

Global Europe Results Framework Indicator Methodology Note

1. Indicator name
<p>GERF 2.1: Number of smallholders reached with EU-supported interventions aimed to increase their sustainable production, access to markets and/or security of land</p>
2. Technical details
<p><i>Please use the information provided in OPSYS or the SWD.</i></p> <p><u>Results Dashboard code(s)</u>: 65195.</p> <p><u>Unit of measure</u>: <i>Number of (#).</i></p> <p><u>Type of indicator</u>: <i>Quantitative (not qualitative) – Numeric (not percentage); Actual ex-post (not estimated or ex-ante); Cumulative (not annual).</i></p> <p><u>Level(s) of measurement</u>: <i>Specific Objective – Outcome; Direct Output; Output.</i></p> <p><u>Disaggregation(s)</u>: <i>Sex (Female; Male; Intersex); Gender (Woman/girl; Man/boy; Non-binary; Prefer not to say); Integrated Food Security Phase Classification (Phase 1 – Minimal; Phase 2 – Stressed; Phase 3 – Crisis; Phase 4 – Emergency; Phase 5 – Famine); Aim of intervention for GERF 2.1 (Sustainable production; Access to markets; Security of land).</i></p> <p><u>DAC sector codes</u>: <i>31110 – Agricultural policy and administrative management; 31120 – Agricultural development; 31130 – Agricultural land resources.</i></p> <p><u>Main associated SDG</u>: <i>2.3 By 2030, double the agricultural productivity and incomes of small-scale food producers, in particular women, indigenous peoples, family farmers, pastoralists and fishers, including through secure and equal access to land, other productive resources and inputs, knowledge, financial services, markets and opportunities for value addition and nonfarm employment.</i></p> <p><u>Other associated SDGs</u>: <i>1.4 equal rights to economic resources; 1.5 resilience; 2.1 access to food, 2.2 malnutrition; 2.4 sustainable agriculture; 5.a equal rights for women to resources, 8.4 resource efficiency.</i></p> <p><u>Associated GERF Level 1 indicator</u>: <i>1.1 Average income of small-scale food producers, by sex and indigenous status (SDG 2.3.2).</i></p> <p><u>Associated GERF Level 3 indicators</u>:</p> <p><i>3.1 Amount and share of EU-funded external assistance contributing to: (a) climate change (adaptation and mitigation), (b) protecting biodiversity, (c) combating desertification, (d) protecting the environment (Aid to Env)</i></p> <p><i>3.3 Amount and share of EU-funded external assistance contributing to strengthening investment climate</i></p> <p><i>3.5 Leverage of EU blending and guarantee operations financed by EU external assistance, measured as: (a) Investment leverage ratio, (b) Total eligible financial institution financing leverage ratio, (c) Private financing leverage ratio</i></p>

3.13 Number and share of EU- external interventions promoting gender equality and women's empowerment

3.14 Number and share of EU-funded external interventions promoting disability inclusion

3.15 Amount and share of EU-funded external assistance directed towards reducing inequalities

3.16 Amount and share of EU-funded external assistance qualifying as ODA

3. Policy context and rationale

The New Consensus on Development and the 2021 UN Food System Summit recognises that sustainable agriculture is a key driver of poverty eradication and food security. Support for smallholders, including family farmers and pastoralists, can substantially contribute to food security and help combat soil erosion and biodiversity loss, while at the same time providing jobs and livelihoods.

The EU and its Member States are supporting vulnerable people in partner countries by promoting the creation of better jobs and income generation opportunities. With the 2021-2027 Multiannual Financial Framework and the launch of the Neighbourhood, Development and International Cooperation Instrument (NDICI) and the European Fund for Sustainable Development Plus (EFSD+), the EU is working alongside EU Member States and financial institutions (including public financial institutions of EU Member States) to kick-start or reinvigorate economic, social and environmental activity in partner countries and improve equitable and green economic growth in rural economies. The new priorities including the Green Deal, the Farm to Fork Strategy and the Biodiversity Strategy provide pathways for Food System Transition.

4. Logframe inclusion

If an intervention generates the result measured by this indicator, then it must be reported in OPSYS. Corporate targets have been set for the indicators used to monitor the Strategic Plan and the Multiannual Financial Framework (see Section 9). Progress towards these targets is reported annually in the Annual Activity Plan (for the Strategic Plan) and the Programme Performance Statements (for the Multiannual Financial Framework). These values are calculated by aggregating the results reported in OPSYS. These reports ultimately contribute to the Annual Management Performance Report submitted by the European Commission to the Council and Parliament during the annual budgetary discharge procedure. If targets are not met, explanations must be provided. Therefore, it is crucial that all results are recorded in OPSYS.

There are two ways of doing this:

1. Include the indicator directly in the logframe (recommended approach);
2. Match the indicator to the closest logframe indicator (only if the indicator was not originally included in the logframe and modification is not possible).

Why? The matching functionality in OPSYS only accommodates reporting current values and does not yet support encoding baselines and targets. This is a significant

drawback because targets are a valuable piece of information, especially at the beginning of a Multiannual Financial Framework. Indeed, results take time to materialise as they are the last step in the chain, appearing only after programming, commitments, contracting, and spending have occurred. Targets allow to see what results are expected long before they materialise, which is reassuring to the different stakeholders concerned with accountability. **Therefore, include all corporate indicators directly in the logframe whenever possible, and reserve the matching functionality only for cases when this is not feasible.**

5. Values to report

The following values must be determined in line with the definitions provided in Section 6.

Baseline value: the value measured for the indicator in the baseline year. The baseline value is the value against which progress will be assessed.

Current value: the most recent value for the indicator at the time of reporting. Current values will be collected at least once a year and reported cumulatively throughout the implementation period.

Final target value: the expected value for the indicator in the target year.

Intermediate target values (milestones). A tool has been developed in OPSYS to generate intermediate targets automatically¹.

- **For outputs:** the intermediate targets are generated using a linear interpolation between the baseline and target values because it is assumed that outputs materialise sooner and more progressively over implementation (than outcomes).
- **For outcomes:** the expected progression over the course of implementation will vary across interventions. During the creation of a logframe, the expected outcome profile must be selected (OPSYS offers four options²) and this selection triggers the generation of intermediate targets for all 30 June and 31

¹ This has been done in the context of the Primary Intervention Questionnaire (PIQ) for the EAMR. Three new KPIs provide an overall assessment of ongoing interventions (current performance and future performance) and completed interventions (final performance). Scores will be calculated for all INTPA and NEAR interventions participating in the annual results data collection exercise.

- *KPI 10* reflects the relevance, efficiency and effectiveness of ongoing interventions. The information on relevance is provided by the Operational Manager's response to a question in a survey. The information on efficiency and effectiveness is provided either by the logframe data, if sufficient data is available, or the response to a question in a survey, if not.
- *KPI 11* reflects expectations regarding the most probable levels of relevance, efficiency, effectiveness and sustainability that can be achieved by ongoing interventions in the future. In this case, all the information is provided by the Operational Manager's responses to questions in a survey.
- *KPI 12* reflects the relevance, efficiency and effectiveness of completed interventions. The information on relevance is provided by the Operational Manager's response to a question in a survey. The information on efficiency and effectiveness is provided by the logframe data if sufficient data is available, or the response to a question in a survey, if not.

² a. *steady progress*: The outcomes are achieved continuously throughout implementation; b. *accelerating progress*: The outcomes are achieved towards the end of implementation; c. *no progress until end*: The outcomes are mostly achieved at the end of implementation; d. *none of the above*.

<p>December dates between the baseline and target dates for all output and outcome quantitative indicators. All automatically generated intermediate targets values and dates can be subsequently modified by the Operational Manager or the Implementing Partner with the approval of the Operational Manager.</p>
<p>6. Calculation of values</p>
<p><i>Specify all assumptions made, list definitions for all technical terms, provide any relevant guidance on (double) counting, and include checklist for quality control.</i></p> <p>The value for this indicator is calculated by counting the number of smallholders reached with EU-supported interventions aimed to increase their sustainable production, access to markets and/or security of land, using the Technical Definitions and Counting Guidance provided below. Please double check your calculations using the Quality Control Checklist below.</p> <p><u>Technical definitions</u></p> <p>Smallholders are small-scale farmers, pastoralists, forest keepers, fishers who manage areas varying from less than one hectare to 10 hectares. Smallholders are characterized by family-focused motives such as favouring the stability of the farm household system, using mainly family labour for production and using part of the produce for family consumption.</p> <p>The relevant EU-funded initiatives support smallholders' capacity for inclusive and sustainable agricultural growth by:</p> <ul style="list-style-type: none"> - <i>Skills and Practices</i>: Developing technical, organizational, and management skills for sustainable production, including sustainable management of natural resources, agro-ecology, use of seeds and other inputs, post-harvest handling, pest and disease control, and livestock development. - <i>Strengthening Relationships and Advocacy</i>: Enhancing connections with other farmers' organizations, the private sector, researchers, and governments, and strengthening smallholders' capacities to actively participate in and influence policy dialogue related to agricultural policies, rural transformation, and territorial dynamics. - <i>Market Access and Competitiveness</i>: Increasing competitiveness, facilitating market access and exports, supporting food certification systems, market information systems, warehouse receipt systems, and farmers' markets, and creating value chain links. This includes processing primary goods, ensuring food safety, marketing, contract negotiations, accounting, and other non-financial services, as well as setting up or strengthening farmers' organizations. - <i>Land Tenure Security</i>: Securing land tenure through formal titling, certification, or registration, and securing customary tenure through appropriate legal frameworks to ensure that customary rights are protected, and farmers cannot be arbitrarily dispossessed of their land. <p>The support includes activities such as providing knowledge, empowerment, involvement in innovation platforms, promoting technical, social, and organizational innovations, and access to services (advisory, credit, inputs) and investments</p>

(equipment, agricultural buildings). The support is delivered through training, advisory services, and extension services.

Counting guidance

1. The count should include smallholders that are involved directly or indirectly in the activities carried out by the intervention. Indirect involvement may be counted when the smallholders directly involved in the intervention's activities, and/or their organisations, share the information/innovation facilitated by these activities with other smallholders through clear, identifiable activities not supported by the intervention. Examples include information shared using the mobile app specifically supported by the intervention, training by farmers based on an established methodology used by the intervention, and training by NGOs, farmers' organisations and public or private entities trained by the interventions. Smallholders reached by radio are not counted.
2. If only household data is available, then count one smallholder per household. Record the calculations in the calculation method field to facilitate quality control.
3. The Gender Action Plan III (GAP III) requires the reporting of gender-diasgregated values if possible and sex-disaggregated values if not. Use intervention data to provide the disaggregation.
4. Double counting is not allowed: a smallholder can be counted only once in the same reporting period. This means that if the same smallholder benefits from one or more forms of support over one or more years in the same reporting period, from the same intervention or different interventions, this smallholder should be counted only once. To avoid the double counting of smallholders over time, two approaches are possible. If it is possible to reliably estimate the number of smallholders supported in the first year, and the number of new smallholders supported in the following years (i.e. not yet supported during the reporting period in question), these numbers can be added up without the risk of double counting. However, if this information is not available, the maximum result of the reporting period should be used instead. Record the calculations in the calculation method field to facilitate quality control of the values reported. Report the geographic location of the smallholders in the comment field to facilitate quality control of double counting.
5. However, there are exceptions to the double counting rule: people counted under GERF 2.1 can also be counted under the following GERF indicators if the relevant conditions are met:
 - GERF 2.20 *Number of migrants, refugees, and internally displaced people or individuals from host communities protected or assisted with EU support;*
 - GERF 2.32 *Number of food-insecure people receiving EU assistance;*
 - GERF 2.33 *Number of women of reproductive age, adolescent girls and children under 5 reached by nutrition-related interventions supported by the EU;*
 - GERF 2.39 *Number of people directly benefiting from EU supported interventions that aim to reduce social and economic inequality.*

Quality control checklist

1. Did the smallholders receive support for access to finance (e.g. bank accounts)? If so, count these people under GERF 2.17b *Number of*

- beneficiaries with access to financial services with EU support: (b) people (all financial services) or GERF 2.17c Number of beneficiaries with access to financial services with EU support: (c) people (digital financial services) and NOT under GERF 2.1.*
2. Has the indicator been included directly in the logframe? Reserve the OPSYS matching functionality only for cases when this is not feasible.
 3. If the indicator has been included directly in the logframe, does the current value *include* the baseline value? If the indicator has been matched to a logframe indicator, does the current value *exclude* the baseline value?
 4. Have you included smallholders who are involved in organisations that have benefited from capacity development?
 5. Have you included smallholders who have been indirectly reached by the intervention?
 6. Have you considered including smallholders from the areas matching with GERF 2.2 *Areas of agricultural and pastoral ecosystems where sustainable management practices have been introduced with EU support (ha)* and GERF 2.9 *Areas of terrestrial and freshwater ecosystems under (a) protection, (b) sustainable management with EU support (km²)*, who received individual support, or whose organisations received support, for application of sustainable management practices (GERF 2.2) or sustainable management of natural resources (GERF 2.9)?
 7. Does the GERF value include people counted under GERF 2.32 *Number of food insecure people receiving EU assistance*, if they are smallholders and if they qualify for this indicator? This type of double counting is exceptionally permitted in this case.
 8. Does the GERF value include women counted under GERF 2.33 *Number of women of reproductive age, adolescent girls and children under 5 reached by nutrition-related interventions supported by the EU*, if they are smallholders and if they qualify for this indicator? This type of double counting is exceptionally permitted in this case.
 9. Is the GERF value a whole number? The number of smallholders cannot be a decimal number.
 10. Have gender (or sex) disaggregated values been reported? Gender (or sex) disaggregation is mandatory.
 11. Does the intervention focus on migration? If so, this result should also be reported under GERF 2.20 *Number of migrants, refugees, and internally displaced people or individuals from host communities protected or assisted with EU support*, if all conditions are verified. Double counting with GERF 2.20 is allowed.
 12. Does the intervention focus on inequalities? If so, this result should also be reported under GERF 2.39 *Number of people directly benefiting from EU supported interventions that aim to reduce social and economic inequality*, if all conditions are verified. Double counting with GERF 2.39 is allowed.
 13. Has any other double counting been avoided? Smallholders who benefit from more than one type of support during the reporting period should be counted only once, except for the cases mentioned above.
 14. Have all calculations been recorded in the calculation method field? Has all

relevant information, including the geographic location of results, been reported in the comment field?
7. Examples of calculations
<p><u>Example 1</u></p> <p>Strengthening smallholder animal traction capacity and extension services in Lakes State, South Sudan</p> <ul style="list-style-type: none"> - Training on basic agronomic practices: 6 060 smallholder farmers (3 047 women, 3 013 men) - Number of smallholder farmers participating in farmer organisations: 1 938 smallholder farmers (1 257 women, 681 men) are reached. We know from intervention information that these farmers are distinct from the farmers reached by the training above. <ul style="list-style-type: none"> ➤ The total number of smallholders reached will be: 7 998 (4 304 women, 3 694 men). <p><u>Example 2</u></p> <p>Support for the bovine value chain in Nicaragua</p> <ul style="list-style-type: none"> - Training event on animal health: 50 participants (30 women, 20 men) - Training for farmers in Eastern Nicaragua on marketing: 35 participants. (6 women, 29 men). We know from the intervention information that all these participants also attended the training on management below. - Management training for staff from the Dairy Farmers' Association in Nicaragua: 42 participants (10 women, 32 men). <ul style="list-style-type: none"> ➤ The total number of smallholders reached will be: 92 (= 50 + 42), of which 40 women (= 30 + 10). <p><u>Example 3</u></p> <p>Training course on zero tillage (3 sessions) in region X</p> <ul style="list-style-type: none"> - Session 1: 20 participants - Session 2: 30 participants - Session 3: 27 participants <ul style="list-style-type: none"> ➤ The total number of smallholders benefiting from the action will be 30, since we do not have information on unique individuals. <p><u>Example 4</u></p> <p>Support for land registration and titles in Province A</p> <ul style="list-style-type: none"> - 500 ha of land delimited and registered - 140 individuals from 135 farming families received a land title. <ul style="list-style-type: none"> ➤ The total number of smallholders benefiting will be 140, since this is the number of individuals who received a land title.
8. Data sources and issues
<i>Please use the data source categories specified in OPSYS.</i>

EU intervention monitoring and reporting systems: *Progress and final reports for the EU-funded intervention; ROM reviews; EU-funded feasibility or appraisal reports; Baseline and endline surveys conducted and budgeted by the EU-funded intervention.*

Public sector reports: *National statistical report.*

Include any issues relating to the availability and quality of the data.

9. Reporting process & Corporate reporting

The data collected on this indicator will be reported in OPSYS by the Implementing Partner. The values entered in OPSYS will be verified, amended if necessary and ultimately validated by the Operational Manager. Once a year the results reported will be frozen for corporate reporting. The methodological departments in HQ responsible for GERF corporate reporting will perform quality control on the frozen data and aggregate as needed to meet the different corporate reporting requirements.

This indicator will be reported upon in the following contexts:

- *NDICI via the Annual Report*
- *NDICI via the Programme Statements*
- *INTPA Strategic Plan via the Annual Activity Report*
- *NEAR Strategic Plan via the Annual Activity Report*
- *FPI Strategic Plan*

This indicator has been included in the following other results measurement frameworks:

- *EFSD+*
- *GAP III*
- *IPA III*
- *TEI-MORE*

10. Other uses

GERF 2.1 can be found in the following thematic results chains:

- [Food and Nutrition Security and sustainable Agriculture](#)
- [Resilience, Conflict sensitivity and Peace](#)

GERF 2.1 can be found in the following groups of EU predefined indicators available in OPSYS, along with other related indicators:

- Nutrition
- Oceans
- Resilience, Conflict sensitivity and Peace
- Sustainable aquatic and Agri-food systems

For more information, see: [Predefined indicators for design and monitoring of EU-funded interventions | Capacity4dev \(europa.eu\)](#)

Include references to external bodies using the same or similar indicator.

WBG Scorecards indicator: 'Farmers reached with agricultural assets and services'

11. Other issues