



OUTPUT INDICATOR GUIDANCE

INTERREG VA

Cross-border Programme for Territorial Co-operation 2014-2020, Northern Ireland, Border Region of Ireland and Western Scotland

Thematic Objective 1

Strengthening research, technological development and innovation

Priority Axis 1

Research and Innovation

Investment Priority 1b

Promoting business investment in R&I

Specific Objective 1.2

To increase the number and capacity of SMEs engaged in cross-border research and innovation activity in the region aimed at the development of new products, processes and services

Document Control

Document History		
Version	Date	Changes
1.0	January 2016	Drafted by Carly Gordon (NISRA)
2.0	February 2016	Addition to achievement section in Indicator 1.213 by Carly Gordon

INTRODUCTION

INTERREG VA - United Kingdom - Ireland is a European Territorial Cooperation programme that aims to promote greater economic, social and territorial cohesion. The eligible region for this programme comprises Northern Ireland, the Border Region of Ireland, and Western Scotland.

Ireland and Northern Ireland share a land border, whilst the border between Ireland and Scotland is a maritime border. Northern Ireland and Scotland are also separated by the North Channel. In all cases the regions concerned are peripheral to the main economic centres of their respective Member States. The contrasting nature of the borders within the eligible area means that different approaches to promoting cross-border co-operation need to be adopted, depending on the nature of the border and the sector involved.

The following strategic areas of investment have been prioritised by the Member States for the 2014-2020 period:

- Smart Growth Priority: Thematic Objective 1 – Strengthening Research, Technological Development and Innovation - The programme will contribute to the objective within EU2020 of increasing the spend on Research and Development (R&D) to 3% of GDP by 2020, by establishing increased cross-border R&D competence building, for Life and Health Sciences and Renewable Energy. Additionally, R&D into renewable energy technologies may contribute to EU2020 targets and lead to reductions in the use of carbon resources and emissions.
- Sustainable Growth Priority: Thematic Objective 6 – Preserving and Protecting the Environment and Promoting Resource Efficiency- The inclusion in the programme of the protection and preservation of habitats and species, an emphasis on water and marine management will contribute to enhancing the region’s sustainability and is congruent with the priority for sustainable growth outlined in strategy EU2020.
- Sustainable Growth Priority: Thematic Objective 7 – Promoting Sustainable transport and removing bottlenecks in key network infrastructures – The promotion of electric vehicles; greenways; and multimodal transport links have the purpose of reducing the reliance upon carbon forms of transport in the region and underpins the EU2020 strategic objective of creating sustainable growth.
- Inclusive Growth Priority: Thematic Objective 9 – Promoting Social Inclusion, Combating Poverty and any discrimination. The needs analysis of the region has

identified inequalities in health care provision for those citizens living in the border area. The inclusion of improved access to cross-border health services is in line with the EU 2020 strategy to generate inclusive growth.

This document provides descriptions and definitions for the output indicators under specific objective 1.2 presented in the new INTERREG VA Programme 2014 – 2020.

Priority axes (PA) are the building blocks of programmes; the PAs are defined as follows: PA 1 – *Research and Innovation*, PA 2 – *Environment*, PA 3 – *Sustainable Transport*, and PA 4 – *Health*. This document includes a diagram highlighting the investment priorities, specific objectives, result and output indicators, as well as descriptions and definitions of the specific objective 1.2 output indicators in detail.

GENERAL DEFINITIONS

The Programme's impact will be monitored through the use of output and result indicators¹. This section provides a definition of output and result indicators. Projects receiving funding through INTERREG VA will be expected to report progress against output indicators only, as such this document goes on to outline definitions and guidance relating to output indicators only.

Output Indicators: Link to activities of operation. They are measured in physical or monetary units (e.g. length of road constructed, number of firms financially supported) and contribute to result indicators.

Output indicators cover all investment priorities of a programme (art. 27.4(b), 96.2(b) CPR). They should be derived from the intervention logic of the programme, expressing its actions. Output indicators from the list of common indicators may be insufficient to reflect the actions of a certain programme; in this case it was necessary to also identify programme specific output indicators.

The programme shall set *cumulative targets* for output indicators for 2023 (art. 6, ERDF regulation; art. 5, CF regulation; art. 16, ETC regulation). Baselines for output indicators are not required.

Result Indicators: Relate to specific objectives and capture the expected change.

Each priority axis includes one or more investment priorities according to their specific needs and context. The specific objective is the expression of what each investment priority aims to achieve (see art.2.34, CPR for legal definition of a specific objective). The change sought by the specific objective is expressed in one *result indicator*, or as few as possible.²

Result indicators shall meet certain quality criteria. They should be:

- a) responsive to policy: closely linked to the policy interventions supported. They should capture the essence of a result according to a reasonable argument about which features they can and cannot represent;

¹ Ecorys Academy. (2014). Training to Managing Authorities: Intervention logic - Explaining the result orientation of 2014-2020.

² EC (2014). The programming period 2014-2020: Guidance document on monitoring and evaluation. Retrieved from: http://ec.europa.eu/regional_policy/sources/docoffic/2014/working/wd_2014_en.pdf

- b) normative: having a clear and accepted normative interpretation (i.e. there must be agreement that a movement in a particular direction is a favourable or an unfavourable result);
- c) robust: reliable, statistically validated;
- d) timely: available when needed, with room built in for debate and for revision when needed and justified.

GUIDANCE FOR MEASURING AND RECORDING ACHIEVEMENT FOR INDICATORS

The following is some general advice to take into account when recording achievement against output indicators on the database relating to project monitoring for the 2014-2020 Programme (DB2014). The purpose of this is to ensure that all projects record accurately and consistently; ensuring that Programme level reporting on progress against indicators is reflective of each of the projects that have received funding and are contributing to Programme aims and objectives.

- The lead partner is the source of data for all indicators, as they should collect and/or collate relevant data from project partners and managers to report against each of the output indicators relevant to their project.
- Achievement should be updated on a quarterly basis, even if there is nothing to report (in this case a '0' should be entered).
- When collecting data relating to individuals (e.g. numbers trained, numbers treated, numbers participating etc...) a breakdown by gender should also be collected and recorded.
- In addition to indicators and targets, Lead Partners will also have to agree milestones, where relevant. These will be project specific, included in the Letter of Offer and will have to be reported against regularly to show progress towards achieving an output indicator.
- Level of recording - Activity/achievement should only be entered at one level i.e. the lead partner will enter any achievement against their project, to avoid any possibility of duplicate recording and ensure consistency. Entries will then be quality assured by the Joint Secretariat and the Financial Control Unit in SEUPB. Where monitoring data is being collected by, for instance, service providers as opposed to the lead partner; the lead partner should take responsibility for collating monitoring data from the various sub-projects/project managers/service providers, and record activity on DB2014 on a quarterly basis.
- Cumulative within year - Entries of achievement against a project can be made several times over the course of a calendar year; however new entries will overwrite previous entries so they should be on cumulative basis for each year i.e. each new

entry should include all achievement so far that year even if a report has already been made. However, between years, achievement should be on a non-cumulative basis.

For example: Number of enterprises receiving one to one advice – there could be 3 entries against this indicator in the 2015 calendar year, so if in the first 3 months 4 enterprises received advice the project lead partner should record 4; then if another 2 enterprises receive advice in the following 6 months, a total of 6 should be reported; and if another 3 enterprises received advice in the last 3 months of 2015, a total of 9 enterprises should be entered. That will make a total achievement of 9 enterprises in 2015, and the counter should reset to 0 for 2016.

Projects should also note that activity should be recorded in the year to which it relates, rather than the date it was entered, i.e. if an activity took place in December of 2017 but not recorded until January 2018, the entry should be made under 2017.

- Record achievement as information becomes available - Achievement against output indicators at the INTERREG Programme level is reported on at several times during the year (including Spring and Autumn Programme Monitoring Committees and the Annual Implementation Report that is produced by calendar year). Ideally, projects should not wait until the year end to enter all achievement in one go. It would be more beneficial to report achievement at regular intervals, ideally not later than the end of each quarter, to ensure that Programme level reports are as accurate and up to date as possible, reflecting the output achievement of all projects at that point in time. Projects should note that even if there is no achievement against certain output indicators there is still the need to update monitoring entries. In this case projects, should enter zero.
- Check wording and definitions - this document contains a list of the relevant indicators and associated definitions and units. Please ensure you are reporting accurate, relevant information, avoiding double counting and using the correct unit (e.g. enterprises, patients, percentage etc).

For example, ‘number of enterprises engaging an intern’; the unit here is enterprises, so you should not record the number of interns as this may lead to double counting if

an enterprise employs more than one intern. It should be the number of enterprises and each enterprise should only be counted once.

INTERREG Cross-Border Programme 2014-2020
€240 million ERDF (plus 15% match funding)
Max 85% intervention rate

Thematic Objective 1
Strengthening research, technological development and innovation

Priority Axis 1
Research and Innovation

Investment Priority 1a
Enhancing research and innovation

Specific Objective 1.1

To increase business and industry relevant research and innovation capacity across the region within two target sectors; Health and Life Sciences and Renewable Energies.

€45 million (approx)

Investment Priority 1b
Promoting business investment in R&I

Specific Objective 1.2

To increase the number and capacity of SMEs engaged in cross-border research and innovation activity in the region aimed at the development of new products, processes and services

€16 million (approx)

Thematic Objective 6
Preserving and protecting the environment and promoting resource efficiency

Priority Axis 2
Environment

Investment Priority 2a
Protecting and restoring biodiversity

Specific Objective 2.1

To promote cross-border co-operation to facilitate the recovery of selected protected habitats and priority species

€11 million (approx)

Specific Objective 2.2

To develop cross-border co-operation capacity for the monitoring and management of marine protected areas and species in the region

€11 million (approx)

Investment Priority 2b
Investing in the water sector

Specific Objective 2.3

To improve water quality in shared transitional waters

€30 million (approx)

Specific Objective 2.4

To improve fresh water quality in cross-border river basins

€20 million (approx)

Thematic Objective 7
Promoting sustainable transport and removing bottlenecks in key network infrastructures

Priority Axis 3
Sustainable Transport

Investment Priority 3a
Developing and Improving Environmentally-friendly and low carbon transport systems

Specific Objective 3.1

Promote cross-border intermodal and sustainable mobility in the cross-border region

€40 million (approx)

Thematic Objective 9
Promoting social inclusion, combating poverty and any discrimination

Priority Axis 4
Health

Investment Priority 4.a
Investing in health and social infrastructure

Specific Objective 4.1

Through collaboration on a cross-border basis, to improve the health and well-being of people living in the region by enabling them to access quality health and social care services in the most appropriate setting to their needs

€53 million (approx)

Thematic Objective 1
Strengthening research, technological development and innovation

Priority Axis 1 – Research and Innovation

Investment Priority 1.a
 Enhancing research and innovation

Investment Priority 1.b
 Promoting business investment in R&I

Specific Objective 1.1

To increase business and industry relevant research and innovation capacity across the region within two target sectors; Health and Life Sciences and Renewable Energy

Result Indicator: The annual number of peer reviewed journal and conference publications in two target sectors (Health and Life Sciences and Renewable Energy) with cross-border authorship and with the potential to create economic impact.

Output Indicators (all common indicators)

- Number of enterprises receiving support
- Number of enterprises receiving grants
- Number of enterprises receiving non-financial support
- The number of new researchers in supported entities
- Number of enterprises cooperating with research institutions
- Number of enterprises participating in cross-border, transnational or interregional research projects
- Number of research institutions participating in cross-border, transnational or interregional research projects

Specific Objective 1.2

To increase the number and capacity of SMEs engaged in cross-border research and innovation activity in the region aimed at the development of new products, processes and services

Result Indicator: The percentage of SMEs in the eligible region involved in research and innovation involving cross-border collaborations.

Output Indicators

- Number of enterprises receiving support (common indicator)
- Number of enterprises receiving grants (common indicator)
- Number of enterprises receiving non-financial support (common indicator)
- Number of enterprises cooperating with research institutions (common indicator)
- Number of enterprises participating in cross-border, transnational or interregional research projects (common indicator)
- Number of research institutions participating in cross-border, transnational or interregional research projects (common indicator)
- Number of enterprises receiving one to one innovation advice
- Number of enterprises in receipt of an Innovation Capability Development Programme
- Number of enterprises engaging an Innovation Intern

Specific Objective 1.2: To increase the number and capacity of SMEs engaged in cross-border research and innovation activity in the region aimed at the development of new products, processes and services

The support provided through this investment priority will aim to increase:

- the number of enterprises actively innovating to bring new products and/or new processes to the market; and
- collaboration between large enterprises, research institutions and public institutions.

The objective is aimed at promoting innovation, through business engagement and the provision of advice; support for networking and clusters of innovative businesses and those seeking to become innovative; and business-to-business collaborations. Projects are encouraged where actions seek to build systems and cultures of open innovation.

The terms *Small, Medium-sized Enterprises (SMEs)*³ are the central components of each output indicator used under this specific objective. The following are the parameters for the definition of SMEs as provided by the European Union. The categorisation is either determined by the number of employees plus the annual turnover, or, the number of employees plus the total of the balance sheet⁴:

Enterprise Category	Employees Headcount	Financial Ceilings		
		Turnover	or	Balance sheet total ⁵
Medium-sized	< 250	≤ € 50 m		≤ € 43 m
Small	< 50	≤ € 10 m		≤ € 10 m
Micro	< 10	≤ € 2 m		≤ € 2 m

Sole traders⁶ are **excluded** from the definition above to maintain the purpose and ambitions of the INTERREG programme to achieve significant change.

³ SMEs include micro enterprises

⁴ EC. (2014). *Enterprise and Industry: What is an SME?* Retrieved from http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm

⁵ Balance sheet accounts for is owned (assets), what is owed (liabilities), and what is left (owners' equity)

⁶ A sole trader - also known as a sole proprietorship or simply proprietorship - is a type of business entity which is owned and run by one individual and where there is no legal distinction between the owner and the business. Retrieved from <http://www.e-economic.co.uk/accountingsystem/glossary/sole-trader>

SPECIFIC INDICATORS

The following is a list of the indicators relevant to this call, with associated targets, definitions and reporting details.

The following section includes guidance on reporting monitoring data against priority axis 1.2 specific output indicators, including who or what should be counted, how indicators relate to each other and when activity can be considered achievement.

The overall aim of this call is to increase the number of SMEs in the eligible region actively participating in research and innovation activities, specifically on a cross-border basis; it also aims to increase the capacity of SMEs and micro-businesses to participate in cross-border research and innovation activities.

Whilst the programme will support SMEs from a number of sectors, SMEs from the Life and Health Sciences and Renewable Energy sectors will be identified specifically by the lead partner. Lead Partners should ensure that SMEs from these two sectors will be introduced to the appropriate research institutions and clusters involved in Investment Priority 1a Enhancing Research and Innovation. This is to ensure that these SMEs receive the maximum benefit of the research activities funded under Investment Priority 1a.

It is envisaged that SMEs in the eligible region will be the main beneficiaries and will be involved in each of these five strands:

- **Strand 1 - Preparatory Interventions delivered via workshop**

An initial series of preparatory workshops for SMEs in the region, aimed at raising awareness of R&I and identifying those SMEs with potential to progress to more intensive development activities.

This element describes a series of workshops to educate and influence SMEs on the importance of the innovation ecosystem enabling them to leverage this on a cross-border basis to advance their business. It is anticipated that these workshops will have cross-border participation and will serve to raise knowledge and awareness of other innovation actors and support systems across the border.

- **Strand 2 – Preparatory Interventions delivered on a one to one basis**

A more intensive preparatory intervention with individual SMEs, providing them with one to one advice and support in the identification of R&I opportunities.

This element describes an in-firm activity to assess their current approach to innovation and how the local and cross-border innovation ecosystem is utilised. The output will identify specific areas where cross-border collaboration will be beneficial and the appropriate cross-border intervention for each individual SME. Where progression to strands 3 or 4 or 5 is not appropriate, SMEs will be signposted to alternative local and cross-border support mechanisms.
- **Strand 3 – Innovation Capability Development Programme**

Engaging with a targeted group of SMEs in an intensive R&I capability development programme.

Participation in this element is optional and is dependent on the outcome of strand 2. Where participation does occur, the support provided will aim to address any internal barriers that will prevent the participating firms realising the full potential of the cross-border innovation providers and programmes.
- **Strand 4 - Cross-border Innovation Internship Programme**

Providing selected and targeted SMEs with the opportunity to avail of a cross-border internship programme that will make available to them a qualified graduate with the necessary skills to contribute to the R & I activity within their company.
- **Strand 5 – Cross-border R&I Projects**

Engaging targeted SMEs in cross-border R&I projects that have been identified as having significant potential for economic impact within their companies and within the economy of the region.

Strands 1, 2 and 3 are necessary to promote, identify and in many cases prepare businesses, in terms of developing innovative capability, to participate in Strands 4 and 5. The Programme will utilise these tried and tested models of intervention to engage with SMEs across the eligible region and to support them to form effective collaborations both between SMEs, and between SMEs and research institutions. Whilst there has been some existing activity between Northern Ireland and Ireland, there is currently less collaboration with Western Scotland. The Programme will bring a new dynamic to this work by involving all three jurisdictions, facilitating the creation of new and relevant collaborations.

OUTPUT INDICATORS

Indicator CO01	Productive investment: Number of enterprises receiving support
Measurement Unit	Enterprises
Target Value (2023)	1,408
Definition	<ul style="list-style-type: none"> • Enterprise: Organisation producing products or services to satisfy market needs in order to reach profit.⁷ In this instance enterprise refers to SMEs (see page 12) • Support Receiving support in any form from Structural Funds (whether the support represents state aid or not)⁸. <p>Additional Information:</p> <ul style="list-style-type: none"> - Indicators CO02 and CO04 are subsets of indicator CO01 'Number of enterprises receiving support' i.e. CO01 should be equal to, or less than, the sum of CO02 and CO04 - Indicators CO01 to CO04 measure the number of the enterprises and multiple counting needs to be eliminated (i.e. an enterprise receiving grants more than once is still only one enterprise receiving grants) <p>Achievement under indicator CO01 will relate to Strand 1 - Preparatory Interventions delivered via workshop</p>
Achievement	<p>Indicators CO02 and CO04 are subsets of indicator CO01 'Number of enterprises receiving support' i.e. CO01 should be equal to, or less than, the sum of CO02 and CO04</p> <p>Multiple counting needs to be eliminated, i.e. an enterprise receiving support more than once, even if it is in a different way (e.g. non-financial and financial support) is still only one enterprise receiving support.</p>

⁷ European Commission. (2014). Guidance Document on Monitoring and Evaluation. European Cohesion Fund and European Regional Development Fund; Concepts and Recommendations

⁸ European Commission. (2012). Regional Policy. Common indicators: Innovation and productive investment. Definitions and discussion. Retrieved from ec.europa.eu/regional_policy/sources/.../4_aa_common_indic_innov.ppt

Indicator CO02	Productive investment: Number of enterprises receiving grants
Measurement Unit	Enterprises
Target Value (2023)	19
Definition	<ul style="list-style-type: none"> • Grant <p>Enterprises receiving support in forms of non-refundable direct financial assistance conditional only to completion of project (grants).</p> <p>Achievement under CO02 will relate to Strand 5 - Cross-border R&I Projects</p>
Achievement	<p>Indicators CO02 is a subset of indicator CO01 'Number of enterprises receiving support' i.e. CO02 should be equal to, or less than the total recorded under CO01</p> <p>Multiple counting needs to be eliminated (i.e. an enterprise receiving grants more than once is still only one enterprise receiving grants).</p>

Indicator CO04	Productive investment: Number of enterprises receiving non-financial support
Measurement Unit	Enterprises
Target Value (2023)	1,408
Definition	<ul style="list-style-type: none"> • Non-financial support <p>Enterprises receiving support that does not involve direct financial transfer (guidance, consultancy, enterprise incubators, etc.). Venture capital is considered as financial assistance.</p> <p>Achievement under CO04 will relate to Strand 1 - Preparatory Interventions delivered via workshop</p>
Achievement	<p>Indicators CO04 is a subset of indicator CO01 'Number of enterprises receiving support' i.e. CO04 should be equal to, or less than the total recorded under CO01</p> <p>Multiple counting needs to be eliminated, i.e. an enterprise receiving non-financial support more than once is still only one enterprise receiving support.</p>

Any enterprise receiving support must be counted under CO01 firstly, then categorised into CO02 (financial support), CO04 (non-financial support), or potentially both CO02 and CO04.

Indicator CO01 is the overall sum of enterprises receiving financial and/or non-financial support. CO02 and CO04 record the specific numbers receiving financial support and non-financial respectively but are not mutually exclusive i.e. an SME can be in receipt of both financial and non-financial support. Therefore the sum of CO02 and CO04 may be greater than achievement recorded under CO01, but should never be less.

The targets for CO01 and CO04 are the same, so it would be logical to expect that all supported enterprises should be receiving non-financial support, and 19 of those should be receiving financial support in addition to non-financial support.

In this circumstance non-financial support can include guidance/advice, provision of expertise; completion of research on behalf of the enterprise etc. Projects will be asked to provide evidence for support given to SMEs such as documentation of audits, programmes, registers of interest, attendance records etc. Such evidence will be examined by SEUPB during the claim verification process.

Within each indicator the enterprise should only be counted once. For example if an enterprise receives financial support twice they can only be counted once under CO02. If

they receive different kinds of non-financial support i.e. advice, training and an intern; they can only be counted once under CO04. There should be no double counting under CO01 – regardless of the number of different kinds of support an enterprise is in receipt of on different occasions, each enterprise included should be unique, appearing only once. Achievement should only be recorded when support being given is complete.

Indicator CO26	Research, Innovation: Number of enterprises cooperating with research institutions
Measurement Unit	Enterprises
Target Value (2023)	50
Definition	<ul style="list-style-type: none"> • Cooperation <p>At least one enterprise and one research institution participates in the R&D project. One or more of the cooperating parties (research institution or enterprise) may receive the support but it must be conditional to the cooperation. The cooperation may be new or existing. The cooperation should last at least for the duration of the project.</p> <p>Achievement under CO26 will relate to Strand 4 - Cross-border Innovation Internship Programme</p>
Achievement	<p>Multiple counting needs to be eliminated, i.e. an enterprise cooperating with a number of research institutions on a number of different projects should still only be counted once.</p> <p>All enterprises counted under CO26 should already have been counted under CO01; and CO02 and/or CO04.</p>

Indicator CO41	Productive investment: Number of enterprises participating in cross-border, transnational or interregional research projects
Measurement Unit	Enterprises
Target Value (2023)	19
Definition	<ul style="list-style-type: none"> • Participation At least one enterprise participates in cross-border research activity. One or more of the cooperating parties (research institution or enterprise) may receive the support but it must be conditional to the continued cooperation on a cross-border, or interregional basis. The cooperation may be new or existing. Participation and cooperation should last at least for the duration of the project. • Cross-border <i>Cross-border</i> in the context of the INTERREG VA Programme means collaboration across the border of Ireland and UK; therefore, only cooperation between entities in Ireland and UK (Northern Ireland and/or Western Scotland) will be eligible for application and funding. Cross-border cooperation covers activities such as finance, staffing, project development and project implementation. • Research activity/ projects Activities and projects falling in one of the two research categories (applied research; experimental development⁹), which are on a cross-border basis. <p>CO41 is a variant of CO26 except instead of measuring the number of enterprises cooperating with research institutions; it measures the number participating in cross border research projects. The difference being that the emphasis is on participating in research projects, as opposed to cooperating with research institutions, and the research project must qualify as cross border, transnational or interregional to count. If a participating enterprise has departments operating in different places, the location of the participating department(s) should be taken into account to qualify as cross border project¹⁰.</p> <p>It is possible for an enterprise to be counted under CO41 but not under CO26, as an enterprise has to be collaborating with a research institution to qualify under CO26. So, if an enterprise is collaborating with a research institution it would be counted under both CO26 and CO41. However, if an enterprise is collaborating with another enterprise and no research institution, it can only be counted under CO41 and nowhere else.</p> <p>All enterprises counted under CO41 should already have been counted under CO01; and CO02 and/or CO04.</p> <p>Achievement under CO41 will relate to Strand 5 - Cross-border R&I Projects</p>
Achievement	Multiple counting needs to be eliminated, i.e. an enterprise cooperating with a number of other bodies under the same project should still only be counted once.

⁹ **Applied research** = original investigation undertaken in order to acquire *new* knowledge. It is, however, directed primarily towards a specific *practical aim or objective*.

Experimental Development =systematic work, drawing on existing knowledge gained from research and/or practical experience, which is directed to producing new materials, products or devices, to installing new processes, systems and services, or to improving substantially those already produced or installed.

¹⁰ European Commission. (2014). Guidance Document on Monitoring and Evaluation. European Cohesion Fund and European Regional Development Fund; Concepts and Recommendations

Indicator CO42	Productive investment: Number of research institutions participating in cross-border, transnational or interregional research projects
Measurement Unit	Organisations
Target Value (2023)	5
Definition	<ul style="list-style-type: none"> • Participation <p>At least one research institution participating in a cross-border research activity. One or more of the cooperating parties (research institution or enterprise) may receive the support but it must be conditional to the continued cooperation on a cross-border, or interregional basis. The cooperation may be new or existing. Participation and cooperation should last at least for the duration of the project.</p>
	<ul style="list-style-type: none"> • Cross-border <p><i>Cross-border</i> in the context of the INTERREG VA Programme means collaboration across the border of Ireland and UK; therefore, only cooperation between entities in Ireland and UK (Northern Ireland and/or Western Scotland) are eligible for application. Cross-border cooperation covers activities such as finance, staffing, project development and project implementation.</p>
	<ul style="list-style-type: none"> • Research activity <p>Activities and projects falling in one of the two research categories (applied research; experimental development), which are on a cross-border basis.</p>
	<p>CO42 is similar to indicator CO41 'Number of enterprises participating in cross border, transnational or interregional research projects' with the difference that it counts cooperating research institutions instead of enterprises. If a participating organisation has departments operating in different places, the location of the participating department(s) should be taken into account to qualify as cross border project.¹¹</p> <p>Achievement under CO42 will relate to Strand 5 - Cross-border R&I Projects</p>
Achievement	Multiple counting needs to be eliminated, i.e. a research institution collaborating with a number of other bodies should still only be counted once.

CO26 and CO41 both measure the number of enterprises – this should relate back to the 1408 enterprises being supported (CO01) – therefore the number cooperating with research institutions (CO26) should be a sub-set of the total number on enterprises receiving support

Likewise, the number participating in cross-border research projects (CO41) should also be a sub-set of the total number of enterprises receiving support.

Enterprises should only be counted once and research institutions should only be counted once. All units should be unique, regardless of the combination. For example: 2 enterprises

¹¹ European Commission. (2014). Guidance Document on Monitoring and Evaluation. European Cohesion Fund and European Regional Development Fund; Concepts and Recommendations

could be collaborating with 1 research institution – in this case 2 should be recorded under both CO26 and CO41, and 1 should be recorded under CO42. However, if 3 enterprises were collaborating and no research institutions, then 3 should be recorded under CO41 only, and nothing entered under CO26 or CO42, as no research institution is involved. If an enterprise is collaborating on more than one project; that enterprise should only ever be counted once under CO26 and CO41, regardless of the number of projects they are involved in.

Evidence of achievement is required in the form of the formal arrangement made between the enterprise and the research institution of a programme of work. Completion of this programme of work by continued collaboration will be taken as evidence of achievement against the indicators.

Indicator 1.211	Number of enterprises receiving one to one innovation advice
Measurement Unit	Enterprises
Target Value (2023)	469
Definition	<ul style="list-style-type: none"> • One-to-one innovation advice <p>Awareness and education on innovation opportunities for SMEs through individual company meetings and consultations; these include assessment of innovation and growth capability and constructive advice on how SMEs can progress innovation and development;</p> <p>Achievement under indicator 1.211 will relate to Strand 2 – Preparatory Interventions delivered on a one to one basis</p>
Achievement	<p>An enterprise should only be counted once, even if receiving advice on more than one occasion. Any enterprise counted here should also appear under CO01 and CO04, and CO02 if also receiving financial help. The total number should never exceed CO01, the number of enterprises receiving support.</p> <p>Evidence of achievement should be provided in the form of a log of meetings held between the specialist company and the enterprise.</p>

Indicator 1.212	Number of enterprises in receipt of an Innovation Capability Development Programme
Measurement Unit	Enterprises
Target Value (2023)	94
Definition	<ul style="list-style-type: none"> • Innovation Capability Development Programme SMEs that received innovation advice (see Indicator 1.2.11) and have the potential for successful implementation of a plan, will further progress with the development of a tailored innovation programme/plan in order to put their innovation strategies into practice. <p>An Innovation Capability Development Programme will typically be expected to cover areas such as the following (as outlined in the EU leaflet 'The SME Instrument'¹²):</p> <ul style="list-style-type: none"> • Purpose of/need for an innovation strategy • Costs • Timeline of activities • Objectives • Overview of the concept • A feasibility assessment • Expanded business plan • Details of any testing/piloting to be carried out • Implementation plans <p>Achievement under indicator 1.212 will relate to Strand 3 – Innovation Capability Development Programme</p>
Achievement	<p>An enterprise should only be counted once under this indicator. It could be expected that most enterprises would first be counted under 1.211 before it is counted under 1.212, but this is not essential. The number of enterprises appearing under this indicator should never be more than the total recorded under 1.211. Any enterprise counted here should also appear under CO01 and CO04, and CO02 if also receiving financial help. The total number should never exceed CO01, the number of enterprises receiving support.</p> <p>Evidence should be provided in the form of a physical document produced for each enterprise.</p>

¹² https://ec.europa.eu/research/sme-techweb/pdf/sme_brochure.pdf

Indicator 1.213	Number of enterprises engaging an Innovation Intern
Measurement Unit	Enterprises
Target Value (2023)	70
Definition	<ul style="list-style-type: none"> Engagement <p>The projects should be designed and defined to obtain meaningful innovation outputs and have a duration of between 9 to 12 months, resulting in the engagement of an Innovation Intern on a full-time employment basis. Remuneration for the Innovation Intern as well as the advisor for this period is covered by the Programme.</p>
	<ul style="list-style-type: none"> Innovation Intern <p>The aim is to assist SMEs to improve their innovation capabilities. The SME undertakes innovation activities in the form of a well-defined project carried out by a graduate or technically proficient person (the innovation intern) and with the support of an expert advisor. This advisor may be an experienced consultant or an academic. Multiple counting needs to be eliminated, i.e. a single enterprise 'engaging' with more than one intern should still only be counted once. Achievement under indicator 1.213 will relate to Strand 4 - Cross-border Innovation Internship Programme</p>
Achievement	<p>'Engaging' an intern involves the completion of a defined project, relating to innovation, by a graduate or technically proficient person on behalf of one of the supported enterprises, with the support of an expert advisor (consultant or academic). The project should produce meaningful innovative output (e.g. new products, processes), should have a duration of between 9 to 12 months and the intern will be engaged on a full-time paid employment basis.</p> <p>If a project is completed earlier than its original timetable, it may still be counted as output if the objectives were achieved and innovative output was produced. If an intern leaves and the project remains incomplete, it won't meet the output. If an intern leaves after having completed most of the work (around three quarters or more of the activity) and the project is then completed by other means, it may be counted as output.</p> <p>This indicator measures the number of 'enterprises' engaging an intern, not the number of interns; e.g. if one enterprise 'engages' 3 interns, it should still be counted as an achievement of '1' against this indicator.</p> <p>An enterprise should only be counted once under this indicator. Any enterprise counted here should also appear under CO01 and CO04, and CO02 if also receiving financial help. The total number should never exceed CO01, the number of enterprises receiving support.</p>