

Global Europe Results Framework Indicator Methodology Note

1. Indicator name
GERF 2.15: Number of processes related to partner country practices on trade, investment and business, or promoting the external dimension of EU internal policies or EU interest, which have been influenced
2. Technical details
<p><i>Please use the information provided in OPSYS or the SWD.</i></p> <p><u>Results Dashboard code(s)</u>: 65226.</p> <p><u>Unit of measure</u>: Number of (#).</p> <p><u>Type of indicator</u>: Quantitative (not Qualitative) – Numeric (not Percentage); Actual ex-post (not estimated or ex-ante); Cumulative (not annual); Direct (not indirect).</p> <p><u>Level of measurement</u>: Specific Objective – Outcome; Direct Output; Output.</p> <p><u>Disaggregations</u>: None.</p> <p><u>DAC sector codes</u>: 15110 - Public sector policy and administrative management; 15111 - Public finance management; 15130 - Legal and judicial development; 15150 - Democratic participation and civil society; 15153 - Media and free flow of information; 15160 - Human rights; 15170 - Women's rights organisations and movements, and government institutions; 16010 - Social protection; 16020 - Employment creation; 16062 - Statistical capacity building; 22010 - Communications policy and administrative management; 24030 - Formal sector financial intermediaries; 25010 - Business support services and institutions; 25020 - Privatisation; 33110 - Trade policy and administrative management; 33120 - Trade facilitation; 33130 - Regional trade agreements (RTAs); 41010 - Environmental policy and administrative management; 41030 - Biodiversity; 43030 - Urban development and management; 43040 - Rural development; 43060 – Disaster Risk Reduction.</p> <p><u>Main associated SDG</u>: 8.3 Promote development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity and innovation, and encourage the formalization and growth of micro-, small- and medium- sized enterprises, including through access to financial services.</p> <p><u>Other associated SDGs</u>: 8.1 growth; 8.2 diversification and innovation; 8.5 employment and decent work; 8.6 youth not in employment or education; 8.a aid for trade support; 10.3 reduce inequalities of outcome; 8.10 access to financial services; 17.3 financial resources from multiple sources; 17.11 exports of developing countries; 17.5 investment promotion.</p> <p><u>Associated GERF Level 1 indicator</u>: 1.13 World Bank Doing Business distance to the frontier score.</p> <p><u>Associated GERF Level 3 indicators</u>:</p> <p>3.3 Amount and share of EU-funded external assistance contributing to strengthening investment climate</p>

3.4 Amount and share of EU-funded external assistance contributing to: (a) aid for trade, (b) aid for trade to LDCs, and (c) trade facilitation

3.6 Number and share of EU-funded external interventions supporting the implementation of political, economic and social reforms and joint agreements in partner countries

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

To achieve its internal policy goals, the European Union works to create a level playing field with its partners, and promotes its values, norms and standards. This indicator captures the EU's influence in two distinct but interconnected areas:

1. Trade, Investment, and Business Practices

The EU trade policy emphasizes the importance of fostering open, fair, and rules-based trade and investment environments that benefit both the EU and its partner countries. By influencing partner country practices in these areas, the EU seeks to enhance market access, improve the business climate, and ensure that trade and investment flows align with sustainable development goals. The rationale behind this focus is to create mutually beneficial economic relationships that support growth and development, reduce trade barriers, and promote the adoption of standards that are consistent with EU norms, including trade and sustainable development.

The EU actively engages in policy dialogues, technical assistance, and capacity-building initiatives to influence partner countries' trade, investment, and responsible business practices. By doing so, the EU helps partner countries align their policies and regulations with international standards, particularly those upheld by the EU, thereby facilitating smoother trade relations, attracting investment, and fostering sustainable economic growth.

2. External Dimension of EU Internal Policies or EU Interest

In addition to influencing trade and investment practices, the EU also seeks to extend the impact of its internal policies beyond its borders. This includes promoting the adoption of EU standards and norms in areas such as climate change, environmental protection, digital governance, data protection, social policies, and public health, among others. The rationale here is to create a coherent and consistent policy environment that aligns with EU interests, values, and regulatory frameworks, thereby enhancing global governance and contributing to international stability.

<p>Promoting the external dimension of EU internal policies is crucial for ensuring that the benefits of EU regulations and standards are not confined to its borders but are shared with partner countries. This approach also helps to protect the EU's strategic interests globally, by fostering regulatory convergence, reducing risks associated with cross-border activities, and promoting values such as human rights, sustainability, and the rule of law.</p> <p>The dual focus of this indicator on trade, investment, and business practices, and the external dimension of EU internal policies reflects the EU's comprehensive approach to external action. It underscores the importance of not only building economic ties but also promoting broader policy alignment that supports the EU's strategic objectives on the global stage. By tracking the influence of EU-led processes in these areas, the indicator provides valuable insights into the effectiveness of the EU's external engagements and its role in shaping global norms and standards.</p>
<p>4. Logframe inclusion</p>
<p>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.</p> <p>There are two ways of doing this:</p> <ol style="list-style-type: none"> 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). <p>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.</p>
<p>5. Values to report</p>
<p>The following values must be determined in line with the definitions provided in Section 6.</p>

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:

- **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 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 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.

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*.

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.

The value for this indicator is calculated by counting the number of processes related to partner country practices on trade, investment and business, or promoting the external dimension of EU internal policies or EU interest, which have been influenced, using the technical definitions and counting guidance provided below. Please double check your calculations using the quality control checklist below.

Technical definitions

Processes refer to a series of actions, steps, or procedures undertaken by various stakeholders, including governments, institutions, businesses, or international organizations, that aim to shape, influence, or reform practices, policies, regulations, or agreements.

For the purposes of this indicator, processes are defined as sustained, structured, and often collaborative actions or steps that aim to influence partner country practices in trade, investment, or business, or to promote the external dimension of EU internal policies or EU interests. These processes must have the potential or have already led to tangible changes in the policies, regulations, or practices of partner countries, in alignment with EU objectives, or in the external alignment with EU internal policies.

The following items should be counted as processes:

- **Policy Dialogues**: Formal or informal discussions between EU representatives and partner countries or regions, aiming to align or reform trade, investment, or business practices in line with EU standards or interests. This also includes dialogues to promote EU internal policies externally.
 - o *Example*: A series of meetings between EU trade negotiators and a partner country's government to encourage the adoption of EU-style regulations on product standards.
- **Negotiation of Trade and Cooperation Agreements**: The process of negotiating bilateral or multilateral agreements that include provisions influencing partner country practices or advancing the EU's external policy objectives, including the extension of EU internal policies.
 - o *Example*: Negotiating a trade agreement with a partner country that includes provisions on data protection, in line with the EU's General Data Protection Regulation (GDPR), promoting the external dimension of EU data privacy policies.
- **Technical Assistance and Capacity Building Programs**: EU-led initiatives that provide expertise, training, or financial support to help partner countries develop or reform their trade, investment, business practices, or to align with EU internal policies externally.
 - o *Example*: An EU-funded program that assists a partner country in adopting the EU's environmental regulations, supporting the external dimension of the EU's Green Deal.

- Advocacy and Lobbying Efforts: Actions taken by the EU or its representatives to advocate for specific policy changes in partner countries that align with EU interests or standards, including the external promotion of EU internal policies.
 - *Example*: EU representatives lobbying a partner country to adopt labor standards aligned with the EU's social policies, thus extending EU social policy influence externally.
- Joint Action Plans or Roadmaps: Collaborative frameworks established between the EU and partner countries to guide the implementation of specific reforms or actions in trade, investment, business practices, or the external promotion of EU internal policies.
 - *Example*: A joint EU-partner country roadmap for adopting EU digital economy standards, supporting the external dimension of the EU's Digital Strategy.

The following items should NOT be counted as processes:

- One-off Events or Meetings: Single events or meetings that do not result in any follow-up actions or tangible outcomes in terms of influencing policies or practices, or promoting the external dimension of EU internal policies or interests.
 - *Non-Example*: A single high-level conference on digital standards that does not lead to any subsequent policy changes or actions.
- General Information Sharing: The dissemination of information or reports that do not directly influence or lead to changes in partner country practices or policies, or do not actively promote the external dimension of EU internal policies.
 - *Non-Example*: Distribution of an EU environmental policy report to partner countries without any engagement or follow-up to influence adoption or alignment.
- Internal EU Policy Making: Processes that are entirely internal to the EU and do not involve or impact partner countries' practices on trade, investment, business, or the external promotion of EU policies.
 - *Non-Example*: The internal drafting of EU social policies that do not involve engagement with partner countries.
- Unsuccessful Negotiations or Efforts: Attempts to influence partner country practices or promote the external dimension of EU policies that do not result in any measurable change or agreement.
 - *Non-Example*: An EU attempt to negotiate the adoption of EU digital standards that fails to reach any conclusion or does not lead to any changes in the partner country's practices.
- Routine Diplomatic Engagements: Regular diplomatic interactions that do not aim specifically at influencing trade, investment, or business practices, or promoting the external dimension of EU internal policies or interests.
 - *Non-Example*: Routine embassy meetings or courtesy visits that do not

include discussions on specific policy reforms or changes.

Influenced implies a clear, measurable impact of EU actions on partner country policies, practices, or commitments. It involves concrete outcomes like new legislation, policy modifications, formal commitments, or strategic shifts that align with EU objectives. Merely discussing ideas, raising awareness, or proposing changes without resulting in tangible outcomes does not count as being influenced.

Below are examples of what counts as "influenced".

- Adoption of New Policies or Regulations:
 - o When a partner country adopts new laws, policies, or regulations that align with or directly reflect EU standards as a result of EU engagement.
 - o *Example:* A partner country enacts a new data protection law modelled after the EU's GDPR following an EU-led technical assistance program.
- Modification of Existing Practices:
 - o When a partner country or institution modifies its existing practices or procedures to better align with EU recommendations or standards.
 - o *Example:* A country reforms its customs procedures to reduce trade barriers with the EU after participating in EU-funded training sessions.
- Commitments to Reform:
 - o When a partner country formally commits to future reforms or changes in response to EU advocacy or negotiations, even if the changes are not yet fully implemented.
 - o *Example:* A government signs a memorandum of understanding (MoU) with the EU, committing to implement specific environmental regulations aligned with the EU's Green Deal.
- Institutional Changes:
 - o When a partner country or organization creates or restructures institutions, agencies, or bodies to comply with EU standards or to better facilitate cooperation with the EU.
 - o *Example:* Establishing a new regulatory body to oversee compliance with EU-aligned health and safety standards.
- Changes in Strategic Direction:
 - o When a partner country or regional organization shifts its strategic priorities to align more closely with EU policies or interests due to EU influence.
 - o *Example:* A country revises its national development strategy to include a stronger focus on digital transformation, in line with EU digital policy goals, after EU consultations.

Below are examples of what does not count as "influenced".

- Non-Binding Discussions or Plans:

- Discussions or plans that do not lead to concrete actions, commitments, or changes in policies or practices.
- *Non-Example:* A series of meetings discussing potential trade reforms without any follow-up actions or formal commitments from the partner country.
- General Awareness-Raising Activities:
 - Activities that raise awareness or provide information but do not result in any measurable changes in policies, practices, or commitments.
 - *Non-Example:* Distributing informational brochures on EU environmental policies without leading to any policy changes or commitments from the partner country.
- Unrealized Proposals or Recommendations:
 - Proposals or recommendations made by the EU that are not adopted, implemented, or acted upon by the partner country or stakeholders.
 - *Non-Example:* An EU proposal for regulatory alignment that is discussed but ultimately rejected by the partner country.
- Temporary or Superficial Changes:
 - Changes that are temporary, superficial, or not fully implemented, without any long-term impact or formal adoption.
 - *Non-Example:* A partner country temporarily adopting a practice for the duration of an EU-funded project but reverting to previous practices afterward.
- Influence Without Evidence:
 - Claimed influence where there is no clear evidence of a link between the EU's actions and the change in the partner country's policies or practices.
 - *Non-Example:* Asserting that a country's new trade policy was influenced by the EU without any documented connection between the policy and EU engagement.

Counting guidance

1. If influence has been demonstrated, then all processes providing support may be counted separately.
2. Double counting is not allowed: a process can be counted only once in the same reporting period. This means that if the same process 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 process should be counted only once. Report the name of the process supported in the comment field to facilitate quality control of double counting.

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. Do all items counted qualify as processes? Has influence been demonstrated?
4. Is the GERF value a whole number? The number of processes cannot be a decimal number.
5. Has double counting been avoided? Processes should be counted only once.
6. Have all calculations been recorded in the calculation method field? Has all relevant information, including the names of the processes supported, been reported in the comment field?

7. Examples of calculations

Example 1

The EU is funding an intervention aimed at improving trade practices and regulatory frameworks in key partner countries across the Mediterranean. The project focuses on aligning these countries' customs procedures and product standards with EU regulations, thereby promoting smoother trade flows and supporting the external dimension of the EU's internal market policies.

1. A key process supported by this intervention was the establishment of a series of policy dialogues between EU trade experts and national authorities in the partner countries. These dialogues were launched in 2021 and led to the adoption of EU-aligned customs regulations in 2023, which facilitated easier access for EU products into these markets. This item counts as a process and should be reported as soon as its influence is confirmed, which is in 2023.
2. Additionally, the intervention started provided technical assistance and training to local customs officials in 2024, ensuring the successful implementation of these new regulations. This item counts as a process and because influence has already been demonstrated, it can be reported as soon as it has been observed, which is in 2024.
3. In 2022, a high-level conference was organized to discuss general trade issues in the Mediterranean region. While this event raised awareness and facilitated networking, it did not result in any follow-up actions, policy changes, or tangible outcomes that influenced partner country practices. Therefore, it cannot be counted as a process under this indicator.

Therefore, the following values are reported for this indicator:

2021	2022	2023	2024
0	0	1	2

Example 2

The EU is funding an intervention aimed at promoting robust digital governance and enhancing data protection standards in several Eastern Partnership countries. The

project seeks to align these countries' data protection regulations with the EU's General Data Protection Regulation (GDPR), thereby promoting the external dimension of the EU's digital policy.

1. One of the key processes facilitated by this intervention was the negotiation of a joint action plan between the EU and the partner countries, which outlined specific milestones for adopting GDPR-like data protection laws.
2. Through sustained advocacy and technical assistance, the intervention provided expertise to local policymakers, helping them draft and implement new legislation that mirrors EU standards.
3. Additionally, the project included capacity-building workshops for government officials and IT professionals to ensure proper enforcement and compliance with these new regulations.
4. As part of the project's outreach efforts, informational brochures on EU data protection standards were distributed to stakeholders in the partner countries. While these materials raised awareness about GDPR, this activity did not lead to direct influence on policies or practices, and there was no follow-up engagement to ensure adoption or implementation. Therefore, it cannot be counted as a process under this indicator.

The processes described in the first three points above should be reported for the year in which the process was finalised.

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.

This indicator is used for corporate reporting 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:

<ul style="list-style-type: none">○ <i>EFSD+</i>○ <i>GAP III</i>○ <i>IPA III</i>○ <i>TEI-MORE</i>
10. Other uses
<p>GERF 2.15 can be found in the following groups of EU predefined indicators available in OPSYS, along with other related indicators:</p> <ul style="list-style-type: none">- Oceans- Trade <p>For more information, see: Predefined indicators for design and monitoring of EU-funded interventions Capacity4dev (europa.eu)</p>
11. Other issues