Global Europe Results Framework Indicator Methodology Note

1. Indicator name
GERF 2.5: Number of countries and cities with climate change and/or disaster risk reduction strategies: (a) developed, (b) under implementation with EU support
2. Technical details
Please use the information provided in OPSYS or the SWD. Results Dashboard code(s): *(a – countries & climate change) 277775; (a – countries & DRR) 277771; (a – cities & climate change) 277774; (a – cities & DRR) 277772; (b – countries & climate change) 277725; (b – countries & DRR) 277770; (b – cities & climate change) 277768; (b – cities & DRR) 277769*. Unit of measure: *Number of (#)*. Type of indicator: *Quantitative (not qualitative) – Numeric (not percentage); Actual ex-post (not estimated or ex-ante); Cumulative (not annual); (a) Flow, (b) Stock.* Level(s) of measurement: *Specific Objective – Outcome; Direct Output; Output.* Disaggregation(s): *None*. DAC sector code(s): *43060 – Disaster Risk Reduction.* Main associated SDG: *11.b By 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015–2030, holistic disaster risk management at all levels*. Other associated SDGs: *1.5 resilience to shocks and disasters; 6.4 water efficiency; 7.2 renewable energy; 7.3 energy efficiency; 9.1 sustainable and resilient infrastructure; 11.2 sustainable transport; 11.3 urban planning; 11.5 disaster impacts; 13.1 resilience and climate adaptation; 13.2 climate measures; 16.7 participatory decision-making*. Associated GERF Level 1 indicator: *1.4 European Commission Joint Research Centre INFORM Risk Index*. Associated GERF Level 3 indicators: *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)* *3.3 Amount and share of EU-funded external assistance contributing to strengthening investment climate* *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

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

3. Policy context and rationale

The indicator is linked to the common priorities outlined in the new European Consensus on Development, and more specifically in *Planet - Protecting the environment and tackling climate change*, and will measure the number of countries in which the EU contributes to the promotion and implementation of sustainable risk management approaches to build resilience against disasters and climate change. It will also support *People – human development and dignity*, through inclusive governance processes central to equitable and climate-resilient ecosystem management.

It is closely linked to the external dimension of the EU Green Deal that conveys the EU's ambition to contribute to and support green transitions and low-carbon economies and places the environment and climate change at the heart of EU interventions and partnerships. In line with this, the Neighbourhood, Development and International Cooperation Instrument (NDICI) includes a target of 30% of its 2021-2027 budget to be spent on actions supporting climate objectives. It is related to the Humanitarian-Development-Peace Nexus approach, a shared vision that puts into effect the synergies between humanitarian, development and peace community members to focus not only on needs but also on long-term resilience to promote peaceful and robust communities.

The indicator is also aligned with the goals of the Paris Agreement, which seeks to strengthen the global response to the threat of climate change by limiting global temperature rise this century. The Paris Agreement establishes a global goal on adaptation – to enhance adaptive capacity, strengthen resilience and reduce vulnerability to climate change. Countries should significantly strengthen national adaptation efforts through support and international partnerships, in line with Article 7(9), which provides that 'Each Party shall, as appropriate, engage in adaptation planning processes and the implementation of actions, including the development or enhancement of relevant plans, policies and/or contributions'.

The 2030 Agenda for Sustainable Development and its Sustainable Development Goals (SDGs) include a commitment to substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans on inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and to develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015-2030, holistic disaster risk management at all levels (SDG 11); and to strengthen resilience against and adaptive capacity for climate-related hazards and natural disasters in all countries (SDG 13).

This indicator is also linked to support for national and local level implementation of the Convention on Biological Diversity (CBD), particularly the recent Kunming-Montreal Global Biodiversity Framework (GBF) that includes two targets linking biodiversity with increasing resilience through mitigation, adaptation and DRR actions, including through nature-based solutions (NBS) and ecosystem-based approaches. Through the links with the Ramsar Convention and the World Heritage Convention, it supports actions to forge connections

between ecosystem and biodiversity conservation, climate adaptation and disaster risk reduction.

The New Urban Agenda (adopted at the Habitat III Conference) includes commitments to support the development of disaster risk strategies and address environmental sustainability, climate resilience and low-carbon development of cities and human settlements.

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:

- Include the indicator directly in the logframe (recommended approach);
- 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. For GERF indicators, this value is usually zero**.** This is because the results being measured must be directly attributable to EU support; prior to the start of implementation, the specific intervention has not yet occurred and therefore cannot have generated a result. A non-zero baseline may only occur if the intervention is following up on work achieved by another intervention financed by the same instrument.

Current value:

- **For logframe indicators**: the most recent value for the indicator at the time of reporting. The current value includes the baseline value which is reported separately for logframe indicators in OPSYS.
- **For matched indicators**: the most recent value for the results achieved at the time of reporting since the start of implementation of the intervention. This value is obtained by taking the most recent value for the indicator at the time of reporting and subtracting off the baseline value which is not reported separately for matched indicators in OPSYS.

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 automatically[1].

- **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 options[2]) and this selection triggers the generation of intermediate targets for all 30 June and 31 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.

6. Calculation of values

Specify all assumptions made, list definitions for all technical terms, provide any relevant guidance on (double) counting, and include checklist for quality control.

[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*.

The value for this indicator is calculated by counting the number of countries and cities in which climate change and/or DRR strategies have been developed or implemented with EU support, using the technical definitions and counting guidance provided below. Please double check your calculations using the quality control checklist below.

Technical definitions

A ***climate change and/or disaster risk reduction strategy*** refers to the following:

- a specific national or municipal level climate-relevant strategy such as a Low Emissions Development Strategy (LEDS), a National Adaption Programme of Action (NAPA), a National Adaptation Plan (NAP), a DRR Strategy or Joint climate change adaptation and DRR National Action Plan (JNAP), Nationally Determined Contributions (NDC), or Nationally Appropriate Mitigation Actions (NAMA). It can also include a national or municipal policy or strategy specifically focused on climate change and DRR.
- strategies for mainstreaming ecosystem-based approaches to adaptation and disaster risk reduction (EBA and Eco-DRR) into National Biodiversity Strategic Action Plans, National Wetland Management Plans and the Natural Heritage Management Plans, as well as National Action Plans to combat desertification through EBA and Eco-DRR field measures that prevent and reduce land degradation to reduce drought risks to vulnerable communities.
- proof of support for any other process of mainstreaming climate change and/or DRR considerations into national or municipal development plans and strategies or sector policies in areas such as energy, infrastructure, education, health, agriculture, land use planning, ecosystems and forest management.

SDG 11 emphasises the important role of cities in achieving the 2030 vision. This will require developing globally comparable, easy-to-adapt definitions and tools. A functional definition of a city was developed by a coalition of six international organisations (the European Union, the Food and Agriculture Organization, the International Labour Organization, the Organisation for Economic Cooperation and Development, UN-Habitat and the World Bank). It was later endorsed by the UN Statistical Commission as a recommended method for international comparisons regarding cities and urban areas to facilitate international comparisons.

The 'Degree of Urbanisation' establishes that:

- cities have a population of at least 50 000 inhabitants in contiguous, dense grid cells with a density of at least 1 500 inhabitants per km^2;
- towns and semi-dense areas have a population of at least 5 000 inhabitants in contiguous grid cells with a density of at least 300 inhabitants per km^2;
- rural areas consist mostly of low-density grid cells (<300 inhabitants per km^2).

In this methodology note, a ***city*** refers to a permanent human settlement of at least 50 000 inhabitants, with administratively defined boundaries and a density of at least 1 500 inhabitants per km^2.[3]

[3] Bettencourt, L., West, G. A unified theory of urban living. Nature 467, 912–913 (2010). https://doi.org/10.1038/467912a.

Under implementation is taken to mean cases in which EU resources are used to implement all or part of the strategy.

Counting guidance

1. If the intervention supports the development and/or implementation of climate change and/or disaster risk reduction strategies, then it is mandatory to include this indicator in the logframe, even if the intervention is implemented in one single city or country and the value to be reported is one. Indeed, this indicator might not be useful for monitoring purposes, but it is necessary to ensure accurate corporate reporting.
2. The strategy must be endorsed by the relevant authorities.
3. The development and/or implementation of a revision of existing climate change and/or disaster risk reduction strategies should be counted.
4. Cities can only be included separately from their countries if distinct national level and municipal level climate change and/or DDR strategies exist, and the EU is providing support to develop and/or implement municipal level strategies.
5. If the strategy covers one or more states within a country, then only the country should be counted.
6. If the EU is only providing support for a national level strategy, then only the country can be included (and not all the cities within the country).
7. For multi-country regional climate change and/or DRR strategies, each individual country included should be counted separately.
8. A municipality can be counted as a city if in the reporting year the population is 50 000 or more and the population density is 1 500/km^2 or more. This information should be checked on the following website: https://www.citypopulation.de/
9. Overseas countries and territories (OCTs) should be counted as countries.
10. Cities and countries must be reported separately.
11. Strategies (a) developed and (b) under implementation should be reported separately. The same country or city can be reported against both (a) and (b) if EU support is provided both at development and then later at implementation stage.
12. Double counting is not allowed: a country/city can be counted only once under (a) and once under (b) in the same reporting period. This means that if the same country/city benefits from one or more forms of support, over one or more years of the same reporting period, from the same intervention or different interventions, this country/city should be counted only once.

Quality control checklist

1. Has the indicator been included directly in the logframe? Reserve the OPSYS matching functionality only for cases when this is not feasible.
2. 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?
3. Has the correct match been made with (a) and/or (b)? Select (a) for the drafting/updating of strategies and action plans, and/or (b) for the implementation of the strategies and action plans. If the EU intervention has assisted with both development/adoption and implementation, it can contribute to both (a) and (b).

4. Have the strategies been endorsed by the relevant authority? This could be a municipality or a city council for cities, and the government – a cabinet or a ministry – for countries. If this information is not readily available, check with the Operational Manager (OM).
5. Do the municipalities counted qualify as cities? Only municipalities with a population of at least 50 000 people and a population density of at least 1 500 people/km^2 may be counted as cities.
6. Have OCTs been included? OCTs are counted as countries.
7. Is the GERF value a whole number? The number of countries and/or cities cannot be a decimal number.
8. (a) only: have you included the strategies updated and adopted with EU support, even if they were not drafted with EU support?
9. (a) only: has double counting been avoided? Cities and countries can be counted only once under GERF 2.5a.
10. (b) only: have you considered all types of implementation? These could consist in an action plan, a budget, M&E mechanisms, etc.
11. (b) only: have you considered the strategies implemented with EU support, even if they were not drafted/updated with EU support?
12. (b) only: has double counting been avoided? Cities and countries can be counted only once under GERF 2.5b.
13. Have the countries and cities been listed in the comment field? This facilitates quality control of double counting between national and regional interventions.
14. Have all calculations been recorded in the calculation method field? Have all relevant explanations been reported in the comment field?

7. Examples of calculations

Example 1

The EU supported the development of a climate change strategy for the state of Rajasthan, India. In the same year, the Delegation also supported the development of a DRR strategy for the state of West Bengal, India. In this case, since support was provided to two states in the same country in the same reporting period, the country should only be counted once under GERF 2.5a.

Example 2

Under the Global Public Goods and Challenges (GPGC) thematic programme, the EU is supporting an intervention implemented by a UN agency that supports the development of Low Emissions Development Strategies (LEDS) in 10 countries. In this example, 10 countries should be reported under GERF 2.5a.

8. Data sources and issues

Please use the data source categories specified in OPSYS.

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

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 encoded in OPSYS will be verified, possibly modified and ultimately validated by the Operational Manager. Once a year the results reported will be frozen for corporate reporting. The methodological services in HQ that are responsible for GERF corporate reporting will perform quality control on the frozen data and aggregate as needed to meet the different corporate reporting requirements.

Please replace ○ *with* ● *for the relevant items below*.

This indicator is used for corporate reporting in the following contexts:

- ● *NDICI via the Annual Report*
- ● *NDICI via the 2021-27 Programme Performance Statements*
- ● *INTPA Strategic Plan 2020-24 via the Annual Activity Report*
- ○ *INTPA Strategic Plan 2025-29 via the Annual Activity Report*
- ○ *NEAR Strategic Plan 2020-24 via the Annual Activity Report*
- ○ *ENEST Strategic Plan 2025-29 via the Annual Activity Report*
- ○ *MENA Strategic Plan 2025-29 via the Annual Activity Report*
- ○ *FPI Strategic Plan 2020-24 via the Annual Activity Report*
- ○ *FPI Strategic Plan 2025-29 via the Annual Activity Report*

This indicator has been included in the following other Results Measurement Frameworks:

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

10. Baseline alignment and Annualisation

Corporate reports most often cover different timeframes. Only rarely does the 7-year Multiannual Financial Framework (MFF) start in the same year as the 5-year Strategic Plans. Because the MFF drives the funding for these interventions, it serves as the primary baseline for data collection. To report against other cycles with different start dates, results must first be annualised and then re-cumulated starting from the required baseline year.

The annualisation method depends on the type of indicator, which can be found in Section 2:

- **Flow Indicators** (discrete achievements): These measure "one-off" events or new beneficiaries reached within a specific timeframe (e.g., Number of people trained). To find the annual result, we calculate the variation (the difference between the cumulative total at the end of the year and the beginning of the year).

Example: If a project reached 500 total people by 2024 and 800 by 2025, the 2025 annual result is 300 (the new results generated that year).

- **Stock Indicators** (continuous support): These measure an ongoing state or sustained support (e.g., Number of countries supported). To find the annual result, we take the total cumulative value at the end of the year, as this represents the full extent of the EU's active footprint.

  Example: If the EU supports 10 countries in 2024 and continues supporting those same 10 in 2025, the 2025 annual result remains 10 (the total "stock" of support active that year).

  In this case, the result is often achieved at the onset of the intervention and remains ongoing throughout implementation. When re-baselining for a new corporate cycle, these results are maintained rather than recalculated as variations. The annual value is the total number of entities under active support at the end of the reporting year, regardless of whether that support commenced before or after the new baseline year.

11. Other uses

GERF 2.5 can be found in the following thematic results chains:

- Human Rights
- Resilience, Conflict sensitivity and Peace
- Sustainable cities
- Water

GERF 2.5 can be found in the following groups of EU predefined indicators available in OPSYS, along with other related indicators:

- Climate change *(a & b – countries only)*
- Human Rights
- Resilience, Conflict Sensitivity and Peace
- Sustainable Aquatic and Agri-food Systems *(a & b – countries only)*
- Sustainable cities *(a & b – countries only)*
- Water

For more information, see: Core indicators for design and monitoring of EU-funded interventions | Capacity4dev (europa.eu)

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

12. Other issues