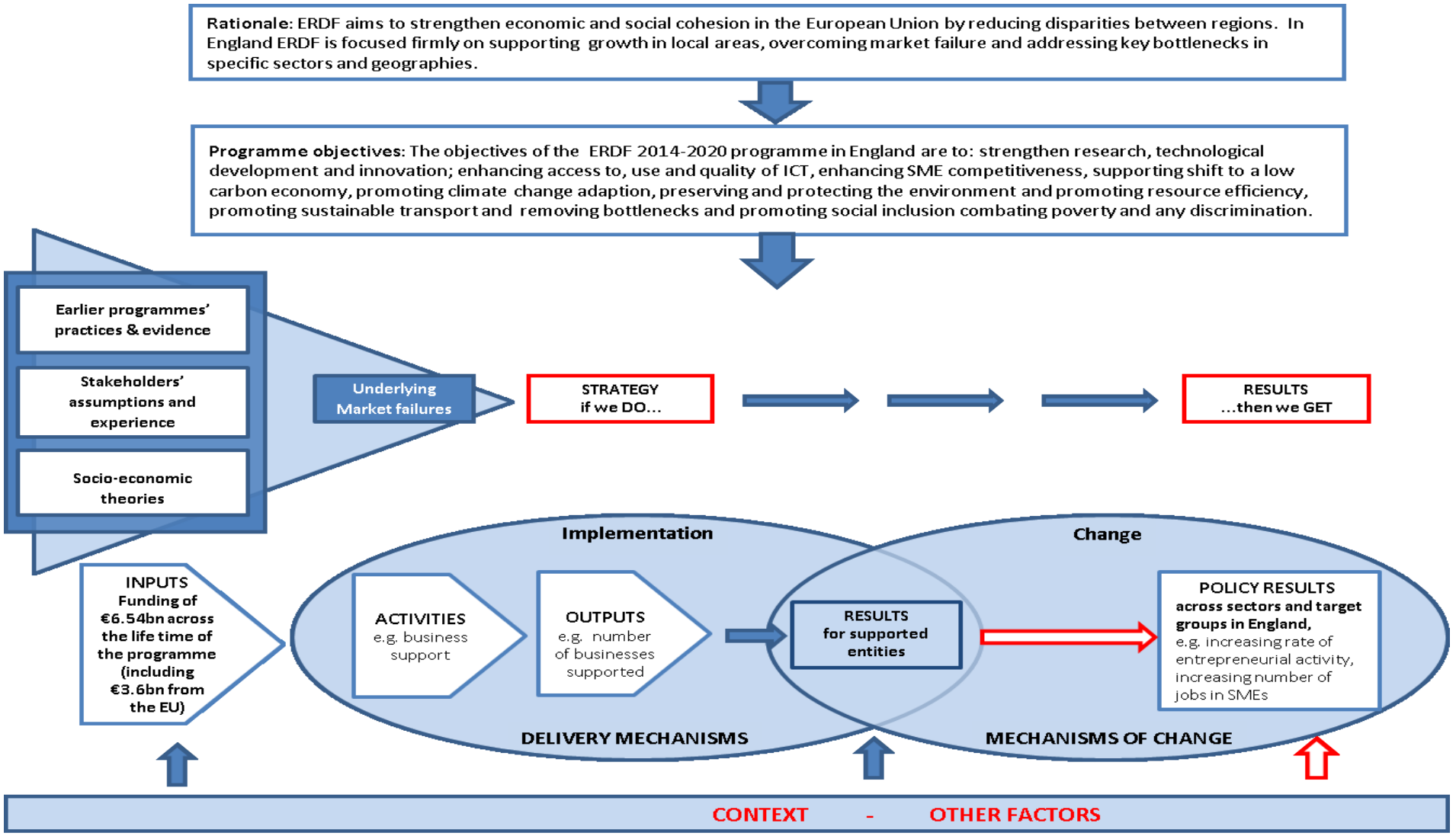
Rationale: ERDF aims to strengthen economic and social cohesion in the European Union by reducing disparities between regions. In England ERDF is focused firmly on supporting growth in local areas, overcoming market failure and addressing key bottlenecks in specific sectors and geographies.
Programme objectives: The objectives of the ERDF 2014-2020 programme in England are to: strengthen research, technological development and innovation; enhancing access to, use and quality of ICT, enhancing SME competitiveness, supporting shift to a low carbon economy, promoting climate change adaption, preserving and protecting the environment and promoting resource efficiency, promoting sustainable transport and removing bottlenecks and promoting social inclusion combating poverty and any discrimination.
Earlier programmes' practices & evidence
Stakeholders' assumptions and experience
Socio-economic theories
Underlying Market failures
STRATEGY if we DO...
RESULTS ...then we GET
Implementation
Change
INPUTS Funding of €6.54bn across the life time of the programme (including €3.6bn from the EU)
ACTIVITIES e.g. business support
OUTPUTS e.g. number of businesses supported
RESULTS for supported entities
POLICY RESULTS across sectors and target groups in England, e.g. increasing rate of entrepreneurial activity, increasing number of jobs in SMEs
DELIVERY MECHANISMS
MECHANISMS OF CHANGE
CONTEXT - OTHER FACTORS

Annex 2: table of output indicators broken down by priority axis

Priority axis	Investment priority	Specific objective	Output indicators
1: Promoting Research and Innovation	1a : enhancing research and innovation (R&I) infrastructure and capacities to develop R&I excellence, and promoting centres of competence, in particular those of European interest	1.1: increase investment in research and innovation infrastructure that catalyses collaboration with the research community especially in sectors identified through smart specialisation	**C25 - Number of researchers working in improved research facilities** **P2- Public or commercial buildings built or renovated**
	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, advance manufacturing capabilities and first production, in particular in key enabling technologies and diffusion of general purpose technologies.	1.2: Increase investment in research and innovation by small and medium enterprises in sectors and technologies identified through smart specialisation. 1.3: Increase the number of small and medium sized enterprises engaged in knowledge exchange, collaborative and contract research and innovation with research institutions, public institutions or large enterprises in order to help them bring new products and processes to market.	**C1 - Number of enterprises receiving support** **C2 - Number of enterprises receiving grants** **C3 - Number of enterprises receiving financial support other than grants** **C4 - Number of enterprises receiving non-financial support** **C5 - Number of new Enterprises supported** **C6 - Private investment matching public support to enterprises (grants)** **C7 - Private investment matching public support to enterprises (non-grants)** **C8 - Employment increase in supported enterprises** **C26 - Number of enterprises cooperating with research entities** **C28 - Number of enterprises supported to introduce new to the market products** **C29 - Number of enterprises supported to introduce new to the firm products** **P2 - Public or commercial buildings built or renovated**

Priority axis	Investment priority	Specific objective	Output indicators
2: Enhancing access to, and use and quality of, ICT	2a : Extending broadband deployment and the roll-out of high-speed networks and supporting the adoption of emerging technologies and networks for the digital economy	2.1: Increase the coverage of superfast and ultrafast broadband in areas where the market is failing, particularly where this is creating a barrier to small and medium-sized enterprise growth	**C1 - Number of enterprises receiving support** **C5 - Number of new enterprises supported** **P3 - Additional businesses with broadband access of at least 30Mbps**
	2b: Developing ICT products and services, e-commerce, and enhancing demand for ICT	2.2 Increase the number of small and medium sized enterprises making productive use of digital technologies.	**C1 - Number of enterprises receiving support** **C5 - Number of new enterprises supported** **C29 - Number of enterprises supported to introduce new to the firm products** **P4 - Additional businesses taking up broadband with speeds of at least 30Mbps**
3: Enhancing the Competitiveness of small and medium-sized enterprises	3a -Promoting entrepreneurship, in particular by facilitating the economic exploitation of new ideas and fostering the creation of new firms, including through business incubators.	3.1 Increase entrepreneurship, particularly in areas with low levels of enterprise activity and amongst under-represented groups.	**C1 - Number of enterprises receiving support** **C2 - Number of enterprises receiving grants** **C3 - Number of enterprises receiving financial support other than grants** **C4 - Number of enterprises receiving non-financial support** **C5 - Number of new enterprises supported** **C6 - Private investment matching public support to enterprises (grants)** **C7 - Private investment matching public support to enterprises (non-grants)** **C8 - Employment increase in supported enterprises** **C28 - Number of enterprises supported to introduce new to the market products** **P2 - Public or commercial buildings built or renovated** **P11 -Number of potential entrepreneurs assisted to be enterprise ready**

Priority axis	Investment priority	Specific objective	Output indicators
	3c - Supporting the creation and the extension of advanced capacities for products, services and development	3.2 Increase growth capacity of small and medium-sized enterprises	C1 - Number of enterprises receiving support C2 - Number of enterprises receiving grants C3 - Number of enterprises receiving financial support other than grants C4 - Number of enterprises receiving non-financial support C5 - Number of new enterprises supported C6 - Private investment matching public support to enterprises (grants) C7 - Private investment matching public support to enterprises (non-grants) C8 - Employment increase in supported enterprises C29 - Number of enterprises supported to introduce new to the firm products P2 - Public or commercial buildings built or renovated P13 - Number of enterprises receiving Information, Diagnostic and Brokerage support

Priority axis	Investment priority	Specific objective	Output indicators
	3d - Supporting the capacity of small and medium sized enterprises to grow in regional, national and international markets and to engage in innovation processes	3.3 Increase growth capability of small and medium-sized enterprises	C1 - Number of enterprises receiving support C2 - Number of enterprises receiving grants C3 -Number of enterprises receiving financial support other than grants C4 - Number of enterprises receiving non-financial support C5 - Number of new enterprises supported C6 - Private investment matching public support to enterprises (grants) C7 - Private investment matching public support to enterprises (non-grants) C8 - Employment increase in supported enterprises C29 - Number of enterprises supported to introduce new to the firm products P2 - Public or commercial buildings built or renovated P13 - Number of enterprises receiving Information, Diagnostic and Brokerage support
4: Supporting the Shift Towards A Low Carbon Economy In All Sectors	4a : Promoting the production and distribution of energy derived from renewable sources	4.1 Increase the number of small scale renewable energy schemes in England	C1 - Number of enterprises receiving support C5 - Number of new enterprises supported C30 - Additional capacity of renewable energy production C34 - Estimated annual decrease of GHG
	4b: Promoting energy efficiency and renewable energy use in enterprises	4.2 Increase energy efficiency in particular in small and medium-sized enterprises, including through the implementation of low carbon technologies	C1 - Number of enterprises receiving support C34 - Estimated GHG reductions

Priority axis	Investment priority	Specific objective	Output indicators
	4c : Supporting energy efficiency, smart energy management and renewable energy use in public infrastructure, including in public buildings, and in the housing sector	4.3 Increase energy efficiency in homes and public buildings, including through the implementation of low carbon technologies	C31 - Number of households with improved energy consumption C32 - Decrease of annual primary energy consumption of public buildings C34 - Estimated GHG reductions
	4e : Promoting low-carbon strategies for all types of territories, in particular for urban areas, including the promotion of sustainable multimodal urban mobility and mitigation-relevant adaptation measures	4.4 Increase implementation of whole place low carbon solutions and decentralised energy measures.	C1 - Number of enterprises receiving support C34 - Estimated GHG reductions
	4f : Promoting research and innovation in, and adoption of, low-carbon technologies	4.5 Increase innovation in, and adoption of, low carbon technologies	C1 - Number of enterprises receiving support C5 - Number of new enterprises supported C26 - Number of enterprises cooperating with research institutions C29- Number of enterprises supported to introduce new to the firm products C34 - Estimated GHG reductions
5: Promoting Climate Change Adaptation, Risk Prevention and Management	5b : promoting investment to address specific risks, ensuring disaster resilience and developing disaster management systems	5.1: Enabling and protecting economic development potential through investment in flood and coastal flooding management where there is demonstrable market failure	C23 - Surface of habitats supported to attain better conservation status P6 - Business premises with reduced flood risk

Priority axis	Investment priority	Specific objective	Output indicators
6: Preserving and Protecting the Environment and Promoting Resource Efficiency	6d- Protecting and restoring biodiversity and soil and promoting ecosystem services, including through Natura 2000, and green infrastructure	6.1 Investments in Green and Blue infrastructure and actions that support the provision of ecosystem services on which businesses and communities depend to increase local natural capital and support sustainable economic growth	**C22 - Total surface area of rehabilitated land** **C23 - Surface area of habitats supported in order to attain a better conservation status**
	6f - Promoting innovative technologies to improve environmental protection and resource efficiency in the waste sector, water sector and with regard to soil, or to reduce air pollution	6.2 Investment to promote the development and uptake of innovative technologies, in particular in resource efficiency, in order to increase the resilience and environmental and economic performance of businesses and communities.	**C1 - Number of enterprises receiving support** **C5 - Number of new enterprises supported** **C29 - Number of enterprises supported to introduce new to the firm products**
7: Sustainable Transport In Cornwall and The Isles of Scilly	7a - Supporting a multimodal Single European Transport Area by investing in the TEN-T	7.1: Improve the accessibility of Cornwall and the Isles of Scilly by enhancing integration with the TEN-T road and rail network	**C14a- Total length of reconstructed or upgraded roads of which: TEN-T** **P7 - Length of railway with new or enhanced signalling installation**
	7c Developing and improving environmentally-friendly (including low-noise) and low-carbon transport systems, including inland waterways and maritime transport, ports, multimodal links and airport infrastructure, in order to promote sustainable regional and local mobility	7.2: Improve accessibility and connectivity within Cornwall and the Isles of Scilly through developing sustainable means of transport	**P8 - Alternative fuel charging/re-fuelling points** **P9 - Improved multi-modal connection points** **P10 - Number of multi-modal transport hubs**

Priority axis	Investment priority	Specific objective	Output indicators
8: Promoting Social Inclusion and Combating Poverty and Any Discrimination	9d : Undertaking investment in the context of community-led local development strategies	8.1 Build capacity within communities as a foundation for economic growth in deprived areas	**C1 - Number of enterprises receiving support** **C5 - Number of new enterprises supported** **C8 - Employment increase in supported enterprises** **P11 - Number of potential entrepreneurs assisted to be enterprise ready** **P12- Square metres public or commercial building built or renovated in targeted areas**
Priority Axis	**Investment Priority**	**Specific Objective**	**Output Indicator** **Applicable to MA/Applicant or Both**
9. Technical Assistance	Technical Assistance does not have any investment priorities	9.1 To ensure that activities which fall within the scope of the programme are delivered efficiently and effectively in line with applicable law. 9.2 To facilitate access to the programme and communicate the impact that the European Structural and Investment Funds have.	**ER/T/O/01 Number of projects supported to submit an application. - Applicant only** ER/T/O/02 Number of training events held by the managing authority and or partners. - Both ER/T/O/03 Number of attendees at training events part funded by Technical Assistance. - Both ER/T/O/04 Number of dissemination events held. - Both ER/T/O/05 Number of attendees at dissemination events part funded by Technical Assistance. - Both ER/T/O/06 Number of evaluations undertaken by applicants. - Applicant only ER/T/O/07 Number of evaluations carried out by Managing Authority. - MA only

Priority axis	Investment priority	Specific objective	Output indicators
			ER/T/O/08 Number of Managing Authority employees (FTE years) whose salaries are co-financed by Technical Assistance. - MA only ER/T/O/09 Percentage of annual expenditure checked through on the spot verifications. - MA Only ER/T/O/10 Number of Programme Monitoring Committee and sub-committee meetings supported. - MA only ER/T/R/01 Number of Technical Assistance project supported applications that are approved. - Applicant only ER/T/R/02 Number of evaluations where the results are used to inform future projects. - Both ER/T/R/03 Number of attendees who found the training useful. - Both ER/T/R/04 Number of attendees who found the dissemination event useful. - Both ER/T/R/05 Percentage points the programme Error Rate is below the 2% threshold. - MA only ER/T/R/06 Number of evaluations where recommendations to modify policy or processes have been implemented. - MA only

Annex 3: Technical Assistance Output and Result Indicators

Code	Indicator Description	Indicator Type	Fund	Applicable to MA/Applicant or Both
ER/T/O/01	Number of projects supported to submit an application.	Output	European Regional Development Fund	Applicant Only
ER/T/O/02	Number of training events held by the managing authority and or partners.	Output	European Regional Development Fund	Both
ER/T/O/03	Number of attendees at training events part funded by Technical Assistance.	Output	European Regional Development Fund	Both
ER/T/O/04	Number of dissemination events held.	Output	European Regional Development Fund	Both
ER/T/O/05	Number of attendees at dissemination events part funded by Technical Assistance.	Output	European Regional Development Fund	Both
ER/T/O/06	Number of evaluations undertaken by applicants.	Output	European Regional Development Fund	Applicant Only
ER/T/O/07	Number of evaluations carried out by Managing Authority	Output	European Regional Development Fund	MA Only
ER/T/O/08	Number of Managing Authority employees (FTE years) whose salaries are co-financed by Technical Assistance	Output	European Regional Development Fund	MA Only
ER/T/O/09	Percentage of annual expenditure checked through on the spot verifications	Output	European Regional Development Fund	MA Only
ER/T/O/10	Number of Programme Monitoring Committee and sub-committee meetings supported	Result	European Regional Development Fund	MA Only
ER/T/R/01	Number of Technical Assistance project supported applications that are approved.	Result	European Regional Development Fund	Applicant Only
ER/T/R/02	Number of evaluations where the results are used to inform future projects	Result	European Regional Development Fund	Both

ER/T/R/03	Number of attendees who found the training useful.	Result	European Regional Development Fund	Both
ER/T/R/04	Number of attendees who found the dissemination event useful.	Result	European Regional Development Fund	Both
ER/T/R/05	Percentage points the programme Error Rate is below the 2% threshold	Result	European Regional Development Fund	MA Only
ER/T/R/06	Number of evaluations where recommendations to modify policy or processes have been implemented	Result	European Regional Development Fund	MA Only

For further guidance, see **European Structural and Investment Funds: technical assistance**.

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