



BASELINE ASSESSMENT REPORT

USAID Central Asia Regional Development Cooperation Strategy (RDCS) 2020-2025 Results Framework and Performance Management Plan (PMP) Baseline Assessment

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ACRONYMS

Acronym	Description
ADB	Asian Development Bank
ADS	Automated Directives System
AMELP	Activity Monitoring, Evaluation, and Learning Plan
BA	Baseline Assessment
BAT	Baseline Assessment Team
CA	Central Asia
CAREC	Central Asia Regional Economic Cooperation
CAREM	Central Asia Electricity Market Activity
CASSS	Central Asia Support for Stable Societies Activity
CIRS	Context Indicator Reference Sheet
COVID-19	Coronavirus Disease 2019
CPMM	Corridor Performance Measurement and Monitoring
CSO	Civil Society Organization
CTIP	Countering Trafficking in Persons
CTJ	Competitiveness, Trade and Jobs
CVE	Countering Violent Extremism
DO	Development Objective
DOS	Department of State
EE	Energy Efficiency
EG	Economic Growth
FGI	Future Growth Initiative
GNI	Gross National Income
GRI	Government Restrictions Index
HL	Health
ICWC	Interstate Coordination Water Commission
IP	Implementing Partner
IR	Intermediate Result
IWRM	Integrated Water Resources Management
KII	Key Informant Interview
kWh	Kilowatt Hours
LPI	Logistics Performance Index
LEAD	Learning from Evaluations and Assessments for Development
M&E	Monitoring and Evaluation
ME&A	ME&A, Inc.
MEL	Monitoring, Evaluation, and Learning
NGO	Non-Governmental Organization
OCINDEX	Global Organized Crime Index
PCA	Power Central Asia Activity
PCVE	Preventing and Countering Violent Extremism
PIRS	Performance Indicator Reference Sheet
PMP	Performance Management Plan
PPD	Public-Private Dialogue
PS	Peace and Security
PTF	Power the Future Activity
R	Regional

Acronym	Description
RDCS	Regional Development Cooperation Strategy
RDO	Regional Development Objective
RE	Renewable Energy
REM	Regional Energy Modernization
RFTOP	Request for Task Order Proposal
RM	Regional Mission
SBC	Small Basin Council
SHI	Social Hostilities Index
SME	Subject Matter Expert
SMICA	Safe Migration in Central Asia Activity
SPO	Strategy and Program Office
STIP	Science, Technology, and Innovation Policy
TBD	To Be Determined
TCA	Trade Central Asia
TFA	Trade Facilitation Agreement
TIP	Trafficking in Persons
TL	Team Leader
TVPA	Trafficking Victims Protection Act
U.S.	United States
UNRC	United Nations Regional Commission
USAID	United States Agency for International Development
USG	United States Government
VE	Violent Extremism
WAVE	Regional Water and Vulnerable Environment Activity
WB	World Bank
WDI	World Development Indicators
WEFE	Water Energy, Food, and Environment
WTO	World Trade Organization

EXECUTIVE SUMMARY

ASSESSMENT PURPOSE, OBJECTIVES, AND BACKGROUND

The United States Agency for International Development Central Asia (USAID/CA) Regional Mission (RM) has a new approved Regional Development Cooperation Strategy (RDCS) for the period 2020-2025. The RM also developed the Performance Management Plan (PMP) for the RDCS. The next step in the development of the PMP for USAID/CA was this Baseline Assessment (BA). The purposes of the BA were:

1. To identify and develop measurements with baseline data for a limited number of context indicators applicable to the Intermediate Results (IRs) of the RDCS; and
2. To identify and develop measurements with baseline data for the IRs and sub-IRs of the RDCS that the RM chose to measure performance in the PMP.

The RM also solicited two other discrete items to support learning. Through the Learning from Evaluations and Assessments for Development (LEAD) mechanism, the RM also asked the ME&A team to:

3. Recommend learning questions for future evaluations and assessments to the RM; and
4. Provide recommendations to the RM for results framework and learning agenda validation in the future.

METHODS AND LIMITATIONS

ME&A's Baseline Assessment Team (BAT) consulted remotely with USAID's IR teams in June and July 2021 and then met remotely with USAID IPs in each of the five IRs between July and October 2021. The BAT also reviewed written sources of data on Central Asia and countries of the region and held other remote meetings with key stakeholders in these technical areas focused on the changing context of the region, data quality and availability, and learning and recommendations for learning for the RM going forward. The RM reviewed a draft BA Report in October, which the team then finalized.

FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS BY IR

Detailed discussion of context indicators, performance indicators is provided under all five IRs of the RDCS. These two sections comprise the bulk of the BA. This organization should help the review of the BA by IR teams, who can focus on their IR in their review. The five IRs are:

- IR 1.1: Barriers to Trade Reduced
- IR 1.2: Regional Energy Modernization Increased
- IR 1.3: Transboundary Cooperation on Water and Environment Improved
- IR 2.1: Central Asian Cooperation on Addressing Trafficking in Persons Strengthened
- IR 2.2: Ability of Central Asian Actors to Reduce Violent Extremism Risks Strengthened

The BA proposes one or more potential context indicators for each IR for RM consideration.

In performance indicators, the BAT has identified issues for RM discussion and consideration. **Green text** is used to highlight these issues with performance indicators for the RM and IPs. One of the four indicators in barriers to trade reduced under IR 1.1 should be considered for revision to support stronger measurement by USAID and the Trade Central Asia (TCA) Project.

All four of the regional energy modernization indicators under IR 1.2 need further development and/or attention to measurement through USAID engagement with the Power Central Asia Activity (PCA) and Central Asia Electricity Market Activity (CAREM).

The Regional Water and Vulnerable Environment (WAVE) Activity is revising its indicators to align with the five indicators under IR 1.3, transboundary cooperation on water and environment improved. WAVE's proposed specification of the way to measure the standard indicator used by the RM for the IR level should be discussed.

Four of the five indicators in countering trafficking in persons (CTIP) under IR 2.1 need further development and/or attention to measurement through USAID engagement with the Safe Migration in Central Asia Activity (SMICA).

Four of the seven performance indicators in countering violent extremism (CVE) under IR 2.2 need further development and/or attention to measurement through USAID engagement with the Central Asia Support for Stable Societies Activity (CASSS).

Complete performance and context indicator data sheets (CIRS and PIRS) for the IRs and sub-IRs in the PMP as well as all suggested context indicators are provided in the annexes.

The penultimate section under each IR briefly considers evaluation questions that emerge from developing the indicators for these IRs. Most activities are only a year or two into implementation; this made the identification of potential evaluation questions for RM consideration quite preliminary.

The final section under each IR considers how RDCS implementation through these IRs can be reviewed as part of the RM's learning agenda after another year of activity implementation. The BAT has identified some initial preliminary questions for RM consideration that could contribute to the review of the RDCS in the future.

1. BASELINE ASSESSMENT PURPOSE, OBJECTIVES, AND BACKGROUND

PURPOSE

The United States Agency for International Development Central Asia (USAID/CA) Regional Mission (RM) developed a new Regional Development Cooperation Strategy (RDACS) for the period 2020-2025 which was approved in December 2020. The RM also developed the Performance Management Plan (PMP) for the RDACS and asked ME&A, Inc. (ME&A), through a request for task order proposal (RFTOP) under the Mission's Learning from Evaluations and Assessments for Development (LEAD) mechanism, to conduct a Baseline Assessment (BA) to identify appropriate measurements for the Intermediate Results (IRs) and sub-IRs of the strategy as well as the data that provide these measurements.

The Baseline Assessment Team (BAT) was requested to:

1. Gather baseline qualitative and quantitative data to support the RDACS results framework and PMP learning agenda;
2. Recommend the most applicable context indicators; and
3. Determine the baseline values for PMP indicators that will inform the RM's overall monitoring, evaluation, and learning (MEL) processes as well as future stocktaking exercises.

USAID and the United States (U.S.) Department of State (DOS) have set requirements—including requirements that are proscribed in law—for indicators and have guidance to support operating units in meeting these requirements. The BAT used these requirements and guidance for the assessment.

USAID requirements are presented in the Automated Directives System (ADS) which provides the operational policy for the agency. ADS 201 has USAID's Operational Policy for the Program Cycle.¹ Each Mission or operating unit, such as the RM, are required to have a strategy or regional strategy, which must have:

- At least one performance indicator for each IR identified in the RDACS results framework; and
- At least one performance indicator for each sub-IR identified in the RDACS results framework.

USAID defines an indicator as “a quantifiable measure of a characteristic or condition of people, institutions, systems, or processes that may change over time.”² Performance indicators measure expected outputs and outcomes of strategies, projects, or activities based on a Mission's results framework or project or activity logic model. Performance indicators are the basis for observing progress and measuring actual results compared to expected results. Performance indicators help answer the extent to which a mission is

¹ <https://www.usaid.gov/sites/default/files/documents/201.pdf> (Accessed October 2, 2021).

² https://usaidlearninglab.org/sites/default/files/resource/files/mt-selecting_performance_indicators.pdf (Accessed October 2, 2021).

making progress towards its objectives. Performance indicators at the IR level refine the understanding of the results the RDCS commits the RM to achieving. As required by the ADS, a PMP is expected to monitor “how progress, performance, programmatic assumptions, and the operational context will be monitored” under each Development Objective (DO), using performance indicators.

OBJECTIVES

The BAT first developed an understanding of the RM’s needs and USAID’s requirements and guidance on indicators and baselines, as discussed below. The team then developed methodologies and a work plan to identify, evaluate, and recommend indicators as well as valid and reliable data to use to measure these indicators appropriate for the IRs and sub-IRs from the PMP. The BAT also developed plans to elaborate a limited number of context indicators to help USAID/CA monitor the broader regional context in which activities towards these IRs are implemented. Finally, the BAT will deliver high quality products as required by the RM.

The RFTOP set out five objectives for the BA, which the BAT has correspondingly undertaken, to:

1. Consult staff and implementing partners (IPs) on PMP indicators and incorporate their feedback;
2. Establish the baseline values for PMP indicators;
3. Provide a list of the most applicable context indicators along with baseline values for them;
4. Recommend learning questions for future evaluations and assessments; and
5. Provide recommendations for results framework and learning agenda validation in future.

BACKGROUND

The RM completed implementation of the previous five-year RDCS in June 2020. The RDCS 2014-2020 addressed key characteristics that the five CA countries share and regional and cross-national activities through DOs that supported:

1. Expanded diverse and competitive trade and markets;
2. Enhanced regional cooperation on shared energy and water resources; and
3. More effective and inclusive governance institutions that serve the public good.

The RDCS’s results framework was realigned and the PMP indicators were amended at the Mission-wide Portfolio Review in Fall 2016. An updated PMP was approved in October 2017. This realignment and updating reflected the Mission’s learning about the measurement and data for indicators. This learning continued with use of the PMP through the completion of the RDCS in 2020. Key learning points for USAID staff were the limited utility of context indicators, which by definition do not capture USAID’s manageable interests, and the continued challenges the RM faced in gathering data on some indicators from the PMP.

USAID/CA developed its current RDCS, with two sector-based Regional DOs (RDOs) to ensure clear alignment with the U.S. Strategy for Central Asia.³ The new RDCS covers the period 2020-2025. USAID approved the strategy in December 2020. USAID/CA's goal under the 2020-2025 RDCS is "A self-reliant Central Asia that is interconnected, independent, and resistant to malign influences." The RDCS continues the work of USAID since 1992 to support CA states to build resilience to short- and long-term threats to their stability and strengthen their sovereignty by enhancing their individual and collective capacity and commitment to strengthen their own development, as well as foster regional connectivity. USAID/CA Regional activities complement and strengthen USAID's bilateral efforts with the five states of the region, contributing to a Central Asia that has increased capacity and commitment to address challenges by supporting the creation of a Central Asia that is interconnected, independent, and resistant to malign influences.

To further the U.S. Strategy for Central Asia and advance development across the region, USAID/CA identified five priority areas for regional support through the RDCS: energy, trade, transboundary water and environmental management, combating trafficking in persons (TIP), and countering violent extremism (CVE). The RDCS connected these five priority areas into two RDOs, discussed below.

The RM has also developed the PMP with indicators for each IR and sub-IR in the RDCS. The RDOs, as with DOs for country strategies, do not need to be measured, as they are intended to be higher-level results that USAID contributes to through the sum of all of the IRs and sub-IRs under them. A DO is expected to be too challenging to adequately measure with only one or a few indicators.

Regional Development Objective 1

Regional connectivity and collaboration are at the core of the RDCS approach; regional connectivity and collaboration are also clearly aligned with the U.S. Strategy for Central Asia.⁴ The RDCS focuses on three areas under RDO 1, Regional Connectivity Strengthened, including with Afghanistan: 1) reducing barriers to trade; 2) modernizing the regional energy sector; and 3) improving cooperation on transboundary water and environment resources. All of these areas are critical to diversifying the region's economies away from natural resource extraction and a single trading partner system.

IR 1.1: Barriers to Trade Reduced

IR 1.1 will reduce barriers to trade in Central Asia and with Afghanistan by: 1) increasing the region's application of international trade best practices to increase transparency; 2) harmonizing specific customs and border procedures to reduce transit time and cost; and 3) increasing public and private dialogue on regional trade and investment to promote regional investment and beneficial trade facilitation reforms. By reducing barriers to trade, Central Asia and Afghanistan can unlock the region's trade potential and create a more economically diverse and connected region. The RM plans activities to engage trade authorities from throughout Central Asia, to streamline and harmonize customs and

³ Overview: United States Strategy for Central Asia 2019-2025: Advancing Sovereignty and Economic Prosperity. February 5, 2020. <https://www.state.gov/wp-content/uploads/2020/02/FINAL-CEN-Strategy-Glossy-2-10-2020-508.pdf> (Accessed July 20, 2021).

⁴ *Ibid.*

border procedures and facilitate regional agreements that support the growth of trade. The RM will also engage international organizations, including the World Trade Organization (WTO) and the World Customs Organization (WCO), to ensure that reforms are consistent with international best practices.

IR 1.2: Regional Energy Modernization Increased

IR 1.2 will increase energy modernization across the region through adopting targeted market liberalization reforms, including comprehensive cost accounting principles, and harmonizing cost-based tariff methodologies. Activities will increase private investment in clean energy across the region. The RM's activities plan to support the establishment of a regional electricity market by working through C5+1 to enable greater cross-border trade in electricity and offer opportunities for meeting the countries' energy needs. The RM's efforts will also support electricity transmission to South Asia.

IR 1.3: Transboundary Cooperation on Water and Environment Improved

IR 1.3 will improve cooperation on water and the environment by increasing transboundary governance initiatives, specifically at the ministerial level. Activities under the IR will enhance the water-energy-food nexus regulatory framework and agreements across the region by building the technical capacity of water stakeholders and institutions—such as academic, training, and research institutes and water agencies—to work collaboratively and share disseminate information. The RM's inclusive approaches will engage diverse leaders and stakeholders to promote the broad-based benefits of resource access, while simultaneously promoting environmental safeguards to minimize and reduce potential adverse impacts on the environment and biodiversity.

Regional Development Objective 2

RDO 2 focuses on resilience and managing risks in the region. USAID/CA defines resilience as the ability of an actor to manage risks and threats from malign actors while strengthening the actor's capacity to prevent and/or effectively address related issues in the future. Under Resilience to Regional Vulnerabilities Advanced, the RDCS focuses on two areas: 1) strengthening regional cooperation to reduce TIP; and 2) strengthening the capacity of CA states and non-state actors to reduce the risk of violent extremism (VE).

The RDCS developed two IRs to do so.

IR 2.1: Central Asian Cooperation on Addressing Trafficking in Persons Strengthened

Under IR 2.1, USAID/CA will promote regional cooperation on safe employment, labor migration processes, the conditions of migrant workers, and practices for the safe and voluntary repatriation and reintegration of trafficked persons. The RM will also improve information sharing and cross-border cooperation among non-governmental organizations (NGOs), diaspora networks, host-country officials, and the private sector to collect data on TIP to identify and support TIP victims. In addition, activities will harmonize and standardize definitions and procedures across the region dealing with the identification, provision of services, and repatriation of targeted populations. The RM will strengthen the capacity of organizations engaged in trans-border migration to better provide support services to targeted vulnerable populations.

IR 2.2: Ability of Central Asian Actors to Reduce Violent Extremism Risk Strengthened

USAID/CA will support the development of and collaboration between national and regional networks of civil society organization (CSOs) working on preventing VE under IR 2.2. The strategy also notes that USAID will strengthen the capacity of CSOs and host governments working on CVE to promote information-sharing on risk and prevention factors, at-risk communities, and best practices for programming. Activities will support the capacity of governments and regional networks to provide more targeted and effective support to vulnerable communities through greater information sharing.

Monitoring, Evaluation, and Learning under the RDCS

USAID mandates that country and regional strategies develop MEL plans and systems. The PMP is key in performance monitoring of the RDCS, supporting the systematic collection of a set of standard and custom performance indicators for RDCS outcomes. Developing indicator measurements for IRs and sub-IRs of the RDCS and assessing the data and systems to collect these data are key to the RFTOP's tasks, BAT's activities, and deliverables. The BAT has also developed a second set of indicators—context indicators—for the RDCS. USAID/CA can then monitor these indicators for the region and across the various CA states to analyze how the broader national and regional operating environment shapes the achievement of IR and sub-IR outcomes going forward.

The RFTOP also tasked the BAT with contributing to USAID/CA's learning agenda by developing potential evaluation and learning questions based on the RDCS PMP and the BAT's proposed context indicators as well as measurements/data for all context and performance indicators. The evaluation and learning questions can be examined by the RM as the RDCS is implemented. The BAT has thus considered and developed these questions as part of gathering and assessing measurements and data for indicators. Evaluation questions can be considered by the RM in its evaluation of targeted activities over the life of the RDCS; and, after two years of implementation provide enough time to consider whether adjustments may be warranted, the RM could use learning questions to test the RDCS strategy implementation through the PMP.

2. METHODS AND LIMITATIONS

METHODS

The ME&A BAT has:

- Considered context indicators and measures for IRs;
- Investigated performance indicator measurements and data for the IR and sub-IR indicators of the PMP;
- Considered learning questions for evaluations and assessments by IR; and
- Considered items for the learning agenda, organized by IR, to be used for the validation of the RDCS results framework (potentially after Year 2 of RDCS implementation).

The BAT used a mixed-methods approach of document review and key informant interviews (KIIs) to gather and explore potential indicator measurements and data for the

IRs and sub-IRs in the RDCS, gather and test potential context indicators, measures, and data, and consider learning questions and the Learning Agenda.

The BAT developed, and USAID approved, a Formative Study and Work Plan, which developed methodologies to meet the tasks outlined in the RFTOP and produce this BA. Key steps included the review of the USAID/CA RDCS and PMP by the team and discussion of USAID requirements and guidelines. The BAT developed the methodologies and work plan to collect data through document review and remote KIIs on the indicators from the PMP in the five areas that USAID/CA chose as IRs in the RDCS. The BAT, under the management of the BA Team Leader (TL), divided this work based on the functional specialization of the subject matter expert (SME) team members and their experience in the five technical areas of work in the RDCS: trade, energy, water and the environment, TIP, and CVE. The BAT focused on identifying ways to measure the indicators for these IRs and sub-IRs as well as identifying a limited number of context indicators and sources of data useful for the PMP. The BAT also considered and developed learning questions for future evaluations and assessments as well as recommendations for the results framework and learning agenda validation. The BAT provided a debrief to USAID/CA on the initial findings and fieldwork on September 24, 2021, prior to drafting this Baseline Assessment Report.

For the BA, the team reviewed USAID tools, which it then relied on for this work. Indicator development and standards are based on USAID Learning Lab guidance and templates, adapted by the team to the five technical areas.

USAID and the DOS provide substantial guidance on indicators and the measurement of indicators. The BAT drew upon this guidance, literature, templates, and definitions for the BA.

Context Indicators

Context indicators are used to monitor conditions and external factors relevant to the implementation and performance of an Operating Unit's strategy, projects, and activities. Context indicators are a means to monitor factors outside the control of USAID that have the potential to affect the achievement of results. Finally, USAID provides guidance on context indicators and Context Indicator Reference Sheets (CIRS) as a tool to define context indicators and support context indicator data quality and consistency. CIRS are not required. USAID guidance recommends that any context indicators chosen for use have completed indicator reference information stored in a CIRS.⁵ The BAT has provided the RM with a limited number of potential context indicators for the mission to consider for potential use, with a CIRS developed for each potential context indicator (see Annex 3: CIRS).

Performance Indicators

A key area of USAID guidance addresses performance indicators. Since USAID needs to be able to report outside of the Agency (externally) on the results produced by its development investments and benefits from data that can be used to compare across

⁵ https://usaidlearninglab.org/sites/default/files/resource/files/mt_cirs_template_final2021.pdf (Accessed July 20, 2021).

countries, the Agency has identified some performance indicators as the best choices for characterizing progress in each of the sectors and technical areas in which it works. This set of indicators, called standard indicators, USAID states, is *“to be given priority over alternatives wherever a particular standard indicator would be applicable.”*⁶ USAID has worked with other U.S. Government (USG) agencies to develop the DOS Office of U.S. Foreign Assistance Resources Standardized Program Structure and Definitions and Standard Foreign Assistance Master Indicator List to support this effort.⁷

USAID guidance provides an explanation and example for the merit and utility of standard indicators. The example given examines the result: “time/cost to move goods across borders reduced.” This example is directly relevant to USAID/CA, as the Mission has chosen a standard indicator “average time (in hours) to export goods along trade corridor receiving USG assistance.” The guidance explains that since the options for measuring time range from minutes to hours, to days or weeks. The USAID list of standard indicators makes that choice for everyone as hours. Standardization of a limited set of indicators that are widely used for a particular type of project allows for modest amount of data aggregation on a worldwide basis. Per USAID guidance, for this reason it is important to consult the USAID standard indicator list at the start of an indicator selection process and adopt indicators that are good indicators for various results on the Mission’s results framework. Many of the USAID standard indicators are appropriate for measuring performance at the IR and sub-IR level.

USAID also provides guidance on custom performance indicators.⁸ Custom indicators are identified, developed, and used to measure achievement of results where standard foreign assistance indicators are not appropriate or applicable for program management and decision-making, or where substantive changes are needed in the standard foreign assistance indicator’s definition in order to make the indicator applicable to the Mission’s context.

For all performance indicators, whether standard or custom, USAID requires that operating units examine the measurement and quality of data to be used for reporting on these indicators. This is to be done through the development and use of a Performance Indicator Reference Sheet (PIRS) for each indicator.⁹ The RM thus needs a PIRS for each indicator in the RDCS, which the BAT developed in the BA for consideration by the Mission. The Activity Monitoring, Evaluation, and Learning Plan (AMELP) for each activity includes a PIRS for each indicator under the activity. A conventional good practice is to

⁶ See <https://www.usaid.gov/project-starter/program-cycle/cdcs/performance-monitoring-indicators/standard-indicators> (Accessed July 20, 2021).

⁷ See Standardized Program Structure and Definitions. Office of U.S. Foreign Assistance Resources. 2016. <https://2009-2017.state.gov/f/c24132.htm> (accessed July 20, 2021), and Standard Foreign Assistance Master Indicator List. Office of U.S. Foreign Assistance Resources. 2016. <https://2009-2017.state.gov/documents/organization/260455.xlsx> (Accessed July 20, 2021).

⁸ See Selecting Performance Indicators, https://usaidlearninglab.org/sites/default/files/resource/files/mt-selecting_performance_indicators.pdf (Accessed July 20, 2021) and the earlier TIPS: Selecting Performance Indicators from 2010, https://pdf.usaid.gov/pdf_docs/Pnadw106.pdf (Accessed July 20, 2021).

⁹ https://usaidlearninglab.org/sites/default/files/resource/files/performance_indicator_reference_sheet_pirs_ads_maf_0.pdf (Accessed July 20, 2021).

use and rely to some extent on some activity-level indicators, albeit ones that define high-level outputs or outcomes, for measuring RDCS IRs.

Attributes that are important in data also include data disaggregation. USAID places a high priority on the disaggregation of performance data by sex when possible and encourages Mission staff to utilize gender-sensitive indicators. USAID ADS 201 defines the collection of sex disaggregated data for performance indicators and use of gender-sensitive indicators as mandatory where analyses demonstrate that:

“The different roles and status of women and men within the community, political sphere, workplace, and household (for example, roles in decision-making and different access to and control over resources and services) affect the activities to be undertaken; and

The anticipated results of the work would affect women and men differently.”

USAID also encourages missions to identify other types of data disaggregation in their PMPs.

Baselines

USAID also provides guidance from the Monitoring Toolkit specific to baseline data. Performance Indicator Baselines supplement ADS 201.3.5.6 and offer guidance for planning and collecting performance indicator baseline data for monitoring and evaluation (M&E) of USAID strategies, projects, and activities.¹⁰ A baseline is defined as the value of an indicator before major implementation actions of USAID-supported strategies, projects, or activities. The importance of a baseline is to measure change in the indicator based on data at the start, to enable the tracking of changes that occurred during the strategy, project, or the activity, and changes with the resources allocated to that strategy, project, or activity for performance indicators. A baseline timeframe is the month and year when baseline data were collected. A context indicator baseline would be as of that time, but changes monitored would not be expected to be driven by USAID engagement or resources. Baselines are required for performance indicators. Baselines are also important for missions as they contribute to setting realistic performance indicator targets and for measuring change over time. Baseline trends, data on an indicator available for an extended period before the baseline that examine a general course or direction such as increasing or decreasing, can be particularly helpful in understanding data in context. Baseline trend information is valuable for informing targets and predicting how the data and trend might behave in the future.

Targets

Although targets are critical components of PMPs, the BAT has not set targets for IRs and sub-IRs as setting targets is appropriately a decision for RM staff, based on their managerial control of activities and knowledge of expected resources, priorities, and actual results. A target is a specific, planned level of a result to be achieved within a

¹⁰ https://usaidlearninglab.org/sites/default/files/resource/files/mt_perf_indicator_baselines_final2021.pdf (Accessed July 20, 2021).

specific timeframe with a given level of resources.¹¹ Targets help USAID staff, IPs, and other partners determine whether progress is being made according to expectations originally envisioned. USAID's toolkit notes that *"in practice, setting targets is usually a collaboration between USAID staff and the IPs expected to produce the result being measured."*

Evaluation Questions

The RM, as part of the RDCS and PMP, starts processes of reflecting on activity implementation early in the implementation of the strategy. One key learning process is activity evaluation. The BA was asked to contribute at this early stage to the development of potential evaluation questions that emerge from the focus on indicators and baseline data for the RDCS PMP.

Although it is early in the process of implementation for almost all of the RM's activities, the BAT has begun the processes towards future evaluations of activities by considering early thoughts about potential questions that could be part of those future evaluations.

Learning Agenda

To contribute to and organize learning from RDCS implementation, the RM has developed and maintains a learning agenda.

Part of the learning agenda is also a USAID review of the implementation of the PMP. USAID/CA expects to review the implementation of the PMP in two years. The BAT, as part of their examination of the PMP and the available data for the baseline now, developed some learning questions and considerations for the Regional Strategy and Program Office (R/SPO) to consider using as part of this review in two years.

Initial Phase – Formative Study Report and Work Plan

The BA had three phases of work. In the Initial Phase, the team drafted and finalized a formative study report and work plan. The initial phase developed the knowledge, plans, and methods that the BAT proposed to utilize to meet USAID's objectives through this deliverable. For the study, each SME BAT member focused on their area of specialization and identified and collected relevant written materials for understanding and measuring the context and specific areas/indicators where the RM will work under the RDCS 2020-2025.

The BAT used document review as part of the draft and final formative study report and for the preparation of the work plan. Using the expertise and knowledge of SME BAT members as well as materials providing through USAID/CA, the team developed plans to collect and review written materials from the bibliography provided by USAID, IPs, international organizations, national governments, NGOs, private firms, and academic researchers relevant to the IRs and sub-IRs in the RM RDCS PMP. The data in these resources provided an initial assessment of what relevant information exists and what was accessible. The BAT also developed plans to conduct interviews on IR and sub-IR indicator measurement and data as well as context indicators, measurement, and data

¹¹ Program Cycle Monitoring Toolkit: Performance Indicator Targets. May 20, 2021. https://usaidlearninglab.org/sites/default/files/resource/files/mt_performance_indicator_targets_final2021.pdf (Accessed July 20, 2021).

with USAID, the RM's IPs, and other relevant actors from national, regional, and international institutions working in the areas that are the focus of the RDCS.

Intermediate Phase – In-Brief, Data Collection, and Debrief

The Intermediate Phase consisted of data collection by the team and a debrief for the RM. The BAT provided an in-brief to USAID on August 23, 2021 before the start of data collection on the team's initial understanding and early thoughts about available RDCS PMP IR and sub-IR baseline measurements and data, as well as potential context indicators, measures, and data in these areas and the BAT's plans for data collection.

Data collection used document review and KIIs; it relied heavily on IPs as the main or sole sources of data for performance indicators, and as the likely RM source of data collection for context indicator information.

Individual SME BAT team members and the TL conducted KIIs remotely with key informants from the lists of key USAID staff, IPs, and stakeholders identified in development of the formative study, and approved by USAID with approval of that study. KII questions focused on context and performance indicators appropriate for USAID RM staff, IP staff, and key regional stakeholders.

Document review and interviews focused on the IRs and sub-IRs in the PMP that require performance monitoring to document progress and build evidence through the indicators chosen by the RM; validity, reliability, precision, integrity, and timeliness of the data to measure these performance indicators; and feasibility of monitoring a particular outputs and outcomes, making sure that the benefits of monitoring a particular output or outcome are higher than the cost of monitoring.

The BAT provided an out-brief to USAID at the end of data collection on September 24, 2021. The debrief covered performance indicators and context indicators, measures, and data in these areas, plus potential learning questions and items for consideration for the RM's learning agenda as implementation of the RDCS continues.

Final Phase – Draft and Final Assessment Report

The Final Phase consisted of analysis and the development of the draft and final baseline assessment report by the BAT. This included collection of additional data, as some activities are new as of October 1, 2021 and other IPs needed more time and/or additional meetings to fully incorporate new M&E staff and teams into the BAT's processes and to consider and revise their own activities' AMELPs. Analysis focused on identifying measures and data that meet USAID criteria for indicators of:

- Validity: Does this indicator clearly and adequately measure the intended result?
- Integrity: Is this indicator not conducive to manipulation or transcription errors?
- Precision: Is the indicator precise enough to measure expected changes?
- Reliability: Will this indicator be collected consistently over time and across locations?
- Timeliness: Will the frequency and timing of indicator data collection be useful for management decision-making?

The BAT also considered the costs and ease of data collection in making recommendations for baseline measurements, data, and ways of collecting these data and reporting. This report proposes potential context indicators, measurements, and data, performance indicators, measurements and data, evaluation questions, and learning questions/issues for validation for the learning agenda through two methods: in the text and through the CIRS and PIRS for each indicator.

The main findings, conclusions, and recommendations section focuses on and is organized by the five distinct IRs of the RDCS and PMP and the potential indicators and data analyzed. The main sections cover each IR, starting with a few context indicators (Annex 3) for Mission consideration, with measurements and data. The next section covers the proposed measures for the PMP performance indicators (Annex 4) and provides the reasoning behind the BAT's recommendation for indicator measurements. Each IR also includes sub-sections on the evaluation questions and learning agenda based on the BAT's work.

LIMITATIONS

The BAT faced several limitations that are inherent to work on performance indicators, data identification and collection across CA, and baseline assessments. The coronavirus disease 2019 (COVID-19) pandemic was an additional limitation. Limitations, and their management, included:

- The limited number of documents and key informants directly relevant to the CAR RDCS PMP performance indicators. The detailed knowledge of the USAID/CA RM and its IPs that is relevant to understanding, discussing, and extending performance data of Mission activities is limited to USAID staff at the IR level, the IPs themselves, and RM M&E staff. The BA thus focused its work on the most relevant documents and key informants through the fieldwork.
- Limited openness of CA state organizations to data sharing and discussion, which limited potential meetings and reduced the documentary and statistical sources of data available to the BAT.
- Most RM activities under the new RDCS have been in implementation for less than two years. With implementation at an early stage, the identification of evaluation questions and learning agenda questions was challenging. In addition, the BAT did not have access to activity performance data outside of the AMELPs or quarterly and annual reports of RM activities. Nevertheless, the BAT has been able to query USAID staff, IP staff, and some stakeholders and assess the indicators used through the BA towards generating some preliminary evaluation questions and questions to support the RM's learning agenda.
- The COVID-19 pandemic resulted in the BAT conducting all its work remotely. Remote work limited the ability of the BAT members to work with the TL and each other towards the development of the assessment, as well as in developing and delivering briefings and the draft report.

3. FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS BY IR: USAID/CA RDCS PMP BASELINE ASSESSMENT

The BA presents below the findings organized as conclusions for context indicators and performance indicators for the PMP with some recommendations for revisions, evaluation questions, and learning questions for RM consideration. Text in green indicates that there are outstanding issues between the alignment of PMP IR performance indicators and the activity indicators of IPs in AMELPs. Green text is also used to suggest potential solutions for discussion between USAID and activity IPs.

IR 1.1: BARRIERS TO TRADE REDUCED

Context Indicators – IR 1.1: Barriers to Trade Reduced

The BAT developed four context indicators for RM consideration to measure the IR, or key aspects of the IR. The four different context indicators develop different ways to measure the overall context for trade with a focus on barriers or their reduction. The suspension of the World Bank's Doing Business indicators ends the availability of what has, to date, been a straightforward way to reliably measure key aspects of the contest. The alternative context indicators below are included as context indicators in the tracking sheet in Annex 2. CIRS have also been generated with detailed information for each of the four potential indicators provided in Annex 3. The brief discussion below summarizes these four sheets.

Cost incurred at a Border Crossing Point

The potential context indicator measures in a general way the monetary costs in U.S. dollars of crossing a border, which are a barrier to trade. Data from the Central Asia Regional Economic Cooperation (CAREC) Corridor Performance Measurement and Monitoring (CPMM) are used to generate the data for the indicator, which are collected and published annually by the Asian Development Bank (ADB). As there is substantial variation between the country scores, the RM should collect and analyze the scores of all five countries separately and consider whether they are declining, indicating lower costs at border points suggestive of general progress in reducing barriers to trade, or rising, showing regression and more barriers to trade. Rising costs may suggest a difficult environment for USAID activities to make progress, while declining costs may make USAID activities that promote trade facilitation and reduce barriers to trade more effective. The most recent data available for the indicator are from 2019.

Time taken to clear a Border Crossing Point

The potential context indicator measures in a general way the time costs of crossing a border, which are another barrier to trade on top of monetary cost (as measured above). Time is measured in hours. The ADB's CAREC CPMM also generates the data for this indicator annually. Again, as there is substantial variation between the country scores, the RM should collect and analyze the scores of all five countries separately and consider

whether the time for border crossing is declining, indicating lower costs at border points suggestive of general progress in reducing barriers to trade and suggestive of stronger potential for progress through USAID activities, or rising, showing regression and more barriers to trade and suggesting that USAID activities in trade may be limited in what they can achieve in an unfavorable context. The most recent data available for the indicator are from 2019.

The two indicators may be used to complement each other and together measure both the monetary and non-monetary (time) costs of border crossing.

International Logistics Performance Index (LPI)

As a landlocked, sparsely populated region, located relatively far from the centers of global growth, connectivity, both internal and external, via key infrastructure routes is essential for effective trade-led growth and trade integration in Central Asia. Although significant investments are underway, including the construction of corridors as well as upgrading of national networks, the trade in Central Asia is burdened with high trade logistics costs. Tajikistan, Uzbekistan, Kyrgyzstan, and Afghanistan are land-locked countries with no commercial access to the sea, even by river. In international transport, Tajikistan has much higher transport costs and longer transit times to major markets than its main competitors. The LPI is a summary indicator of logistics sector performance created by the International Bank for Reconstruction and Development (the World Bank [WB]) and reported as part of the World Development Indicators (WDI) annually. The LPI combines data on six core performance components for the logistics of international trade—customs, infrastructure, international shipment, logistics quality and competence, tracking and tracing, and timeliness—into a single aggregate measure. The measure captures the aggregate capacity to support the logistics needed for import and export. Measured on a 1-5 scale, the differences between the CA countries are not large so the RM may consider averaging the total. The most recent data available for the indicator are from 2018.

Trade Facilitation Performance

Trade Facilitation Score is generated through the Global Survey on Digital and Sustainable Trade Facilitation carried out every two years by the five United Nations Regional Commissions (UNRCs) and a growing number of global and regional partners. The survey Trade Facilitation Score is based on the degree of compliance of the following trade facilitation measures: 1) transparency; 2) formalities; 3) institutional arrangement and cooperation; 4) paperless trade; and 5) cross-border paperless trade. Performance is reported against a standard, with zero percent the lowest and 100 percent the highest performance of countries around the world. The most recent data available for this indicator are from 2021.

Performance Indicators – IR 1.1: Barriers to Trade Reduced

The RM has three activities to date under the RDCS in trade promotion: the Competitiveness, Trade and Jobs (CTJ) activity, which closed December 31, 2021, the Future Growth Initiative (FGI), and the Trade Central Asia (TCA) activity which started on October 1, 2021. CTJ's activities and AMELP are thus only relevant to the first year of implementation of the RDCS (2021). CTJ's revised AMELP for the last three years of

implementation noted challenges in measuring some indicators and revised them with USAID's concurrence. FGI does not focus on trade barriers; the activity is thus not reflected in the indicators that the RM will choose for this IR and sub-IRs. TCA is now developing its initial work plan for USAID approval and will then develop an AMELP. The discussion of performance indicators under this IR is limited by the limited development of TCA to date.

The RDCS proposed one standard indicator at the IR level to measure achievements across the IR, which the BAT expanded by assessing the data and potential data issues and dialogue with USAID and the RM's IPs in trade.

EG.2.1-2 Average time (in hours) to trade goods along trade corridor receiving USG assistance

The standard U.S. foreign assistance indicator proposed in the PMP measures the average time taken to trade goods in target value chains along the main, defined trade corridor receiving USG assistance from the point of origin to the destination. According to the definition of the standard indicator, the trade corridor should: 1) span at least two countries to count for this indicator; and 2) receive USG assistance in the year of reporting. The corridor may cover land or sea, or a combination of both.

TCA reports that the activity, now beginning to develop its work plan, does not plan to work on or towards strengthening or improving trade corridors. FGI, as the AMELP suggests and discussions with the team confirmed, also does not plan to work on trade corridors. Thus, the standard indicator may not be a good measure for the PMP as the RM's ongoing FGI and TCA activities under the IR are not focused on corridors. An alternative way to measure corridors could be used, and TCA plans to work with customs posts in both countries on a shared border to expedite trade across these customs posts. TCA, as it develops its activities and AMELP, could report on time to "Average time (in hours) to trade goods along trade corridor receiving USG assistance" and report on the "corridor receiving USG assistance" by reporting on the time to trade on both adjacent borders as a corridor.

The baseline at the start of TCA needs to be measured. It will be the average time identified by the activity shortly after project inception after TCA receives USAID approval for the sets of paired customs posts where the activity will focus. COVID-19 pandemic conditions now may distort the baseline somewhat.

Sub-IR 1.1.1: Customs and border procedures harmonized

The RDCS PMP proposes a single standard indicator to measure this sub-IR:

EG.2.1-1 Number of World Trade Organization Trade Facilitation Agreement provisions supported with USG assistance

The indicator proposed in the PMP is a standard U.S. foreign assistance indicator which is based on the WTO Trade Facilitation Agreement (TFA) which has three main objectives: expedite the release of goods that cross international borders; improve cooperation among customs authorities; and provide technical assistance and capacity building on customs and trade facilitation matters to countries. USG assistance may include training, technical assistance, information collection and dissemination, public-

private dialogue, hardware or information systems, the delivery of which was made possible in part or full by USG funding or in-kind assistance.

All five CA countries have been engaged in the WTO process to different extents: Kyrgyzstan, Tajikistan and Kazakhstan have been members of WTO since 1998, 2013, and 2015, respectively, while in 2019 Uzbekistan expressed a renewed commitment to join the WTO in the near future, and Turkmenistan was granted observer status in 2020 with the intention of initiating accession negotiations before 2025.

The indicator can be measured by USAID's IP through the completed CTJ Activity and the new TCA Activity that began October 1, 2021. Both activities have components addressing regional trade facilitation opportunities and supporting business in complying with regulations and requirements.

Sub-IR 1.1.2: Public/private dialogue (PPD) on regional trade and investment increased

The RDCS PMP proposes one indicator for this sub-IR to be measured and reported on by the TCA Activity.

Number of firms or organizations participating in PPD as a result of USAID assistance

PPD, defined as the act of public and private stakeholders coming together to define and analyze problems, discuss and agree on specific reforms, and then work to ensure that these ideas become a reality, is a task in the TCA work plan and will be measured by the TCA AMELP. Firm and government engagement supports economic growth, trade, and investment. It encourages better economic policies, and strengthens the institutional capacity to promote broad-based growth in the CA countries.

This public-private interaction on regional trade and investment can be encouraged by USAID activities and institutionalized to various degrees, including through investment councils advising the government; formal discussion meetings/fora bringing together civil servants and private sector stakeholders; seminars/workshops organized by donors for government officials and the business sector; and working group meetings of the National Trade Facilitation Committees in Kyrgyzstan, Tajikistan, and Uzbekistan.

This indicator is not being measured at present; but measurement can be done by the new TCA Activity. At the start of the RDCS, the baseline is zero.

The indicator can be measured through information on a "number of government agencies and private sector organizations/or people attending meetings on trade facilitation," collected from third parties.

Sub-IR 1.1.3: Cross-border firm-to-firm connectivity increased

The RDCS PMP proposes one indicator for this final sub-IR.

*Value of cross-border transactions with firms receiving U.S. assistance; **Suggest change to Number of new cross-border agreements made by firms receiving U.S. assistance***

This indicator is not being measured at present. The CTJ Activity reported challenges in collecting data on this indicator. Frequently, firms in countries of the region were unwilling to disclose data on the value of transactions which they treated as commercial secrets.

The new TCA Activity could strive to collect data on the value of transactions to measure this indicator.

The baseline measure for 2020 at the start of RDCS will be zero; under this strategy, the total value of cross-border transactions.

CTJ reported challenges in data collection for its indicator. Measuring cross-border trade is problematic. The “value” of cross-border transactions with firms receiving U.S. assistance depends largely on two main components—the volume and price of goods/services—which are not only shaped by trade barriers. This specification is not necessarily fitting to measure “Increasing of the cross-border firm-to-firm connectivity” as the value of any trade transactions and trade flows changes without any changes to connectivity between firms. CTJ revised its AMELP in its third year of implementation towards a more valid and reliable indicator. CTJ suggested the value of letters of intent.

Evaluation Questions – IR 1.1: Barriers to Trade Reduced

Producing the baseline assessment for the PMP can contribute towards future evaluation questions for evaluations of USAID activities under this IR. Considering the context with indicators and the performance indicators under the RM has implications that could be used towards evaluating RM activities in regional trade promotion (CTJ, TCA, and FGI). There is limited information on the plans of TCA to inform potential evaluation questions with project start up just beginning October 1, 2021. Potential evaluation questions for RM consideration include:

- What lessons learned from the completed CTJ activity are most relevant to reducing trade barriers across CA? How could these lessons best be supported and built on by ongoing activities TCA and FGI?
- Does gender affect trade barriers and their reduction? How? What can be learned from studying this question?

Learning Agenda – IR 1.1: Barriers to Trade Reduced

Learning agenda questions are driven by the completed CTJ Activity and by FGI. As previously stated, there is limited information on TCA relevant to the learning agenda because of its recent start up. The learning agenda is affected by the context and consideration of the context indicators. Potential learning questions include:

- Are there trade-offs between openness to international trade and the extent of trade among the five CA states? Or does progress in regional trade also support progress in international trade?
- CA states have challenges competing on world markets. As barriers fall to international trade, do the trade prospects for firms in sectors of CA countries become more rather than less challenging as they may compete with a larger set of firms from around the world to build ties and markets? Are there ways to focus on building regional connections consistent with reduced international barriers that more strongly stimulate regional markets and ties as international links also grow? How can these two sets of connections and change over time in them be measured within Central Asia?

IR 1.2: REGIONAL ENERGY MODERNIZATION INCREASED

The energy sector across Central Asia has been an area of focus for the RM since the start of USAID assistance to the countries of the region.

Context Indicators – IR 1.2: Regional Energy Modernization Increased

The BAT has developed three context indicators for RM consideration for regional energy modernization increased. The three measures capture different aspects that affect the regional environment for electricity production, trade, and modernization.

Intra- and inter-state energy trading increased (% change of kWh)

The annual percentage change in the volume of electricity traded within and between the CA countries, measured in kilowatt hours (kWh), indicates whether the extent of regional energy trading is growing. Growth in the regional energy trade is both an intended goal of RM support for regional energy modernization and encourages regional energy modernization through additional trade in electricity within and between CA countries.

Data are available from national institutions in the region. The proposed context indicator can be measured and reported on by the Power Central Asia (PCA) Activity through the MEL team.

Progress towards reconnection of the Central Asian Power System

In Soviet times, Central Asia had a robust trade in electrical energy. This trade collapsed with the fall of the Soviet Union. However, there are still incentives for CA countries to collaborate on the energy trade, which may increase and could lead to the reconnection of the regional energy market. Progress towards reconnecting the CA energy market can be measured through the number of intergovernmental meetings between CA countries related to internal and external energy trade with neighboring countries plus the number of inter-ministerial and technical level meetings between CA countries related to this trade.

The proposed context indicator can be measured and reported on by PCA.

Adjusted savings: energy depletion

As energy resources are depleted in some CA countries, importing energy is encouraged from CA countries with less depletion. Depletion thus supports an electricity trade and the development of the market which is one of the objectives of the RM's PCA Activity. Energy depletion is measured as a percentage of Gross National Income (GNI) by the World Bank as the ratio of the value of the stock of energy resources to the remaining reserve lifetime for coal, crude oil, and natural gas. The indicator can be easily monitored and reported. The modest lag in timing in data availability is not important, as adjusting to and managing energy depletion is a gradual process as the development of the infrastructure and practices of energy trading markets takes substantial time.

The proposed context indicator can be measured and reported on by PCA.

Performance Indicators – IR 1.2: Regional Energy Modernization Increased

The RDCS PMP proposes two performance indicators at the IR level in energy, where the RM has four activities: PCA, Power the Future (PTF), CAREM, and CASA-1000. The

RM decided to not include the measurement of CASA-1000 Secretariat Support project in the RDCS PMP measures. Thus, the PMP performance indicators below do not include the CASA-1000 activity. PTF ended before the start of fiscal year (FY) 2021 at the end of May 2022.

Number of technological solutions or new management practices applied because of U.S. assistance

The first indicator proposed for the IR in the PMP can be measured by USAID's IPs in Regional Energy Modernization (REM), Tetra Tech under the PCA, PTF, and CAREM activities. **This indicator is not measured at present in the PCA AMELP or under PTF or CAREM.** PCA noted that the activity could provide these data, which are part of the activity's workstream in REM that supports the development and use of new tools and processes. PTF and CAREM interviews noted that they could extend the way their M&E staff monitor other performance indicators of these projects in order to report relevant data on the application of new solutions and management practices by their partners and grantees.

To measure this PMP indicator, the IP can consider measuring the number of discrete tools and processes that are applied across the region with the support of PCA and CAREM. Each tool can be counted only once regardless of the number of time and institutions that adopt this solution or management practice. The PTF AMELP includes indicator 4, "Number of tools, approaches, methodologies, models and systems *developed* for improved renewable energy (RE) and energy efficiency (EE) planning and operation" that can be monitored after their development towards measuring this indicator as they or if they are implemented. This can contribute to measuring the PMP indicator. Similarly, CAREM has an indicator "Number of tools (e.g., models, concepts, analyses, methodologies, etc.) developed in support of the creation of a regional electricity market as supported by USAID" that could be followed up on by CAREM to collect data and report on the number of times these tools are used. USAID could task the IP with aggregating PTF, CAREM, and PCA as all three activities are implemented by Tetra Tech. Alternatively, the RM could sum these solutions and new management practices. In either case, each solution/new management practice should be counted only once. Once applied, each solution/management practice is recorded as a one and the rater moves on to the next solution/management practice.

The baseline measure at the start of the PMP implementation for this RDCS in 2020 will be zero (notwithstanding the fact that USAID has had substantial experience under prior activities and the last RDCS in this area).

Number of beneficiaries with improved energy services due to USG assistance

The measurement of the second IR-level indicator again depends on M&E through IPs, who could report on the number of beneficiaries they reach with improved energy services. **This indicator is not measured at present in the PCA or CAREM AMELPs nor is it measured by PTF.** PCA noted that the activity could provide these data, which are part of the activity's workstream in REM.

PTF, PCA, and CAREM measurements that focus on the number of institutions with improved REM capacity that benefited from PTF, PCA and CAREM-developed or

improved tools and technical solutions can be used to estimate the number of beneficiaries of these institutions which can then be aggregated by USAID to report on all achievements for 2021. The baseline at the start of the RDCS will be zero from 2020. For example, support to implement a smart water system in a city can be estimated and measured as reaching the whole population of the city.

The RDCS PMP proposes three sub-IRs under this IR.

Sub-IR 1.2.1: Targeted, harmonized market liberalization policy reforms across the region adopted

E.G.7.3-1: Number of laws, policies, regulations, or standards to enhance energy sector governance formally proposed, adopted, or implemented as supported by USG assistance

A common indicator is proposed for this sub-IR. Energy plans or strategies and other nationally significant measures may be reported under this indicator which is measured by PCA as a key objective of the activity in its AMELP as Indicator 1A. Measures reported on may include sector specific or provincial plans, strategies, policies, or industrial standards which, if successfully implemented, could have a significant impact on the country's energy sector. Progress as measures advance may be properly counted more than once as measures advance through stages: "Formally proposed," "Adopted," and "Implemented." PCA indicator narratives should include an explanation of the stage of each measure as reported.

PCA will report the 2021 baseline for this indicator with its first annual report, now in preparation as the fiscal year ended September 30, 2021.

Sub-IR 1.2.2: Regional private investment in clean energy increased

EG.7.2-1: Amount of investment mobilized (in USD) for clean energy as supported by USG assistance

The RM has proposed another common indicator to measure this sub-IR. According to the standard indicator's measurement, finance may be mobilized from the public sector (e.g., other governments or public multilateral entities) or private sector (e.g., corporate investments) and should help to advance the objectives established by the USG-supported program. USG funding itself for clean energy should not be counted under this indicator. However, the sub-IR itself as designed focuses only on private investment, only one type of investment, from domestic and international sources. **This indicator thus does not precisely measure the PMP sub-IR.**

The PCA AMELP notes that mobilized finance reported under this standard indicator should be disaggregated as domestic or international. Domestic finance is investment which originated within the country in which it is implemented (e.g., national government funds to support implementation of a project within that country) and international finance is cross-border finance (e.g., a private company based in one country contributing funds for a project in a different country). Finance can be mobilized through a variety of instruments and vehicles, including common funding instruments, parallel investments, or in-kind support, all of which need to be monitored and data collected by PCA.

At the end of the first year of the activity, PCA should now be gathering data to report on this indicator as part of its annual report. These 2021 data can serve as the baseline data for the RDCS PMP.

The RM should decide whether to:

- Report on the standard indicator, with the indicator disaggregated and reported on under the overall standard indicator as private national and international investment in clean energy in the region to accurately reflect the goal of the sub-IR Regional private investment;
- Change the indicator to only report on a custom indicator—private national and international investment in clean energy in the region; or
- Change Sub-IR 1.2.2 to: Regional **public and** private investment in clean energy increased, which accurately fits the standard indicator by including public investment.

Sub-IR 1.2.3: Regional electricity-market established and functional

The PMP proposes one indicator under this IR.

Number of agreements on cross-border or regional energy trade proposed, signed, or implemented with U.S. assistance

Energy plans or strategies and other nationally significant measures may be reported under this indicator. Nationally significant measures may include sector specific or provincial plans, strategies, policies, or industrial standards which, if successfully implemented, could have a significant impact on the country's energy sector. "Proposed" means that a relevant government official or agency, organization, or non-governmental entity with decision-making authority has proposed the measure. One example of a non-governmental entity could be a standard-setting body for a profession or industry. "Adopted" means officially codified or enacted by a government, organization, or non-governmental entity with decision-making authority in its respective legal, regulatory, policy, or non-governmental system. "Implemented" means that a measure is in force or being executed in the intended geographic locations and at the intended administrative levels. Each measure can be counted once as "proposed," once as "adopted," and once as "implemented," if applicable, within the same reporting period or across multiple reporting periods. The indicator narrative should disaggregate based on these stages. Legal, regulatory, and policy reform and new industry standards that enhance sector governance may include such measures that, for example, protect consumer interests, enhance transparency, attract private sector investment, and stimulate more efficient and competitive markets.

This indicator is not measured at present; under PCA Objective 3, Regional Electricity Market Established and Functional, PCA has in its AMELP a measure that instead assesses the growth of energy trading across borders since the start of the activity towards this objective. The proposed indicator from the PCA AMELP is "Intra- and inter-state energy trading increased, measured in percent of kilowatt hours (% kWh) since PCA inception."

The RM should consider whether PCA should make the PMP indicator part of its AMELP, or whether instead the PMP indicator should be changed to reflect achievements in

electricity trading within and across borders instead as in the PCA AMELP's "Intra- and inter-state energy trading increased (% kWh) since PCA inception."

Either formulation poses challenges of attribution. Number of agreements requires monitoring of PCA's role in assisting these agreements as well as the agreements themselves. Increased %kWh does not attempt to measure whether and how PCA contributed to any increase, as it is recognized that many factors drive incentives and increase in the regional electricity trade in Central Asia.

Evaluation Questions – IR 1.2: Regional Energy Modernization Increased

Producing the baseline assessment for the PMP can contribute towards future evaluation questions for evaluations of USAID activities under this IR. Considering the context with indicators and the performance indicators under the RM has implications that could be used towards evaluating the RM's activities in the energy sector. Potential evaluation questions for consideration in evaluating the energy portfolio include:

- What lessons and results of implementing PTF in Kazakhstan may resonate and have traction with the other CA states?
- What lessons and results of implementing PTF in Tajikistan may resonate and have traction with the other CA states?
- How has the RM's activities in Central Asia engaged with and addressed gender issues?

Learning Agenda – IR 1.2: Regional Energy Modernization Increased

The RDCS, PMP, and the team's experience developing the BA suggest some learning agenda questions for RM consideration.

- How is changing energy market demand in the region affecting regional energy modernization? Energy demand is not static but instead is dynamic. How have the economic stresses of the COVID-19 pandemic affected the demand for energy, and clean energy in particular. How have changes in the costs of RE affected the demand for REM? Have these trends affected EE efforts in the region and REM?
- What are the main barriers to increasing regional energy linkages between CA countries? How can these barriers be overcome?

Central Asia still has substantial challenges in connecting the grids and markets of what used to be a common energy space in the Soviet period. Now, 30 years after independence, what are the main obstacles to increasing integration in energy? How does Afghanistan and governance by the Taliban fit in with regional energy modernization in Central Asia?

- How can activities support engagement and interaction between the technical **and** political levels in CA states to increase REM?

Interviews noted that there are sometimes different perspectives on REM between technical specialists in REM, who may support more integration in the region's electricity system and markets, and the political level which leads ministries and other key institutions that are more reticent to linking energy infrastructure and markets across borders. Are there strategies that could be implemented in RM activities to integrate these different levels of decisionmakers to support REM?

IR 1.3: TRANSBOUNDARY COOPERATION ON WATER AND ENVIRONMENT IMPROVED

Improved water resource management is critical to achieving USAID's goal of increasing availability and sustainable management of shared water resources for the underserved and most vulnerable across Central Asia. The RM has one activity under this IR, the Regional Water and Vulnerable Environment (WAVE) Activity, which developed an AMELP in 2020 and was in the process of revising indicators and their AMELP during the BAT fieldwork and report drafting.

Context Indicators – IR 1.3: Transboundary Cooperation on Water and Environment Improved

Potential context indicators for this IR suggested by USAID, WAVE, and the BAT include the following.

Growth of the use of other donor-supported new technologies or new management practices in water management

WAVE suggested that the activity could measure as a context indicator the annual change in the number of technologies or new management practices in water management used in the region as result of the activities of other donor agencies. This indicator would count the number of water energy, food, and environment (WEFE) technologies or new management practices that are applied that are associated with assistance from donors other than USAID and compare the growth in the number of these technologies/management practices reported by donors over a year period. It is plausible that growth in the use of new technologies of management practices that are driven by other donor support either reduces the use of WAVE-supported practices/technologies or alternatively encourages more adoption of new technologies/tools through WAVE

This indicator would require a significant level of effort from the WAVE MEL manager. Baseline data for this indicator which would be the annual change (by country and average across Central Asia) between 2019 and 2020. At present, this baseline data has not been collected by WAVE. WAVE could test the feasibility of this indicator ahead of its potential adoption by collecting this baseline.

Number of international meetings/engagements of political leaders on water and environment (Ministers and above)

A more easily measurable indicator for the overall political context for transboundary cooperation on water and the environment in Central Asia are high-level meetings between CA leaders at the ministerial level and above on water and/or the environment. A leader of a country or national ministry meeting internationally where press coverage indicates the subject matter includes water or the environment counts as 1; if it is a bilateral meeting of CA states, it counts as 2; and a regional meeting as 5. This indicator could be tracked and reported on by WAVE through the MEL manager, disaggregated by the country. WAVE could test the feasibility and management burden of this context indicator by a test collection of baseline data for 2020. Indicator measurement needs to identify sufficient numbers of meetings to assess developing trends in regional and bilateral cooperation in this area.

Available freshwater per capita

WAVE can compile or calculate available fresh water (m³/capita) by country through the Interstate Coordination Water Commission (ICWC) and other resources. Water scarcity and increasing water stress may promote or inhibit transboundary cooperation on water and the environment in CA.

The indicator can easily be calculated by WAVE's MEL manager.

Performance Indicators – IR 1.3: Transboundary Cooperation on Water and Environment Improved

The RDCS PMP proposed two IR-level indicators in the area of water and the environment, and then three sub-IRs with indicators below them. Five indicators are thus used to measure RDCS performance across IR 1.3 through the PMP.

HL.8.5-1 Number of people benefiting from the adoption and implementation of measures to improve water resources management as a result of USG assistance.

The IR-level indicator is thus a standard indicator. Progress on this indicator is designed to demonstrate how water resource management improvements can have large numbers of varied beneficiaries.

WAVE prefers to measure a more detailed indicator on Science, Technology, and Innovation Policy (STIP) and WEFE as more accurately reflecting the work plan, “Number of individuals who applied WEFE-related STIP activities and/or management practices as a result of USG assistance,” and report on this indicator towards the standard indicator. This WAVE indicator was included in the WAVE AMELP as Indicator 1.2. These beneficiaries of WAVE certainly fit in the definition of the common indicator. *The RM should consider and decide if this proposed WAVE specification meets USAID's needs, or if instead a more expansive definition of people benefiting is better for the RM as the number of beneficiaries under common M&E techniques that estimate beneficiaries based on the use of USAID-supported infrastructure or process changes for towns, districts, cities, and even whole countries. The measurement of the indicator for the PMP thus still needs agreement between the RM and IP and approval by USAID for finalization and use.*

Under either specification, the baseline for this RDCS indicator at the start of WAVE implementation in 2020 is zero.

Number of joint actions developed and implemented by regional and national bodies as a result of U.S. assistance to foster transboundary cooperation on water and environment

The second IR-level indicator can be measured by WAVE, which plans to track the number of government joint initiatives relating with WEFE processes developed or improved with USAID support (laws, policies, regulations or standards addressing WEFE and IWRM related issues adopted or implemented). The WAVE IP has not yet developed precise methods and procedures for doing so. *Thus this indicator and its measurement still needs support and development by the regional mission and IPs for finalization and use.*

Sub-IR 1.3.1: Trans-boundary water governance increased

The RDCS PMP proposes one indicator to measure this sub-IR.

Number of technologies or new management practices applied as a result of U.S. assistance

This indicator was included in the WAVE AMELP as Activity Performance Indicator 2.3b. The indicator counts the number of WEFE technologies or new management practices related to STIP that are being applied in the region at any point during the reporting period. Illustrative technologies and new management practices include: water flow and water quality monitoring; soil moisture monitoring; evapotranspiration monitoring; environmental flow assessment; pollution/soil salinity monitoring; watershed health monitoring; land and aquatic ecosystem monitoring; improved irrigation systems operations; energy monitoring/savings; and disaster risk and reduction.

WAVE proposes to collect data through the review of activity reports/records, post-event forms, and monitoring field visits as well as through representative sample surveys in each country. Surveys of professionals in water governance can measure the use and spread of tools applied through WAVE to more than just the participants in WAVE activities for whom data exist in activity records. WAVE can thus report on adoption by direct beneficiaries as well as by indirect beneficiaries reached through the survey.

WAVE should consider reporting on application of these new technologies or new management practices by direct and indirect beneficiaries as well as by country.

Sub-IR 1.3.2: Regional professional capacities and networks strengthened

The RDCS PMP proposes a single indicator to measure this sub-IR in water and the environment.

Number of organizations/entities that have incorporated improved curricula, tools, and capacities in their programs as a result of USG assistance.

This indicator measures the number of institutions that have incorporated improved curricula, tools and other improvements in their program related to integrated water resources management (IWRM) and the economic value of the WEFE nexus. It will include the number of institutions that have incorporated new/improved training modules; training of trainers; formal/informal training programs; partnerships/exchanges (regionally or internationally); equipment; tools; and private sector partnerships on specific topics. This indicator measures the number of individuals who receive short-term training and degree-granting programs in IWRM and WEFE nexus issues supported by WAVE.

The indicator will track individuals who have received training from regional institutions such as the ICWC and Interstate Commission on Sustainable Development, national ministries, retraining centers, NGOs, CSOs, private sector, or directly from Tetra Tech and partners.

The indicator counts the individuals from WEFE-related areas including:

- Government/practitioners (e.g., policymakers, extension workers/specialists etc.)
- Civil society activists (e.g., NGO staff and academic researchers)

Sub-IR 1.3.3: Regional cooperation on WEFE nexus enhanced

USAID/CAR proposes a single indicator to measure this sub-IR as well in the RDCS PMP.

Number of joint actions as a result of WEFEnexus analyses developed and socialized by local stakeholders together from two or more countries with USG support

This indicator was included in the WAVE AMELP as Performance Indicator 1.1. It measures stakeholder engagement in the activity's knowledge management and learning, collaborating, learning, and adapting (CLA)-like, approach, specifically by counting events or meetings that result in disseminating practical applications and lessons learned. This indicator counts all sessions or meetings that share knowledge and learning generated by the activity (e.g., stakeholder dialogues, sharing of analytical findings of activity assessments to define solutions and action plans; sharing and structured dialogue around the RDCS scenarios; sharing of hydro-economic analyses; etc.) and the Community of Practice (e.g., development of the action research and learning agenda and sharing lessons-learned based on practice).

This indicator measures capacity development efforts and improved organizational performance and sustainability of the targeted Small Basin Councils (SBCs) formed under the Smart Waters project (plus one SBC that was established under a GIZ project that was selected for its potential for contributing to our objective of demonstrating the value and success of SBCs). While this indicator has an explicit quantitative dimension (number), implicitly it also has a qualitative aspect (sustained and linked).

Evaluation Questions – IR 1.3: Transboundary Cooperation on Water and Environment Improved

Producing the BA for the PMP can contribute towards future evaluation questions for evaluations of USAID activities under this IR. Considering the context with indicators and the performance indicators of the PMP has implications that could be used towards evaluating the WAVE Activity even though it is one year into implementation. Potential evaluation questions for RM consideration include:

- Does human and institutional capacity building support provided through WAVE to key IWRM and WEFEnexus actors in the region contribute to strengthening and sustaining national and regional institutions that operate across borders in these areas? How?
- What methodologies has WAVE found that strongly support the adoption of new tools and management techniques under what conditions in CA national and regional institutions? Are there other techniques that have not been as effective in supporting the use of new tools and processes?

Learning Agenda – IR 1.3: Transboundary Cooperation on Water and Environment Improved

The BA has focused on context indicators and performance indicators for IR 1.3. Nevertheless, the BAT can still suggest some potential learning agenda questions that may be emerging a year into the implementation of the RDCS. Key potential learning agenda questions for RM consideration include:

- What factors shape the relative effectiveness of different regional coordination mechanisms in IWRM and WEFEnexus in Central Asia?

- How do regional coordination mechanisms vary in how they manage WEFE nexus issues? What makes some mechanisms more effective in addressing these issues than others? Does jurisdiction shopping, efforts by stakeholders to identify the most promising avenues for achieving interests, demonstrate the relative efficiency of some regional mechanisms?
- What are the main obstacles to the harmonization of legislation in transboundary cooperation on water and the environment—and what opportunities are more or less promising towards addressing these obstacles?
- Some of the challenges of the CA region in WEFE are longstanding despite substantial effort from international organizations and bilateral donors to change legislation and practices. Why have changes in the area been challenging in legal reform? What can be done under what conditions to accelerate reform?
- What have been the main results to date in the WEFE nexus from the harmonization of legislation in Central Asia?
- Evidence that legal changes support progress in the WEFE nexus in the CA region can support further legal change. What is the evidence for on-the-ground results from changing national legislation to fit regional and international norms and agreements? How are international agreements used to revise national legislation and regulations in WEFE in Central Asia?

IR 2.1: CENTRAL ASIAN COOPERATION ON ADDRESSING TRAFFICKING IN PERSONS STRENGTHENED

Context Indicators – IR 2.1: Central Asian Cooperation on Addressing Trafficking in Persons Strengthened

Potential context indicators that could be used to measure and monitor the broader environment across the region for countering trafficking in persons (CTIP)—not the performance of USAID activities in the region but aspects of the region itself that shape CTIP include CA country rankings on the DOS' annual TIP Report and the Global Organized Crime Index's (OCINDEX) TIP Index. Baseline research conducted by the Safe Migration in Central Asia Activity (SMICA) on TIP in the CA states was not made available to the BAT but may also provide data and information that could be used towards one or more context indicators.

Trafficking in Persons (TIP) Report Tier Ranking

The most prominent general measure of efforts to combat trafficking is the DOS' annual TIP Report. The tier ranking measure assesses the country-level achievements against trafficking, which also reflect the effects of any regional cooperation on countries. The ranking system has three tiers based on research done by the DOS, with Tier 1 complying with legal standards set by U.S. law on CTIP, Tier 2 where governments do not fully comply with all of the Trafficking Victims Protection Act (TVPA) minimum standards but are making significant efforts to bring themselves into compliance, and Tier 3, where governments do not fully comply with the minimum standards and are not making significant efforts to do so. The RM or IP can assess the tier status annually through the

public annual report as an overall aggregate measure of country level achievements against trafficking.

Global Organized Crime Human Trafficking and Human Smuggling Indices

An international non-profit effort, the Global Initiative against Transnational Organized Crime, has produced the first of what are planned as biennial measures of criminal markets and other factors in organized crime with support from the DOS and others. The Global Initiative notes that human trafficking is the most prevalent criminal market in the world, followed closely by human smuggling. The suggested measure for TIP combines two subcomponent indices from the report, Human Trafficking and Human Smuggling.). This measure as constructed is about the characteristics of the problem of TIP. As a context, if the problem of TIP is worsening, this may suggest that cooperation on addressing TIP is not increasing, suggesting that strengthening as in the IR is more difficult. The index and its component measures originated as a regional pilot in the Africa region; the first global report was released in 2021. The scope of the work and methodology suggest that it is planned for repetition in 2023, but a repeat of the index or its component may depend on future funding. No information is available about 2022 or 2023 plans or funding.

Performance Indicators – IR 2.1: Central Asian Cooperation on Addressing Trafficking in Persons Strengthened

The RDCS PMP proposes two IR-level indicators in this area.

Number of regional CTIP agreements developed or adopted by CA states to safely facilitate necessary migration and combat TIP at the regional level

The indicator as proposed in the PMP would measure the level of interaction between CA countries supporting illegal migration and CTIP, an illegal type of migration. The RM's IP in TIP, Winrock International, has an indicator in the SMICA AMELP that more precisely measures project support to strengthen or get the adoption of regional CTIP agreements as well as bilateral agreements. Under the AMELP, SMICA's own IR, Number of bilateral or multilateral agreements adopted, implemented, or strengthened by Central Asian Republics to promote safe migration and effectively prosecute and combat TIP developed with the Safe Migration in Central Asia project assistance, does not provide comprehensive coverage sufficient to measure the indicator. SMICA's indicator would not capture regional agreements developed or adopted that did not benefit from programmatic assistance.

The indicator in the PMP could be measured through SMICA monitoring of migration and CTIP agreements across the region; this broader measurement moves away from performance monitoring, as focused on gathering and reporting on progress made without RM support.

This indicator and its measurement still need support and development by the RM and IP for finalization and use. USAID should consider revising the PMP indicator modestly by adding “through USAID assistance” to strictly measure performance. SMICA agrees. SMICA's AMELP and indicator Number of bilateral or multilateral agreements adopted, implemented, or strengthened by Central Asian Republics to promote safe migration and effectively prosecute and combat TIP developed with the Safe Migration in

Central Asia project assistance” would thus serve to measure the PMP. As long as SMICA remains the RM’s sole CTIP activity, the PMP would capture the performance of the RM in this area of CTIP comprehensively through the SMICA indicator.

Alternatively, as less accurate in measuring performance, the RM could add tracking regional bilateral or multilateral agreements to SMICA’s work plan, which could then be used to report on progress in CTIP in these bilateral or multilateral agreements whether or not USAID assistance contributed to their adoption, implementation, or strengthening.

PS.5.1 Number of victims of TIP receiving services with USG assistance

RM performance on this common indicator is measured by USAID SMICA IP Winrock International as the sole RM source of support for TIP victim services through direct provision as well as through sub-grantees. SMICA, under the activity’s IR 3.2: “Improved availability, quality, and access to victim services, measures the number of victims receiving services (medical, repatriation, legal, transportation, etc.).”

SMICA’s M&E Specialist works with SMICA Country Coordinators to gather and report activity data on the assistance provided to victims of trafficking; targets are set in the AMELP for SMICA. For the PMP, disaggregation by gender and country would be appropriate. SMICA’s AMELP notes that the activity plans to disaggregate these data in additional ways that are not needed by the PMP but may be useful for USAID and IP management.

Sub-IR 2.1.1: Capacity of all migration and CTIP stakeholders to coordinate efforts on safe migration increased

Percentage of service providers (that received training, technical assistance, or capacity building in victim-centered and trauma-informed services) with improved performance.

The indicator under Sub-IR 2.1.1 is designed to measure improved performance of professional service providers that receive training, technical assistance, or capacity building in CTIP. This indicator is not being measured at present. **This indicator and its measurement still need support and development by the RM and IPs for finalization and use.**

USAID supported the development of national referral mechanisms through the regional strategy for 2015-2020. In some countries, like Kyrgyzstan and Tajikistan governments issued separate decrees regulating their national referral mechanisms, while countries like Kazakhstan and Uzbekistan amended their current laws and regulations with additional provisions, establishing the framework for those mechanisms. SMICA now delivers training, technical assistance, or capacity building in victim-centered and trauma-informed services to service providers in order to improve the quality of services to victims. The SMICA AMELP’s sub-IR3.2, “Improved availability, quality, and access to victim services” uses Indicator 3.2.1 in the AMELP to report data on achievements. This indicator however only provides data on the number of service providers that receive training, technical assistance, or capacity building in victim-centered and trauma-informed services.

Additional data collection is needed to assess the extent to which service providers provide better service after receiving this USAID support. To do so at a reasonable level of effort and cost, the RM can collect self-assessments from the service providers that

received support about whether their performance in delivering victim-centered and trauma-informed services has improved some period after receiving support. While self-reported views are less valid than measures that provide some objective standard of how training has improved provider performance, collecting this level of detail may be more costly than needed. Professional service providers in the area of victim-centered and trauma-informed services are expected to be sufficiently professional to report with integrity on whether their performance has improved in the wake of training.

IP understanding was that this was intended as a CBLD-9 indicator of local capacity of organizations not individuals trained. If IP understanding is correct, SMICA would need to work with each organization on a performance improvement plan against which the organization can assess its improvement. This is being piloted now with one organization in Kyrgyzstan.

Sub-IR 2.1.2: Regional information and evidence sharing enhanced

A single indicator in the PMP measures this sub-IR through a standard indicator.

PS.5.3 Percent change of target population that shows an awareness of TIP, disaggregated by sex and age

Although awareness raising has been one of the key CTIP activities to reach beneficiaries, levels of awareness are often still insufficient to prevent TIP among key target populations in Central Asia.

Effectively measuring this indicator is a challenge. The SMICA AMELP includes Indicator 5, “Number of at-risk individuals, trafficked persons, or existing migrants reached through targeted public awareness, outreach materials, or training related to safe and responsible migration.” SMICA could survey these beneficiaries after SMICA information provision to measure the percentage that report they now know more about TIP.

This indicator is not measured at present. The indicator and its measurement still need support and development by the RM and IPs for finalization and use. USAID and its IP should decide whether to measure this indicator through surveys, or by defining the “target” population as the people directly reached by training through the SMICA AMELP indicator, “Percent of at-risk persons who demonstrate improved knowledge, skills, and practices to migrate safely in source, transit, and destination countries.

A survey would require significant financial resources to do after each awareness event (with 1000s or 10,000s or more of people reached) or even repeated general surveys of target communities/populations at regular intervals.

Or the RM could report the number of people reached with training and information to assessing and then the proportion of those reached that are more aware of TIP in key populations, defining key populations as those reached with training. This specification does not extend to whether being more aware of the risks of trafficking reduces the incidence of trafficking—an additional methodologically complicated step.

Sub-IR 2.1.3: Legal frameworks in CA countries harmonized across the region

A single standard indicator is proposed in the PMP to measure this sub-IR.

PS.5.2-23 Number of CTIP policies, laws, or international agreements developed or strengthened in CA countries with U.S. assistance

SMICA, through the indicator to measure the activity's Sub-IR 1.1, "Number of anti-TIP policies, laws, or international agreements developed or strengthened," collects the data to measure and report on this standard indicator. Although the language of the activity's indicator differs from that of the standard indicator, there are no substantive differences in the two indicators.

SMICA however does not have a clear system explained for how the activity will collect these data to report on the indicator in a rigorous fashion that uses the same procedures and processes for each year of implementation. **USAID should work closely with SMICA to determine how the activity can systematically monitor the influence of its support for changes in the legal framework against trafficking on developing or strengthening the policies, laws, and international agreements in CTIP in the region and in the countries of the region.**

Evaluation Questions – IR 2.1: Central Asian Cooperation on Addressing Trafficking in Persons Strengthened

Producing the baseline assessment for the PMP can contribute towards future evaluation questions for evaluations of USAID activities under this IR. Considering the context with indicators and the performance indicators under the RM has implications that could be considered towards evaluating the SMICA Activity. Evaluation questions should also be influenced by the work plans, reports, and AMELPs of RM activities. Potential evaluation questions include:

- What are more and less effective approaches to raising awareness of legal migration and the risks of trafficking among key population groups in the region?

The variation in trafficking and propensities to being trafficked remain key questions across Central Asia. Now past patterns may change with COVID-19. What are current patterns and emerging trends in TIP across Central Asia?

- How can USAID CTIP partners develop relationships with law enforcement and other state actors and collaborate effectively with them on CTIP?

U.S. law prohibits USAID-funded activities from working directly with law enforcement actors in CTIP. Law enforcement actors in CA states are central in combating TIP.

IP understanding is that the prohibition is on law enforcement actors - not CTIP actors (which may include local government officials, frontline officers in health, education, social services, labor inspectors, judiciary, ombudsmen, parliamentarians, etc.) Are there ways that networking with key state actors can be done by USAID partners or ways that this has already been done? What are the results of these engagements in CTIP?

Learning Agenda – IR 2.1: Central Asian Cooperation on Addressing Trafficking in Persons Strengthened

USAID and its IPs and partners have been working to counter TIP in Central Asia for many years and have made substantial progress in this area. Yet in the region, as in other

parts of the world, while institutional frameworks have been developed and improved, awareness has risen of the issues of illegal migration and trafficking, and individual victims of trafficking have been supported, TIP remains an issue with many people becoming new victims of trafficking in each country of the region annually. The current situation in light of USAID experience raises potential questions that could be assessed as part of the RM's learning agenda. Potential learning agenda questions in CTIP include:

- What are the most important obstacles limiting effective cooperation and cohesive and coordinated regional and bilateral responses on legal migration and CTIP? How might USAID contribute to addressing these obstacles?

Key areas to assess within obstacles include gaps in international and regional accords as well as national legislation plus the regional and national institutions in migration, law enforcement, and social service delivery to victims. How can regional engagement help strengthen the approaches of CA states on CTIP?

- Are there opportunities—and what are the opportunities—to build regional connections to more effectively support legal migration and CTIP? How might USAID contribute to using these opportunities?
- Key areas to assess within opportunities include international and regional accords and how they fit with national legislation plus whether and where there are opportunities to build capacity in regional and national institutions in migration, law enforcement, and social service delivery to victims.

IR 2.2: ABILITY OF CENTRAL ASIAN ACTORS TO REDUCE VIOLENT EXTREMISM RISKS STRENGTHENED

Context Indicators – IR 2.2: Ability of Central Asian Actors to Reduce Violent Extremism Risks Strengthened

Potential context indicators in CVE for RM consideration that could be used to measure and monitor the broader environment across the region for CVE capacity are challenging. As in the other IRs, context indicators represent and measure aspects of the region itself that shape CVE and are thus expected to also affect the performance of USAID activities in the region on CVE which are measured through performance indicators.

Since the IR focuses on the ability of CA actors to counter VE, the context indicator can endeavor to measure the overall aggregate ability of social and state forces to prevent, deter, and counter VE. One insight in this regard would be to assess the extent and change of overall regional cooperation on CVE—whether this cooperation is affected by USAID's programming or not. Another possible avenue would be to consider the ability of national actors in the five CA states to reduce VE risks and add them together. National actors might be in government, from which data collection and measurement could be more challenging, as well as in civil society, where the engagement with CSOs is a focus of the RM's current activity, USAID Central Asia Support for Stable Societies (CASSS) and is measured by performance indicators as discussed below.

Challenges in considering context indicators for this IR and area include the sensitive nature of the subject of VE for the states of the region and civil society within these countries. This sensitivity may discourage their engagement in the area. Furthermore, it

may also discourage open access to data on their engagement against VE, as well as whether this engagement has strengthened their ability to reduce VE.

The BAT proposes a context indicator of **Change in Ability of Central Asian States and Societies to Reduce VE Risks** for the IR. The CIRS develops this indicator with precision and avoids some of the sensitivities of actors within the region about VE by relying on an independent U.S. organization for data. The rationale for this context indicator is that key drivers that lead people to turn to VE are thought to include government restrictions on religious freedom and the extent to which societies are restrictive of religious freedom, including through support for VE (violent extremism is itself a way of limiting religious freedom). A reliable, valid composite indicator for this concept exists and is measured by Pew annually with data that lag two years behind. The way the two indices can work together are, for example, by capturing hate crimes, mob violence and sectarian fighting that occur in the aftermath of a terrorist attack or in the context of a religion-related conflict would be counted in the Social Hostilities Index (SHI), and laws or policies that clearly discriminate against any particular religious group would be registered on the Government Restrictions Index (GRI). Both of these types of events, we expect, increase the risks that some people will turn to VE. Both these events would increase scores on the respective index that measures it, demonstrating rising VE risks at the country level and, when averaged, at the regional level. The measure adds together the ability of states (measured in the GRI) and societies (measured in the SHI) to capture both effects in a single composite measure.

The data for the proposed indicator are independently determined by a prominent independent research institution, the Pew Forum and measured annually.

Performance Indicators – IR 2.2: Ability of Central Asian Actors to Reduce Violent Extremism Risks Strengthened

The PMP proposes seven performance indicators in this area. At the time of the BA, the RM has one CVE activity, CASSS. CASSS was designed by USAID and is implemented by DAI as a 42-month initiative to pilot a public health approach to 1) identify risk and protective factors to VE and 2) design effective interventions that reduce risk and increase the resilience of individuals and communities to VE. This design and time frame, with planned closure at the end of March 2022—only a year and a half into the RDCS timeframe—poses challenges for the identification, measurement, and data to measure the IR and sub-IR performance indicators chosen by the RM in the PMP for the five-year strategy period. CASSS reports submitting a proposed cost extension to the RM in September 2020. A proposed cost extension to CASSS would extend the activity if approved by USAID some additional months. If the cost extension is accepted by USAID, CASSS will revise the AMELP to fit the activities under the extension and could revise indicators and measurements to better fit RDCS PMP IR 2.2 indicators. The question of what and how to measure through the activity towards the PMP performance indicators in the remaining years of the strategy remains open.

The RDCS PMP proposes two **IR-level indicators**.

PS.1.2-1 Number of projects directly related to U.S. preventing and countering violent extremism (PCVE) objectives implemented in Central Asia by civil society and partner groups

PS.1.2-1 is a common U.S. foreign assistance indicator measured under CASSS. After CASSS, it could be measured under a future RM activity with an IP to be determined (TBD). The CASSS AMELP and discussions with the IP clarified that the indicator is being measured at present through CASSS. As a performance indicator, PS.1.2.1 is designed to measure USG, in this case USAID, funded projects on PCVE. CASSS measures the discrete projects implemented with the technical and/or financial support of the activity through the CASSS AMELP. Indicator 3.1.1 in the AMELP, “Number of pilot interventions implemented,” counts the number of discrete projects by grantees, sub-grantees, and organizations that receive technical assistance or otherwise partner with CASSS in the area of PCVE.

Potential terms to clarify with this indicator include “Directly related” and criteria for whether a project has “PCVE objectives.” However, with CASSS objectives only CVE, all CASSS activities, funding, and technical go towards PCVE objectives. Thus, the definition of the term is not a challenge. Criteria for “project” and “partner” can be specified. Project can be defined as a discrete organization working a geographic site or thematic area through one financial arrangement with CASSS or an organization that receives CASSS technical assistance towards one geographic or thematic area in PCVE.

The baseline measure at the start of PMP implementation at the end of 2020 for this RDCS will be zero (notwithstanding the fact that USAID has had substantial experience under prior activities and the last RDCS in the area of PCVE).

Percentage of CA actors surveyed who report using tools and processes developed or improved with USAID support

This indicator is not being measured at present. The RM through the CASSS activity has, to date, contributed to knowledge through research, that it anticipates acting on through the next regional CVE activity. This activity TBD may also retain an emphasis on developing tools and processes for CVE—and extend measurement to the use of these tools. The indicator can thus work with CASSS measurements that focus on the use of CASSS-developed or improved tools as well as under any future CVE activity, which might utilize and support the continued sharing of CASSS-developed tools as well as develop and spread the use of new tools and processes.

The baseline at the start of the RDCS will be zero. The baseline at the start of any new activity will be the percentage already reached through CASSS.

Terms to examine with this indicator include the definitions of use, tools, and processes, as well as how to determine that they were developed or improved with USAID support.

USAID will need to determine the population of relevant actors that are the denominator for determining the percentage surveyed that use these CVE tools/processes. This will require that CASSS and a future IP in this area assess the relevant universe of groups that they target for the use these tools and processes, as well as the number of these that actually do use these tools and processes. The relevant universe of actors that are CVE partners may need to be expanded if and when CASSS or any next activity expand to reach additional partners, which would change both the numerator and the denominator used to calculate the measurement of this indicator when done. This would be appropriate and indicate that USAID partners were reaching out to more CA actors even though that

might reduce the percentage (particularly initially) that report using these tools and processes.

This indicator and its measurement still need support and development by the RM and IPs for finalization and use.

Sub-IR 2.2.1: Capacity of key regional stakeholders to collaborate on and share evidence-based information on CVE increased

The RDCS PMP proposes three indicators to use to measure this sub-IR in PVE.

Number of USAID supported regional products, tools, and processes developed and adopted by regional stakeholders

The CASSS activity was developed with a research and pilot methodology to develop and test products, rather than support the spread of activity-supported products, tools and processes. As is appropriate with a performance indicator, this indicator to measure towards IR 2.2.1 focuses on products, tools, and processes supported by USAID activities in this area, and whether these products, tools, and processes are developed and adopted. A regional stakeholder can be defined usefully as any organization in the region that has a stake in CVE.

The CASSS AMELP does not develop or report on this indicator, which is thus not measured at present. This indicator and its measurement still need support and development by the RM and IPs for finalization and use.

At the start of the RDCS, the baseline is zero (although USAID has previously contributed to CVE in the region under the last RDCS). USAID will need to use the number attained at the end of CASSS, expected March 2022, for any successor CVE project to add to.

This measure does not explain the particular utility and impact of any one or series of products, tools and processes or of the work cumulatively. These areas could be reported on by IPs and USAID in narrative form to tell the story of the effects these products, tools and processes have on CVE across the region.

Number of context driven VE assessments conducted to address the VE knowledge gap and collaboratively created by regional stake holders

VE assessments are a particular product that CASSS has piloted and report on in the AMELP. This indicator specifies a type or product—a context-driven VE assessment—as well as how this product is to be created collaboratively. The current specification does not require that the driving force be USAID engagement, or indeed specify any USAID engagement at all. These data could be collected by USAID but are likely to be collected by IPs at USAID direction. The baseline at the start of the RDCS PMP will be zero. The value at the end of CASSS will be added to those measured by the next PVE activity, which thus will not start with a baseline of zero. The IP in this area will need to monitor and measure not only project-supported context-driven VE assessments but also these measures when undertaken without IP engagement.

Criteria to delineate include the terms context-driven, VE, and assessment. Collaborative creation also needs to be specified. Regional stakeholder needs to be defined. Specifics of these criteria are likely to depend on what the future IP will do in this area.

Percentage of community members in target communities who report greater awareness of risk and remedies for extremism

In its use as a performance indicator, this indicator implies an IP that focuses on a set of communities across the region—the target communities. USAID would work with the IP or IPs in the future activity towards measuring this indicator and collecting these data.

Criteria to define the sub-IR indicator need to be defined: community member, awareness, risk and remedy for extremism. The indicator will be a product of individuals that both have more awareness of the problem of extremism and more awareness of what can be done to reduce risks of extremism. Notably, the IR as written is about extremism—not specified as VE. This broader question of extremism may be harder to define. It also may be mis-specified; USAID programming may instead really be about raising awareness of the risks of VE and what can be done to address and reduce these risks.

Sub-IR 2.2.2: Regional cooperation and networks of CVE actors improved

The RDCS PMP proposes two indicators for this final sub-IR in PVE. Both are not measured at present.

Number of sustainable CVE regional networks established with USAID support

This indicator is not being measured at present. CASSS does not have an indicator in the AMELP or workstream in their work plan that focuses on networks. Using the indicator suggests that the planned CVE activity and new IP will target CVE regional networks and support the sustainability of these networks. *This indicator and its measurement still need support and development by the RM and IPs for finalization and use.*

Key to this sub-IR will be defining sustainable and regional network—and to having an activity that works on, collects data, and measures and reports on the indicator. The baseline at the start of the RDCS would be zero; if CASSS did support a sustainable regional network under its work since the start of the strategy, this could be tracked and counted through CASSS work in Year 1 and the remaining time of the activity.

Percent of USG assisted regional networks or organizations with improved performance in CVE programming

This indicator is also not being measured at present. Since CASSS does not measure work with networks, it also does not measure whether network capacity is increasing. Since USAID has not started supporting regional networks, the baseline would be zero. While the language in the indicator is slightly different from the sub-IR indicator above, it would be reasonable to report on the performance of the same networks established with USAID support plus the performance of assisted networks that existed prior to USAID support but that are provided capacity-building support. *This indicator and its measurement still need support and development by the RM and IPs for finalization and use.*

A successor CVE activity will need to not only track the number of regional networks supported but also develop metrics to track and measure their capacity, including baseline values and change over time, to measure whether the capacity of any regional network was improving as well as how many regional networks with CVE programming exist.

Evaluation Questions – IR 2.2: Ability of Central Asian Actors to Reduce Violent Extremism Risks Strengthened

Producing the baseline assessment for the PMP can contribute towards future evaluation questions for evaluations of USAID activities under this IR. Considering the context with indicators and the performance indicators under the RM's RDCS PMP has implications that could be used towards evaluating the CASSS activity and other potential RM CVE activities that might be developed. Evaluation questions should also be influenced by the work plans, reports, and AMELPs of RM activities in CVE.

The goal of CASSS, the AMELP notes, is to *“test the potential for applying a public health lens to research, design, pilot and evaluate CVE programming across real-world and digital environments”* (p. 5) This goal has shaped how the activity was developed and implemented and should shape learning, including through potential evaluation questions. The CASSS AMELP includes *“immediate outcome evaluations,”* the objectives of which include *“Identify VE risk and protective factors at the individual and community level”* and *“Identify and describe common pathways to extremism”* (p. 18). What the main VE risks and protective factors are, and how they shape the ways individuals and larger communities are attracted to or repelled by VE appear to remain key learning agenda questions at this point (although perhaps more information is available in CASSS quarterly and annual reports that the BAT has not seen towards answering these questions).

These learning questions posed by CASSS shaped the development of activity itself, which thus shape evaluation questions about the utility and results of various approaches to strengthening the ability of CA actors to reduce VE risks through CASSS and any future RM CVE activity. Suggested evaluation questions include:

- What are the main variables that reduce key risks and increase the resilience of individuals and larger numbers of people in communities to VE?

CASSS should focus on this key learning question identified in its AMELP. Recognizing the identifying risks and protective factors for rare events such as individuals in Central Asia becoming violent extremists or communities in Central Asia developing clusters of VE actors is challenging, what has the activity learned to date towards bringing data on what variables shape the prevalence of VE? Data on the inverse—the factors that most strongly contribute to resilience against VE among individuals and within communities—are also needed.

- How can the ability/capacity of people and organizations in Central Asia be strengthened to reduce VE risks? Which variables are more and less “influenceable” by programming? Which variables have larger and smaller effects on building resilience under what conditions?

Learning questions can also focus on which organizations have the most potential to partner to reduce VE risks, through what kinds of support to address the kinds of VE risks and resiliencies identified in the first learning question above. This question also queries how to best support capacity improvements in these actors and organizations for CVE.

Learning Agenda – IR 2.2: Ability of Central Asian Actors to Reduce Violent Extremism Risks Strengthened

The CASSS AMELP includes project learning questions (p. 20), which have shaped the questions developed here for the strategic IR level. The learning agenda also develops questions that extend and expand the evaluation questions under the IR above. Potential learning agenda questions in CVE include:

- How can USAID and its IP(s) engage with government partners in the CA states to share experience and support strengthening the ability of state institutions to reduce VE risks?

USAID has a recognized comparative advantage in working with civil society, which is used in CASSS. In Central Asia, the different states of the region are both key actors in capacity to reduce VE risks as well as problematic actors in this effort due to their roles restricting religious freedom as well as other human rights violations and concerns that may increase VE risks. CASSS reports by U.S. law that the activity does not work with state actors in the region. Across the region however state institutions are among the largest, most influential actors with the most ability to reduce or increase VE risks. Notwithstanding U.S. law, what can the RM or CASSS do to develop ways to influence the approaches of government actors from the CA states on VE? How can key actors in CA states be encouraged to learn from developmental VE approaches like CASSS and to develop non-rights violating approaches to CVE?

- Does the changing context in Afghanistan alter the incentives or the approaches of CA states on strengthening the ability of state and social actors to reduce VE risks? If so, how?

With the re-emergence of the Taliban in Afghanistan, the expansion of the amount of territory controlled by the Taliban and the spread of this territorial control to areas that border Tajikistan, Turkmenistan, and Uzbekistan, and the Taliban takeover of Kabul in mid-August 2021, CA states and their diplomatic and development partners face a potentially changed landscape for VE in the region. How these changes affect the ability of CA actors to reduce VE risks is not clear, nor is it clear how these changes affect the incentives for CA actors to strengthen their ability to reduce VE risks. The Taliban in power 1996-2001 were an insular VE group focused on controlling the population of Afghanistan rather than spreading VE outside of the country. However, the Taliban accepted the support of global VE movements like Al Qaeda in their struggle to seize and then control the country, which in turn included having the Taliban provide a base for these global VE movements to operate to spread VE beyond Afghanistan. Now, after more than 15 years of fighting to again seize Afghanistan with the support of regional and global VE forces, the new Taliban might be more international in goals or orientation in ways the raise risks of VE contagion from Afghanistan across the region. On the other hand, it is possible that the challenges of managing an Afghanistan that is much more complex and more internationally linked than the country was between 1996 and 2001 when last ruled by the Taliban will lead the movement to moderate its own VE tendencies within the country and explicitly

reject internationalizing VE either as an ideology or as a pragmatic decision to focus on Afghanistan only. These questions and orientations can and should be monitored. Most relevant to the RM are the effects of Taliban control over Afghanistan on CA states and populations. Does Taliban control encourage people from Central Asia with VE proclivities to travel to Afghanistan and join the movement, radicalizing them? Do any radicalized CA citizens return to CA states with plans or ambitions to spread VE? Do CA states react to Taliban control by increasing restrictions on religious freedom and more human rights violations against perceived VE sympathizers, which might radicalize individuals and communities victimized by these practices? Might CA states react to Taliban control and perceptions of rising VE risks in the region by developing and implementing approaches that manage grievances and support religious freedom in ways that reduce the appeal of VE and build state and social capacity to reduce VE risks? These sub-questions merit monitoring and study, with potential implications for programming.

ANNEXES

ANNEX 1: SCOPE OF WORK

SECTION C – DESCRIPTION/SPECIFICATIONS/STATEMENT OF WORK

C.1 TITLE

Regional Development Cooperation Strategy (RDCS) 2020-2025 Baseline Assessment.

C.2 PURPOSE

The overall purpose of the assessment is to determine benchmarks against which progress, impact, and effectiveness of the Regional Development Cooperation Strategy (RDCS) 2020-2025 will be measured.

The objectives of this baseline evaluation are to: a) gather baseline qualitative and quantitative data to support RDCS Results Framework and Performance Management Plan (PMP) Learning Agenda; b) to choose the most applicable context indicators; and c) to determine the baseline values for PMP indicators that will inform overall mission's monitoring, evaluation, and learning (MEL) processes as well as future stocktaking exercises. The assessment will be useful for adaptive management of current programming as well as future programs.

The assessment results will primarily benefit USAID/Central Asia in gaining evidence and data/information to support decision making on appropriate approaches/interventions to maximize the results. The secondary and tertiary audiences of this evaluation are the implementing partners, local governments, non-government organizations, and the interested general public.

C.3 BACKGROUND USAID/Central Asia Reorganization

Since its founding in 1992, USAID/Central Asia's Regional Mission in Almaty, Kazakhstan has served as a hub for the region and implemented regional, multi-country, and bilateral programs. As part of the Administrator's transformation agenda, the mission shifted its focus to the implementation of regional programs that address truly transnational regional issues and support the President's National Security Strategy and U.S. Strategy for Central Asia. To ensure stronger and more strategic implementation, coordination, and collaboration across Central Asia, within USAID, and with the U.S. and host government partners, in 2020 USAID established bilateral missions in Tajikistan and Uzbekistan and realigned the Central Asia Mission's portfolios. USAID/Central Asia will lead regional programming across Central Asia and bilateral activities in Turkmenistan and Kazakhstan. However, the mission will continue to coordinate closely and engage with the bilateral missions on the development of regional activities.

Regional Development Cooperation Strategy (RDCS) 2014-2020

USAID/Central Asia's most recent RDCS was implemented from October 2014 to June 2020. The goal of the RDCS was to develop "enhanced regional cooperation and broad-based prosperity in the Central Asian Republics." The development hypothesis for the RDCS is that the combination of diversified markets and trade, improved regional cooperation in the management of shared energy and water resources, and more effective and inclusive governance institutions that serve the public good will together lead to greater prosperity and stability in Central Asia and the broader region, including Afghanistan. As markets are diversified and become more competitive, trade will increase, markets will expand, and incomes will rise. As service delivery improves, people will be healthier and better educated, will more constructively participate in the economy, and hold their governments accountable. As water and energy resources are more effectively and equitably managed, communities will meet their basic needs for improved access to electricity, drinking water, and water for agricultural purposes.

Although Central Asian countries are at different stages of development and their economies

vary in complexity and diversity, they share five important characteristics: 1) Central Asian governments are trying to diversify their economies away from an over reliance on revenues from natural resource based commodities; 2) the bulk of their industries, excepting fuels, mineral resources, and some agricultural products, are not competitive on the world market; 3) they are overcoming the legacy of Soviet production and governance systems; 4) their domestic growth is often undermined by self-imposed trade barriers that inadvertently restrict the competitiveness of their own industries along with that of their neighbors; and 5) all are struggling to utilize and re-align strong kinship and gender roles to cope with emergent economic conditions.

The RDCS had three development objectives (DOs):

1. Expanded diverse and competitive trade and markets
2. Enhanced regional cooperation on shared energy and water resources
3. More effective and inclusive governance institutions that serve the public good

The RDCS's Results Framework was realigned and the PMP indicators were amended at the Mission-wide Portfolio Review in Fall 2016. Updated PMP was approved in October 2017.

Regional Development Cooperation Strategy (RDCS) 2020-2025

USAID/Central Asia's new RDCS 2020-2025 was approved in December 2020. Currently, the mission works on PMP development which must be submitted for approval at the end of March 2021. Missions use the PMP for planning and managing the process of monitoring strategic progress, program performance, programmatic assumptions, and operational context; evaluating performance and impact; and learning and adapting from evidence.

USAID/Central Asia's 2020-2025 RDCS goal is: "A self-reliant Central Asia that is interconnected, independent, and resistant to malign influences." The goal is framed by the U.S. Strategy for Central Asia and USAID's policy framework. The U.S. Strategy for Central Asia directs resources to support Central Asian states to build resilience to short- and long-term threats to their stability and strengthen their sovereignty by enhancing states' individual and collective capacity and commitment to strengthen their own development, as well as foster regional connectivity, including with Afghanistan. USAID/Central Asia activities will complement and strengthen bilateral efforts, contributing to a Central Asia that has increased capacity and commitment to address challenges to creating a Central Asia that is interconnected, independent, and resistant to malign influences.

To further the U.S. Strategy for Central Asia and advance development across the region, USAID/Central Asia identified five priority areas for regional support: energy, trade, transboundary water and environmental management, countering violent extremism, and combating trafficking in persons. Based on these areas, USAID will advance the RDCS goal through two RDOs:

RDO 1: Regional Connectivity Strengthened, including with Afghanistan. RDO 1 will focus on three areas:

(i) reducing barriers to trade; (ii) modernizing the regional energy sector; and (iii) improving cooperation on transboundary water and environment resources. Regional connectivity and collaboration are at the core of the RDCS approach, as aligned with the U.S. Strategy for Central Asia, and are critical to diversifying the regions' economies away from natural resource extraction and a single trading partner system.

RDO 2: Resilience to Regional Vulnerabilities Advanced. RDO 2 will focus on two areas: (i) strengthening regional cooperation to reduce trafficking in persons and (ii) strengthening the capacity of Central Asian states and non-state actors to reduce the risk of violent extremism.

USAID/Central Asia defines resilience as the ability of an actor to manage risks and threats from malign actors while strengthening the actor's capacity to prevent and/or effectively address related issues in the future.

These RDOs will also address cross-cutting issues such as women's economic empowerment, gender equality, youth inclusion and inclusive societal development to further advance U.S. strategic development priorities. As women and youth constitute both the majority of the population, USAID's strategy will ensure activities are inclusive of gender, youth, and other cross-cutting sectors as noted in the RDCS.

The strategic rationale for selecting these two sector-based RDOs is to ensure clearer alignment with the U.S. Strategy for Central Asia, specifically:

- Objective 1: Support and strengthen the sovereignty and independence of the Central Asian States, individually and as a group
- Objective 2: Reduce terrorist threats in Central Asia
- Objective 4: Encourage connectivity between Central Asia and Afghanistan
- Objective 5: Promote rule of law reform and respect for human rights

USAID missions in the Kyrgyz Republic, Uzbekistan, and Tajikistan will each have a Country Development Cooperation Strategy and individual PMPs. Strategic Bilateral Frameworks for Kazakhstan and Turkmenistan will be annexed later in 2021 to this RDCS.

**[END OF SECTION
C]**

ANNEX 2: TEMPLATE FOR TRACKING SHEET FOR RDCS PMP INDICATORS (EXCEL) – IR 2.1 EXAMPLE

RDO 2: Resilience to Regional Vulnerabilities Advanced	Indicator	2020	FY 2021			FY 2022			FY 2023			FY 2024			FY 2025		
		Baseline	Target Rationale	Target	Actual	Target Rationale	Target	Actual	Target Rationale	Target	Actual	Target Rationale	Target	Actual	Target Rationale	Target	Actual
IR 2.1 Central Asian Cooperation on Addressing Trafficking in Persons Strengthened	Context: Trafficking in Persons (TIP) Report tier ranking																
IR 2.1 Central Asian Cooperation on Addressing Trafficking in Persons Strengthened	Context: Global Organized Crime Index (OCINDEX) Trafficking in Persons Index																
IR 2.1 Central Asian Cooperation on Addressing Trafficking in Persons Strengthened	Number of regional CTIP agreements developed or adopted by Central Asian states to safely facilitate necessary migration and combat TIP at the regional level																
IR 2.1 Central Asian Cooperation on Addressing Trafficking in Persons Strengthened	PS 5.1 Number of victims of TIP receiving services with USG assistance																
Sub-IR 2.1.1 Capacity of all migration and CTIP stakeholders to coordinate efforts on safe migration increased.	Percentage of service providers (that received training, technical assistance, or capacity building in victim-centred and trauma-informed services) with improved performance. Please see note in PIRS																

RDO 2: Resilience to Regional Vulnerabilities Advanced	Indicator	2020	FY 2021			FY 2022			FY 2023			FY 2024			FY 2025		
		Baseline	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Actual
Sub-IR 2.1.2 Regional information and evidence sharing enhanced	PS 5.3 Percent change of target population that shows an awareness of trafficking in persons (TIP), disaggregated by sex and age Please see note in PIRS																
Sub-IR 2.1.3 Legal Frameworks in Central Asia countries harmonized across the region	PS.5.2-23 Number of CTIP policies, laws, or international agreements developed or strengthened in Central Asia countries with U.S. assistance																

ANNEX 3: CONTEXT INDICATOR REFERENCE SHEETS (CIRS)

IR 1.1: Barriers to Trade Reduced

USAID CAR RDCS PMP Context Indicator Reference Sheet																																																							
Name of Context Indicator: Cost incurred at a Border Crossing Point; Central Asia Regional Economic Cooperation (CAREC) Corridor Performance Measurement and Monitoring (CPMM) Indicator Code: Trade Facilitation Indicator (TFI) 2																																																							
Name of Relevant Result(s) (IR, sub-IR,): IR 1.1: Barriers to Trade Reduced																																																							
DESCRIPTION																																																							
Precise Definition(s): Cost incurred at a Border Crossing Point (BCP) as per CAREC CPMM “Trade Facilitation Indicator 2” or “TFI2” reported by the Asian Development Bank (ADB). “Cost incurred at a Border-Crossing Point” is the average total cost, in United States (US) dollars, of moving cargo across a border from entry to exit of a BCP. Both official and unofficial payments are included. Mission may use data on Cost at BCP reported by the Asian Development Bank under “Trade Facilitation Indicator 2 (TFI2)” in the CAREC Corridor Performance Measurement and Monitoring (CPMM) Annual Reports as the basis for calculating changes in cost related to cross-border cargo movement to see whether cost performance are improving or deteriorating.																																																							
Unit of Measure: United States (US) dollars																																																							
Data Type: Decimal number																																																							
Disaggregated by: Country																																																							
Rationale for the Context Indicator (how it will be used by the Mission): Greater trade facilitation is associated with lower transaction time and costs at borders, thereby promoting trade flow efficiency. Reducing the cost of moving goods across borders is one of the key factors to make trade cheaper, faster, and smoother. Data on cost of cargo movements will be used by the Mission as inputs to develop initiatives that foster trade facilitation within the Central Asian region and Afghanistan. The empirical data will also support private sector in dialogue with government. The indicator provides a reference framework to analyze reduction in cost in the region.																																																							
Table: Cost incurred at Border Crossing Point (USD), TFI2 <table> <tr> <th></th><th colspan="3">Road Transport</th><th colspan="3">Rail Transport</th></tr> <tr> <th></th><th>2017</th><th>2018</th><th>2019</th><th>2017</th><th>2018</th><th>2019</th></tr> <tr> <td>Kazakhstan</td><td>124</td><td>96</td><td>106</td><td>381</td><td>332</td><td>327</td></tr> <tr> <td>Uzbekistan</td><td>88</td><td>73</td><td>88</td><td>112</td><td>112</td><td>113</td></tr> <tr> <td>Kyrgyz Republic</td><td>121</td><td>24</td><td>23</td><td>n/a</td><td>n/a</td><td>n/a</td></tr> <tr> <td>Turkmenistan</td><td>198</td><td>204</td><td>211</td><td>73</td><td>94</td><td>97</td></tr> <tr> <td>Tajikistan</td><td>103</td><td>118</td><td>105</td><td>n/a</td><td>65</td><td>n/a</td></tr> </table> <i>Source: ADB publications on CAREC Corridor Performance Measurement and Monitoring Annual Reports</i>								Road Transport			Rail Transport				2017	2018	2019	2017	2018	2019	Kazakhstan	124	96	106	381	332	327	Uzbekistan	88	73	88	112	112	113	Kyrgyz Republic	121	24	23	n/a	n/a	n/a	Turkmenistan	198	204	211	73	94	97	Tajikistan	103	118	105	n/a	65	n/a
	Road Transport			Rail Transport																																																			
	2017	2018	2019	2017	2018	2019																																																	
Kazakhstan	124	96	106	381	332	327																																																	
Uzbekistan	88	73	88	112	112	113																																																	
Kyrgyz Republic	121	24	23	n/a	n/a	n/a																																																	
Turkmenistan	198	204	211	73	94	97																																																	
Tajikistan	103	118	105	n/a	65	n/a																																																	
PLAN FOR DATA COLLECTION																																																							

USAID CAR RDCS PMP Context Indicator Reference Sheet
Data Source: Data on TFI2 indicator can be collected from ADB regular publications on CAREC Corridor Performance Measurement and Monitoring Annual Reports, which are available online at https://www.carecprogram.org/?s=Corridor+Performance+Measurement+and+Monitoring+ The 2020 Annual Report is expected to be published by the end 2021.
Method of Data Collection and Construction: The CAREC Corridor Performance Measurement and Monitoring (CPMM) methodology, developed by ADB, assesses and tracks the time and cost of moving goods across borders and along the following six CAREC corridors, spanning the 11 participating countries — Afghanistan, Azerbaijan, China, Georgia, Kazakhstan, the Kyrgyz Republic, Mongolia, Pakistan, Tajikistan, Turkmenistan, and Uzbekistan: - CAREC Corridor 1 «Europe to East Asia» links Europe to China and East Asia. The route traverses from the border with the Russian Federation to China via Kazakhstan and the Kyrgyz Republic; - CAREC Corridor 2 «Linking the Mediterranean and East Asia» connects the Caucasus, Central Asia, and the Mediterranean to East Asia. The route covers Georgia, Azerbaijan, Kazakhstan, Turkmenistan, Uzbekistan, Tajikistan, the Kyrgyz Republic, and China; - CAREC Corridor 3 « Russian Federation– Middle East and South Asia» connects the Russian Federation to the Persian Gulf through Central Asia. The corridor passes through Kazakhstan, the Kyrgyz Republic, Uzbekistan, Tajikistan, Afghanistan, Turkmenistan, ending in Iran; - CAREC Corridor 4 «Russian Federation – East Asia», the Trans-Mongolian section of the Trans-Siberian Railway and in recent years, has grown substantially in importance as a transit route between Europe, the Russian Federation, Central Asia, and China; - CAREC Corridor 5 «Linking Central and East Asia to the Middle East and South Asia» connects East Asia to the Arabian Sea through Central Asia. The route covers China, the Kyrgyz Republic, Tajikistan, Afghanistan, and Pakistan; - CAREC Corridor 6 «Europe–Middle East and South Asia» serves interregional transit trade between Central and South Asian economies with the Caucasus, Middle East, and the Russian Federation. The route covers Uzbekistan, Kazakhstan, Turkmenistan, Afghanistan, and Pakistan; “Cost incurred at a Border-Crossing Point” or TFI2 Indicator is one of the 4 Trade Facilitation Indicators, monitored under CPMM. CPMM data on cost information are derived from actual transport movements, recorded by drivers and freight forwarders using customized data collection sheets; these data are submitted monthly by national transport associations in each CAREC member country. The findings are aggregated and analyzed quarterly and annually.
Reporting Frequency: Annually
Individual(s) Responsible at USAID: TBD (Mission selected)
TRIGGER AND BASELINE
Baseline Timeframe: Baseline Year is 2021
Trigger: TBD, but Mission determined and unlikely
Rationale for Trigger: TBD, but Mission determined and unlikely
DATA QUALITY

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Known Data Limitations:	
Although TFI2 Indicator is disaggregated by road and rail transport costs, the two dominant transport modes in most Central Asia countries, the Mission may choose to use only road transport cost data since data sharing on the rail transport cost remains challenging for Tajikistan and Kyrgyzstan.	
CHANGES TO CONTEXT INDICATOR	
Changes to Indicator: TBD (Mission tracked and determined)	
Other Notes:	
THIS SHEET LAST UPDATED ON: 10/09/2021	

USAID CAR RDCS PMP Context Indicator Reference Sheet							
Name of Context Indicator: Time taken to clear a border-crossing point; Central Asia Regional Economic Cooperation (CAREC) Corridor Performance Measurement and Monitoring (CPMM) Indicator Code: TFI 1							
Name of Relevant Result(s) (IR, sub-IR,): IR 1.1: Barriers to Trade Reduced							
DESCRIPTION							
Precise Definition(s): Time taken to clear a border-crossing point (hour) as per CAREC CPMM “Trade Facilitation Indicator 1” or “TFI 1” reported by the Asian Development Bank (ADB). The indicator refers to the average length of time (in hours) taken to move cargo across a border from the entry to exit points of a border-crossing point (BCP). The entry and exit points are typically primary control centers where customs, immigration, and quarantine are handled. Along with the standard clearance formalities, this measurement includes waiting time, unloading and loading time, time taken to change rail gauges, and other indicators.							
Unit of Measure: Hours							
Data Type: Decimal number							
Disaggregated by: Country							
Rationale for the Context Indicator (how it will be used by the Mission): The indicator provides a reference framework to analyze reduction in time of trade goods in the Central Asia countries. It will be used by the Mission as inputs to develop initiatives that foster trade facilitation in the region. The empirical data will also support private sector in dialogue with government.							
Table: Time taken to clear a Border Crossing Point (hours), TFI 1							
	Road Transport			Rail Transport			
	2017	2018	2019	2017	2018	2019	
Kazakhstan	8,6	7,2	9,3	44,0	40,6	39,9	
Uzbekistan	5,80	8,50	7,80	7,5	5,6	6,2	
Kyrgyz Republic		3,50	1,60	1,60	n/a	1,2	
Turkmenistan	6,6	8,5	9	5,4	3,3	3,5	
Tajikistan	3,8	3,8	4,3	n/a	2,3	n/a	
<i>Source: ADB publications on CAREC Corridor Performance Measurement and Monitoring Annual Reports</i>							
PLAN FOR DATA COLLECTION							
Data Source: Data on TFI 1 indicator can be collected from ADB regular publications on CAREC Corridor Performance Measurement and Monitoring Annual Reports, which are available online at https://www.carecprogram.org/?s=Corridor+Performance+Measurement+and+Monitoring+ The 2020 Annual Report is expected to be published by the end 2021.							

USAID CAR RDCS PMP Context Indicator Reference Sheet

Method of Data Collection and Construction:

The CAREC Corridor Performance Measurement and Monitoring (CPMM) methodology, developed by ADB, assesses and tracks the time and cost of moving goods across borders and along the following six CAREC corridors, spanning the 11 participating countries — Afghanistan, Azerbaijan, China, Georgia, Kazakhstan, the Kyrgyz Republic, Mongolia, Pakistan, Tajikistan, Turkmenistan, and Uzbekistan:

- **CAREC Corridor 1 «Europe to East Asia»** links Europe to China and East Asia. The route traverses from the border with the Russian Federation to China via Kazakhstan and the Kyrgyz Republic;
- **CAREC Corridor 2 «Linking the Mediterranean and East Asia»** connects the Caucasus, Central Asia, and the Mediterranean to East Asia. The route covers Georgia, Azerbaijan, Kazakhstan, Turkmenistan, Uzbekistan, Tajikistan, the Kyrgyz Republic, and China;
- **CAREC Corridor 3 « Russian Federation– Middle East and South Asia»** connects the Russian Federation to the Persian Gulf through Central Asia. The corridor passes through Kazakhstan, the Kyrgyz Republic, Uzbekistan, Tajikistan, Afghanistan, Turkmenistan, ending in Iran;
- **CAREC Corridor 4 «Russian Federation – East Asia»**, the Trans-Mongolian section of the Trans-Siberian Railway and in recent years, has grown substantially in importance as a transit route between Europe, the Russian Federation, Central Asia, and China;
- **CAREC Corridor 5 «Linking Central and East Asia to the Middle East and South Asia»** connects East Asia to the Arabian Sea through Central Asia. The route covers China, the Kyrgyz Republic, Tajikistan, Afghanistan, and Pakistan;
- **CAREC Corridor 6 «Europe–Middle East and South Asia»** serves interregional transit trade between Central and South Asian economies with the Caucasus, Middle East, and the Russian Federation. The route covers Uzbekistan, Kazakhstan, Turkmenistan, Afghanistan, and Pakistan;

“Time taken to clear a border-crossing point (hours) or TFI 1 Indicator is one of the 4 Trade Facilitation Indicators, monitored under CPMM. CPMM data on time are derived from actual transport movements, recorded by drivers and freight forwarders using customized data collection sheets; these data are submitted monthly by national transport associations in each CAREC member country. The findings are aggregated and analyzed quarterly and annually.

Reporting Frequency: Annually

Individual(s) Responsible at USAID: TBD (Mission selected)

TRIGGER AND BASELINE

Baseline Timeframe: Baseline Year is 2021

Trigger: TBD, but Mission determined and unlikely

Rationale for Trigger: TBD, but Mission determined and unlikely

DATA QUALITY

Known Data Limitations:

Although TFI 1 Indicator is disaggregated by road and rail transport costs, the two dominant transport modes in most Central Asia countries, Mission may use only road transport cost data since data sharing on the rail transport cost remains challenging for Tajikistan.

CHANGES TO CONTEXT INDICATOR

Changes to Indicator: TBD (Mission tracked and determined)

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Other Notes:	
THIS SHEET LAST UPDATED ON: 10/05/2021	

USAID CAR RDCS PMP Context Indicator Reference Sheet																																							
Name of Context Indicator: International Logistics Performance Index (LPI); World Development Indicator Code: LP.LPI.OVRL.XQ																																							
Name of Relevant Result(s) (IR, sub-IR,): IR 1.1: Barriers to Trade Reduced																																							
DESCRIPTION																																							
Precise Definition(s): The International Logistics Performance Index (LPI) is a summary indicator of logistics sector performance, combining data on six core performance components into a single aggregate measure: customs, infrastructure, international shipment, logistics quality and competence, tracking and tracing, timeliness.																																							
Unit of Measure: Very low (1) to very high (5).																																							
Data Type: Decimal number																																							
Disaggregated by: Country																																							
Rationale for the Context Indicator (how it will be used by the Mission): The indicator provides a reference framework to analyze improvements in logistics sector performance. For a landlocked Central Asia region, connectivity – internal and external – via key infrastructure routes is essential for effective trade led growth and trade integration. Although significant investments are underway, including the construction of corridors as well as upgrading of national networks, the trade in Central Asia is burdened with one of the highest trade logistics costs. Tajikistan, Uzbekistan, Kyrgyzstan, and Afghanistan are land-locked countries with no commercial accesses to sea, even by river. In international transport, Tajikistan has much higher transport costs and longer transit times to major markets than its main competitors. <table> <tr> <th colspan="5">Table: International Logistics Performance Index Score (1=Low to 5-High).</th></tr> <tr> <th></th><th>2012</th><th>2014</th><th>2016</th><th>2018</th></tr> <tr> <td>Kazakhstan</td><td>2,69</td><td>2,70</td><td>2,75</td><td>2,81</td></tr> <tr> <td>Uzbekistan</td><td>2,46</td><td>2,39</td><td>2,40</td><td>2,58</td></tr> <tr> <td>Kyrgyz Republic</td><td>2,35</td><td>2,21</td><td>2,16</td><td>2,55</td></tr> <tr> <td>Turkmenistan</td><td>n/a</td><td>2,30</td><td>2,21</td><td>2,41</td></tr> <tr> <td>Tajikistan</td><td>2,28</td><td>2,53</td><td>2,06</td><td>2,34</td></tr> </table> Source: World bank WDI The LPI indicator will help determine if the Mission is achieving RDO 1 “Regional Connectivity Strengthened, including with Afghanistan” via IR 1.1 “Barriers to Trade Reduced”. The rational is that efficient logistics performance plays a key role in the flow of goods and services.					Table: International Logistics Performance Index Score (1=Low to 5-High).						2012	2014	2016	2018	Kazakhstan	2,69	2,70	2,75	2,81	Uzbekistan	2,46	2,39	2,40	2,58	Kyrgyz Republic	2,35	2,21	2,16	2,55	Turkmenistan	n/a	2,30	2,21	2,41	Tajikistan	2,28	2,53	2,06	2,34
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Tajikistan	2,28	2,53	2,06	2,34																																			
PLAN FOR DATA COLLECTION																																							
Data Source: World Bank, World Development Indicators (WDI), Logistics Performance Index, https://lpi.worldbank.org																																							

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Method of Data Collection and Construction:	
The LPI is an interactive benchmarking tool created by the World Bank to help countries identify the challenges and opportunities they face in their performance on trade logistics. LPI ranks countries on six dimensions of trade - including the efficiency of the customs clearance process, quality of trade- and transport-related infrastructure, ease of arranging competitively priced international shipments, quality of logistics services, ability to track and trace consignments, and frequency with which shipments reach the consignee within the scheduled time. Data are from Logistics Performance Index surveys conducted by the World Bank in partnership with academic and international institutions and private companies and individuals engaged in international logistics. The markets are chosen based on the most important export and import markets of the respondent's country, random selection, and, for landlocked countries, neighboring countries that connect them with international markets. Respondents evaluated efficiency of customs clearance processes (i.e. speed, simplicity and predictability of formalities), on a rating ranging from 1 (very low) to 5 (very high). Scores are averaged across all respondents.	
Reporting Frequency: Biennial	
Individual(s) Responsible at USAID: TBD (Mission selected)	
TRIGGER AND BASELINE	
Baseline Timeframe: Baseline Year is 2018 Kazakhstan: 2.81, Kyrgyz Republic: 2.55, Uzbekistan: 2.58, Tajikistan: 2.34, Turkmenistan: 2.41	
Trigger: TBD, but Mission determined and unlikely	
Rationale for Trigger: TBD, but Mission determined and unlikely	
DATA QUALITY	
Known Data Limitations: Information obtained from surveys may present the following limitations: inability to obtain information in a given year, change of methodology in reporting year.	
CHANGES TO CONTEXT INDICATOR	
Changes to Indicator: TBD (Mission tracked and determined)	
Other Notes:	
THIS SHEET LAST UPDATED ON: 10/09/2021	

USAID CAR RDCS PMP Context Indicator Reference Sheet																																		
Name of Context Indicator: Trade Facilitation Performance																																		
Name of Relevant Result(s) (IR, sub-IR,):																																		
IR 1.1: Barriers to Trade Reduced																																		
DESCRIPTION																																		
Precise Definition(s):																																		
Trade Facilitation Score is based on the degree of compliance of the following trade facilitation measures: (1) Transparency; (2) Formalities; (3) Institutional arrangement and cooperation; (4) Paperless trade; (5) Cross-border paperless trade measured by the United Nations through the Global Survey on Digital and Sustainable Trade Facilitation.																																		
Unit of Measure: 0 (lowest performance) to 100 % (highest performance)																																		
Data Type: Decimal number																																		
Disaggregated by: Country																																		
Rationale for the Context Indicator (how it will be used by the Mission):																																		
The proposed indicator reflects the demand of individual Central Asia countries to work towards simplification of trade procedures as all five countries have been engaged in World Trade Organization (WTO) process to different extent: Kyrgyzstan, Tajikistan and Kazakhstan have been members of WTO since 1998, 2013 and 2015, respectively, while in 2019 Uzbekistan expressed a renewed commitment to join the WTO in the near future, and Turkmenistan was granted observer status in 2020 with the intention of initiating accession negotiations before 2025. While an increase is generally expected in this Context Indicator in the following years as more progress is made in trade facilitation, a possible decline or reduction in the amount of annual progress may indicate difficulties to implement provisions under WTO-Trade Facilitation Agreement (TFA); as a result, the Mission might want to target technical assistance to improve capacity of relevant countries to implement such commitments.																																		
Table: Trade Facilitation Score % (0- lowest performance to 100 %-highest performance) <table> <tr> <th></th><th>2015</th><th>2017</th><th>2019</th><th>2021</th></tr> <tr> <td>Kazakhstan</td><td>36,56</td><td>46,24</td><td>65,59</td><td>72,04</td></tr> <tr> <td>Uzbekistan</td><td>20,43</td><td>24,73</td><td>62,37</td><td>62,37</td></tr> <tr> <td>Kyrgyz Republic</td><td>35,48</td><td>36,56</td><td>36,56</td><td>69,89</td></tr> <tr> <td>Turkmenistan</td><td>n/a</td><td>n/a</td><td>n/a</td><td>n/a</td></tr> <tr> <td>Tajikistan</td><td>40,86</td><td>45,16</td><td>49,46</td><td>50,54</td></tr> </table>						2015	2017	2019	2021	Kazakhstan	36,56	46,24	65,59	72,04	Uzbekistan	20,43	24,73	62,37	62,37	Kyrgyz Republic	35,48	36,56	36,56	69,89	Turkmenistan	n/a	n/a	n/a	n/a	Tajikistan	40,86	45,16	49,46	50,54
	2015	2017	2019	2021																														
Kazakhstan	36,56	46,24	65,59	72,04																														
Uzbekistan	20,43	24,73	62,37	62,37																														
Kyrgyz Republic	35,48	36,56	36,56	69,89																														
Turkmenistan	n/a	n/a	n/a	n/a																														
Tajikistan	40,86	45,16	49,46	50,54																														
Source: United Nations Trade Facilitation (UNTF) Survey Portal, https://www.untfsurvey.org/about																																		
PLAN FOR DATA COLLECTION																																		

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Data Source: Data are from the Global Survey on Digital and Sustainable Trade Facilitation (formerly known as the UN Global Survey on Trade Facilitation and Paperless Trade Implementation), a survey carried out every two years since 2015 jointly by each United Nations Regional Commission (UNRC), of which there are five worldwide, and a growing number of global and regional partners. The survey results are analyzed and published in the form of reports — five regional reports (one per UNRC) at https://www.untfsurvey.org/report and one global report, available on the United Nations Trade Facilitation (UNTF) Survey Portal at https://www.untfsurvey.org/about by using online interactive visualization country tool at https://www.untfsurvey.org/economy, where the RM can select any economy of interest and get a detailed overview of trade facilitation and paperless trade implementation measures or can compare the performance of various countries or groups of countries.	
Method of Data Collection and Construction: The 2021 Survey is conducted on the basis of an updated questionnaire, developed by the UNRCs in cooperation with UNCTAD, ICC, OECD and many other collaborating institutions. The Survey covers 58 measures including a new set of measures on ‘Trade Facilitation in Times of Crisis’ referring to immediate and long-term measures aimed at addressing crisis situations like the COVID-19 pandemic. The survey focuses on 4 main areas: (1) “General Trade Facilitation” in relation to the implementation of selected measures under the WTO TFA (transparency, formalities, institutional arrangement and cooperation, transit facilitation); (2) “Digital Trade Facilitation” regarding the implementation of innovative, technology-driven measures aimed at enabling the use and exchange of electronic trade data and documents (paperless trade, cross-border paperless trade); (3) “Sustainable Trade Facilitation” with regards to trade facilitation for SMEs, agricultural sector and women; and (4) “Other Trade Facilitation” related to trade finance facilitation and trade facilitation in times of crisis. A three-step approach to data collection and validation is generally followed, implemented over a 6-month period every 2 years: Step (1) Open data collection from experts; Step (2) Data verification by UNRC Secretariats; and Step (3) Data validation by national governments. Although the Survey is based on evaluation of 11 sub-group measures in 4 main trade areas, the overall Trade Facilitation Score is based on compliance of the five trade facilitation measures due to their availability for all countries surveyed: (1) Transparency; (2) Formalities; (3) Institutional arrangement and cooperation; (4) Paperless trade; and (5) Cross-border paperless trade.	
Reporting Frequency: Biennial	
Individual(s) Responsible at USAID: TBD (Mission selected)	
TRIGGER AND BASELINE	
Baseline Timeframe: Baseline Year is 2022	
Trigger: TBD, but Mission determined and unlikely	
Rationale for Trigger: TBD, but Mission determined and unlikely	
DATA QUALITY	
Known Data Limitations: Information obtained from surveys may present the following limitations: • Change of methodology in reporting year; • Trade Facilitation Score is not available for Turkmenistan.	
CHANGES TO CONTEXT INDICATOR	

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Changes to Indicator:	TBD (Mission tracked and determined)
Other Notes:	
THIS SHEET LAST UPDATED ON: 10/09/2021	

IR 1.2: Regional Energy Modernization Increased

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Name of Context Indicator: Intra- and inter-state energy trading increased, in percentage change in kilowatt hours (% change of kWh)	
Name of Relevant Result(s) (IR, sub-IR,): IR 1.2 Regional Energy Modernization Increased	
DESCRIPTION	
Precise Definition(s): The annual percentage change in the volume of electricity traded within and between the Central Asian countries, measured in kWh. This indicator is a measure of electricity trade in domestic markets and across borders in the five countries of Central Asia. Mission may use data on import and export of electricity between the countries. Power Central Asian Project is focused on energy trade development between CA countries and one of the main objectives evaluates electricity market. The intra-state trade contributes to the development of the energy sector in the country and thereby increases the opportunities for regional trade. To improve regional energy trade, PCA is not only working on improving regulatory framework, but also institutional, legal frameworks and technical infrastructure. However, even this will not guarantee increased regional trade, because it will also depend on the political will in each country.	
Unit of Measure: kWh	
Data Type: Integer	
Disaggregated by: • Amount of electricity exported by country • Amount of electricity imported by country • Amount of electricity trade in domestic electricity markets by country	
Rationale for the Context Indicator (how it will be used by the Mission): Cross-border energy trade can substantially enhance energy security in the region and unlock investment in regional energy markets. Increasing regional integration and energy trade can expand service territories, allow generation facilities to respond to varied cross-border load demands and play a role in integrating renewables throughout the region to meet regional energy demand. The increase or increase in electricity indicates the development of the market which is one of the objectives of PCA. The growth of trade will depend on the agreement between the countries.	
PLAN FOR DATA COLLECTION	

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Data Source:	PCA proposes using trusted open sources, as Ministries of Energy. Baseline will be set based on the information available. International Energy Association https://www.iea.org/countries/tajikistan Samruk Kazyna reports https://www.samruk-energy.kz/images/analitcs/%D0%BE%D1%82%D1%87%D0%B5%D1%82_%D0%BF%D0%BE_%D0%B0%D1%80%D1%8D_%D0%B7%D0%B0_3_%D0%BC%D0%B5%D1%81.2020%D0%B3.%D0%BF%D1%83%D0%B1%D0%BB.1.docx AKI press News Agency <u>Tajikistan reduces export of electricity to Afghanistan, starts supplying electricity to Kyrgyzstan - AKIpress News Agency</u> Implementing partner Tetra Tech, Power Central Asia project will be collecting these data on annual basis, through governmental counterparts.
Method of Data Collection and Construction:	The PCA activity's MEL team can collect data and construct the indicator. Data for imports and exports are provided by Central Asia host government counterparts. Data for domestic electricity trade is provided by country's official trading platforms. Data for energy production, trade, import, and export is published on quarterly basis by State Statistic Agencies in each country. Data can be available on a subscription basis.
Reporting Frequency:	Annual
Individual(s) Responsible at USAID:	TBD (Mission selected)
TRIGGER AND BASELINE	
Baseline Timeframe:	2018/2019; TBD. PCA can test the feasibility of this indicator through the process of collecting data to measure the baseline.
	For 2021 data from open source will be used
Trigger:	TBD, but Mission determined and unlikely
Rationale for Trigger:	TBD, but Mission determined and unlikely
DATA QUALITY	
Known Data Limitations:	The data might be a problem because it is published with delay. There is not currently data for 2020 in open sources.
CHANGES TO CONTEXT INDICATOR	
Changes to Indicator:	TBD (Mission tracked and determined)
Other Notes:	Additional data source: donor reports WB, EBRD, IRENA etc.
THIS SHEET LAST UPDATED ON: 11/12/2021	

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Name of Context Indicator:	Progress towards reconnection of the Central Asian Power System
Name of Relevant Result(s) (IR, sub-IR,):	IR 1.2: Regional Energy Modernization Increased
DESCRIPTION	
Precise Definition(s):	The number of intergovernmental meetings between CA countries related to internal and external energy trade with neighboring countries plus the number of inter-ministerial and technical level meetings between CA countries related to this trade.
Unit of Measure:	Number of meetings This indicator is measured by the number of intergovernmental and ministerial meetings on cross-border and regional energy trade proposed, signed, or implemented between Central Asian Countries.
Data Type:	Integer, number of meetings, number of legal documents (minute of meetings)
Disaggregated by:	Country
Rationale for the Context Indicator (how it will be used by the Mission):	Power trade between the Central Asian countries has been declining since the collapse of the Soviet Union in 1991. In 1990, 25,413 million kilowatt-hours (kWh) of electricity was traded between CA states. By 2010, energy trade fell to 2,256 million kWh after the 2009 disconnection of Tajikistan from the Central Asia Power System (CAPS). The energy trade bottomed out in 2016 at 2,080 million kWh. Lack of energy trade causes widespread power outages in Tajikistan in winter and increased fossil fuel use by Turkmenistan, Uzbekistan, and Kazakhstan in summer. While Kyrgyzstan continues to export hydropower in summer, the absence of Tajikistan hydropower exports in summer forces fossil fuel rich countries to generate electricity with gas and oil instead of exporting these fuels on the international market. Tajikistan has made substantial investments in generating capacities to produce electricity in winter, while unable to export hydropower in summer although Tajikistan spills water that could generate five to seven billion kWh worth of electricity annually. The countries of the region have incentives to recreate the energy trade, which PCA encourages. PCA can collect and report data on number of agreements and legal documents related to energy collaboration issued by the countries towards re-connection to the CAPS, which will increase energy security, energy efficiency and trade by optimizing integrated transmission and generation expansion between Kazakhstan, Kyrgyzstan, Tajikistan, and Uzbekistan as well as Turkmenistan. A re-connected CAPS will also create export opportunities from the five countries outside the region. Integrated development of the regional power system will identify long-term solutions to balancing demand and supply, considering current assets, demand projections, and trade opportunities.
PLAN FOR DATA COLLECTION	

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Data Source: Data and information provided by Central Asia government counterparts, as Ministries of Energy, Justice, and Foreign Affairs. Kazakhstan Ministry of Energy of the Republic of Kazakhstan (www.gov.kz) Tajikistan Министерство энергетики и водных ресурсов Республики Таджикистан — Министерство энергетики и водных ресурсов Республики Таджикистан (mewr.tj) Kyrgyzstan State Committee for Industry, Energy and Mining of the Kyrgyz Republic Water Unites (waterunites-ca.org) Uzbekistan Ministry of Energy of the Republic of Uzbekistan (minenergy.uz) Turkmenistan Ministry of Energy of Turkmenistan (minenergo.gov.tm) Power Central Asia can collect these data on annual basis, through governmental counterparts.	
Method of Data Collection and Construction: Data on intergovernmental and inter-ministerial meetings published on weekly basis on official websites of Ministries and local newsletters.	
Reporting Frequency: Annual, Quarterly, Monthly	
Individual(s) Responsible at USAID: TBD (Mission selected)	
TRIGGER AND BASELINE	
Baseline Timeframe: 2020 TBD	
Trigger: TBD, but Mission determined and unlikely	
Rationale for Trigger: TBD, but Mission determined and unlikely	
DATA QUALITY	
Known Data Limitations:	
CHANGES TO CONTEXT INDICATOR	
Changes to Indicator: TBD (Mission tracked and determined)	
Other Notes:	
THIS SHEET LAST UPDATED ON: 11/12/2021	

USAID CAR RDCS PMP Context Indicator Reference Sheet							
Name of Context Indicator: Adjusted savings: energy depletion							
Name of Relevant Result(s) (IR, sub-IR,): IR 1.2 Regional Energy Modernization Increased							
DESCRIPTION							
Precise Definition(s): Energy depletion is the ratio of the value of the stock of energy resources to the remaining reserve lifetime. It covers coal, crude oil, and natural gas. The depletion of energy resources is calculated as a percentage of gross national income (GNI) by country. World Bank staff estimates are used for data based on methods described in the World Bank's The Changing Wealth of Nations.							
Unit of Measure: Percentage of GNI							
Data Type: Numeric							
Disaggregated by: country							
Rationale for the Context Indicator (how it will be used by the Mission): Depletion of energy resources is complicated. Depletion is not a process of simply "running out" of a resource, but a complex process of technological change and adaptation. Adaptation can lead to development of new resources, which are often lower quality, more costly to process, or more difficult to access. The depletion of energy resources will lead to energy market crisis. Depletion of energy sources is directly related to energy trade between the countries in CA; as resources are depleted in some countries, importing energy is encouraged from CA countries with less depletion. Thus depletion supports an electricity trade and the development of the market which is one of the objectives of the RM's PCA activity. Table: Adjusted savings: energy depletion (% of GNI)							
Country	2014	2015	2016	2017	2018	2019	Average for 5 years
Tajikistan	0.03%	0.02%	0.03%	0.04%	0.06%	0.02%	0.034%
Uzbekistan	5.46%	3.09%	1.92%	4.08%	7.59%	5.51%	4.609%
Turkmenistan	12.02%	6.60%	4.80%	7.05%	10.25%	0.0%	6.789%
Kyrgyz Republic	0.09%	0.03%	0.02%	0.02%	0.03%	0.04%	0.040%
Kazakhstan	7.25%	3.59%	3.84%	5.77%	9.26%	8.09%	6.301%
Energy depletion rate is varying from country to country and depends on countries' core energy sources. As an example, depletion rates for Kazakhstan and Turkmenistan are higher, because these countries main energy source is oil, while Kyrgyzstan and Tajikistan mostly use coal, and Uzbekistan natural gas. These fuels are used for heat and electricity production in these countries. Depletion of energy sources may impact energy production and trade between CA countries.							
PLAN FOR DATA COLLECTION							

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Data Source: Data and information provided by World Bank Office in the World Bank's The Changing Wealth of Nations report on annual basis. Tajikistan: Adjusted savings: energy depletion (% of GNI) - Tajikistan Data (worldbank.org) WB Tajikistan Data.xls – Data Sheet – Row 1439 Kazakhstan Adjusted savings: energy depletion (% of GNI) - Kazakhstan Data (worldbank.org) WB Kazakhstan Data.xls – Data Sheet – Row 112 Kyrgyzstan Adjusted savings: energy depletion (% of GNI) - Kyrgyz Republic Data (worldbank.org) WB Kyrgyzstan Data.xls – Data Sheet – Row 497 Turkmenistan Adjusted savings: energy depletion (% of GNI) - Turkmenistan Data (worldbank.org) WB Turkmenistan Data.xls – Data Sheet – Row 893 Uzbekistan Adjusted savings: energy depletion (% of GNI) - Uzbekistan Data (worldbank.org) WB Uzbekistan Data.xls – Data Sheet – Row 567 Implementing partner Tetra Tech, Power Central Asia project will be collecting this data on annual basis, through World Bank office in Kazakhstan, Uzbekistan, Kyrgyzstan, Turkmenistan and Tajikistan.	
Method of Data Collection and Construction: PCA's MEL lead can collect and report on these data. Data for energy production, trade, import, and export is published on quarterly basis on State Statistic Agencies in each country. Data is available on the World Bank's The Changing Wealth of Nations report on annual basis.	
Reporting Frequency: Annual	
Individual(s) Responsible at USAID: TBD (Mission selected)	
TRIGGER AND BASELINE	
Baseline Timeframe: 2019	
Trigger: TBD, but Mission determined and unlikely	
Rationale for Trigger: TBD, but Mission determined and unlikely	
DATA QUALITY	
Known Data Limitations: The data is published with a delay.	
CHANGES TO CONTEXT INDICATOR	
Changes to Indicator: TBD (Mission tracked and determined)	
Other Notes:	
THIS SHEET LAST UPDATED ON: 11/12/2021	

IR 1.3: Transboundary Cooperation on Water and Environment Improved

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Name of Context Indicator: Growth of the use of other donor supported new technologies or new management practices in water management	
Name of Relevant Result(s) (IR, sub-IR,): IR 1.3: Transboundary Cooperation on Water and Environment Improved	
DESCRIPTION	
Precise Definition(s): Annual change in the number of technologies or new management practices in water management applied as result of other donor agencies. This indicator counts the number of WEFE technologies or new management practices that are applied that are associated with assistance from donors other than USAID and compares the growth in the number of these technologies/management practices that are used as reported by donors over a year period. Measures reported under IWRM and/or ICWC projects should not be reported under this indicator, but will have affect to the sector in general. The water related projects in the region as: DWSSP, DWSP, RWSP, FW IWMP in Tajikistan and Kyrgyz Republic by other donor organizations as WB, ADB, EBRD, EU IFCA and etc. providing a new technology for the technical implementation and/or institutional support of the water sector in the region through the Smart technology for the water quantity and quality measure and management using modern soft way and IT, which also can be used for trans-boundary water governance in water metering and online monitoring of interstate water distribution points in CA.	
Unit of Measure: Average annual change across the CA countries	
Data Type: Numeric	
Disaggregated by: Country	

USAID CAR RDCS PMP Context Indicator Reference Sheet

Rationale for the Context Indicator (*how it will be used by the Mission*): The growth of the use of new technologies in water management supported by other donors in the countries of Central Asia may influence the adoption of WAVE-developed tools.

Other donor agencies are active implementing projects such as DWSSP, DWSP, RWSP, FW IWMP in Tajikistan and Kyrgyz Republic supported by WB, ADB, EBRD, EU IFCA and others. These projects are providing a new technology for the technical implementation and/or institutional support of the water sector in the region, such as smart water management, reduction of NRW through the establishment of DMA integrated with SCADA and NIS/GIS systems, as well as using the established institutions for the trans boundary dialogue and cooperation.

Due to the high population growth of the region, climate change and an increase in the need for water and land for the production of consumer products the needs of accurate water measuring and reporting, information sharing, and provision transparency the of implementation of interstate agreements for the distribution of natural resources, especially between the countries of the Amu Darya and Syr Darya river basins, requires to use of modern technologies for the monitoring of water and the environment, data transfer in time mode through information technology.

In this regard, reassurance of quantity and quality of smart technologies and smart water management practices in the other projects in the region in compliance with the requirements.

Here for example: The World Bank, implements the projects of the Central Asian Hydrometeorology Modernization Project and the Climate Change Adaptation and Mitigation Program for the Aral Sea Basin, used technologies and equipment that allow the Central Asian countries not only to accept the climate change factor, but also to properly manage natural resources and mitigate its consequences. risks such as Lake Sarez in Tajikistan

PLAN FOR DATA COLLECTION

Data Sources: http://www.cawater-info.net/index_e.htm

<http://www.icwc-aral.uz/resources.htm>, <https://www.usaid.gov/central-asia-regional>

<https://www.globalwaters.org/resources/announcements/smart-waters-project-water-sector-development-central-asia-and-afghanistan>

USAID CAR RDCS PMP Context Indicator Reference Sheet

Method of Data Collection and Construction: Indirect counting method will be done for data collection by the WAVE MEL manager. The data will be collected through a review of desktop analysis of information of web resources indicated above and reports of the projects of WB, ADB, EBRD ADB, EBRD, and other Agencies in the region, as well as other stakeholders. There are several pilot projects been implemented by Water basin management WB in frame of FW IWMP, DWSP, and ADB DWSSP where used the new technologies and practices. The indicator can thus work with IPs Government Agencies and involved organizations as ICWC and regional River Basin Management's developed or improved tools as well as the next IPs, which might utilize and support the continued developing activities of IWRM and ICWC as well as develop and spread the use of new tools and activities.

Country	2019	2020	Annual Change 2020 Baseline	2021	Annual Change 2021	2022	Annual Change 2022	2023
Kazakhstan	TBD	TBD	To be calculated (TBC)					
Kyrgyzstan	TBD	TBD	TBC					
Tajikistan	TBD	TBD	TBC					
Turkmenistan	TBD	TBD	TBC					
Uzbekistan	TBD	TBD	TBC					
Total	TBD	TBD	TBC					

Reporting Frequency: Annually

Individual(s) Responsible at USAID: TBD (Mission selected)

TRIGGER AND BASELINE

Baseline Timeframe: 2020 TBD through review of other donor agency reports by WAVE.

Trigger: TBD, but Mission determined and unlikely

Rationale for Trigger: TBD, but Mission determined and unlikely

DATA QUALITY

Known Data Limitations: Other donor Reports and publication may become public with a lag in time.

CHANGES TO CONTEXT INDICATOR

Changes to Indicator: TBD (Mission tracked and determined)

Other Notes:

THIS SHEET LAST UPDATED ON: 11/12/2021

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Name of Context Indicator: Number of international meetings/engagements of political leaders on water and environment (Ministers and above)	
Name of Relevant Result(s) (IR, sub-IR,): <i>IR 1.3 Transboundary Cooperation on Water and Environment Improved</i>	
DESCRIPTION	
Precise Definition(s): <i>Number of international meetings of political leaders on water and environment (Ministers and above) foster trans boundary cooperation on water and environment in CA, Region of Amy Darya and Sir-Darya basin, with coordination/ cooperation of Interstate Commission on Water Coordination (ICWC), and in frame RWAVEA and other projects of Donor Agencies measuring of achieved results, how many documents/protocols, programmer, strategy plans developed and accepted). This indicator also measures the number of meetings with engagements of political leaders on water and environment (Ministers and above) from each countries of CA.</i>	
Unit of Measure: Average annual change across the five countries	
Data Type: Numeric	
Disaggregated by: Country	
Rationale for the Context Indicator (how it will be used by the Mission): Coordination meetings between relevant State Agencies and other state bodies at the ministerial level or above provide high-level platforms for the discussion and resolution of current and foreseen issues in water and the environment. This discussion can be tracked. This tracking would include yearly agreements between CA countries on fresh water in the region. Established platforms for trans boundary cooperation on water and environment in CA such as ICWC, can be monitored. Sometime meetings or communications results will published as protocols and memorandums that go beyond this indicator, but may support further cooperation.	
PLAN FOR DATA COLLECTION	
Data Source: www.cawater-info.net/index_e.htm www.icwc-aral.uz/resources.htm , www.bwosyrdarya.org , www.amudarya-bwo.org , www.usaid.gov/central-asia-regional , www.sdc-water.ch www.globalwaters.org/resources/announcements/smart-waters-project-water-sector-development-central-asia-and-afghanistan	

USAID CAR RDCS PMP Context Indicator Reference Sheet

Method of Data Collection and Construction: The measurement of this indicator will be determined in the phase of desktop analysis of the weekly newsletter from ICWC, in the section of “International news” and other sources above, reports of other Donor Organizations’ activities in the region and interview with ICWC and other stakeholders.

Each country/ministerial leader meeting counts as 1.

Country	2020 Baseline	2021	2022	2023	2024
Kazakhstan	TBD				
Kyrgyzstan	TBD				
Tajikistan	TBD				
Turkmenistan	TBD				
Uzbekistan	TBD				
Total	TBD				

There are also several pilot projects been implemented by Tetra Tech, under the Regional Water and Vulnerable Environment Activity and SWP project and the number of beneficiaries will be identified based on AMELP reports of IP. The indicator can thus work with IPs of, Regional Water and Vulnerable Environment Activity and SWP-developed or improved tools as well as the next IP, which might utilize and support the continued developing activities of RWVEA, ICWC as well as develop and spread the use of new tools and activities.

Reporting Frequency: Annually

Individual(s) Responsible at USAID: TBD (Mission selected)

TRIGGER AND BASELINE

Baseline Timeframe: 2020 TBD

Trigger: TBD, but Mission determined and unlikely

Rationale for Trigger: TBD, but Mission determined and unlikely

DATA QUALITY

Known Data Limitations: Other methods of high-level cooperation between CA leaders at the ministerial level and above exist and are used to support regional cooperation. These methods area not measured through this indicator.

CHANGES TO CONTEXT INDICATOR

Changes to Indicator: TBD (Mission tracked and determined)

Other Notes:

THIS SHEET LAST UPDATED ON: 11/12/2021

USAID CAR RDCS PMP Context Indicator Reference Sheet						
Name of Context Indicator: Available fresh water per capita						
Name of Relevant Result(s) (IR, sub-IR,):						
IR 1.3 Transboundary Cooperation on Water and Environment Improved						
DESCRIPTION						
Precise Definition(s): The indicator measures the availability of fresh water in cubic meters (m3) per capita by country of the region.						
Unit of Measure: cubic meters of fresh water per capita						
Data Type: Numeric						
Disaggregated by: Country						
Rationale for the Context Indicator (how it will be used by the Mission): Stress on limited fresh water supplies may affect transboundary cooperation on water and the environment in Central Asia. By 2040, the total population of Central Asian countries is expected to increase to 86 million from 66 million now. Growth, migration to urban areas and climate change impact will put enormous stress on water and infrastructure, while the economies of these countries are developing under increasing water deficiency. Development problems in the region are exacerbated by the shortage of fresh water, which creates tensions between countries with different reserves and renewable possibilities of freshwater to use for both for irrigation and for industry and municipal needs. Availability of fresh water also affects to the public health and providing continuous access to safe drinking water is fundamental to protecting the population from disease. Established platforms for trans boundary cooperation on water and environment in the CA Region such as ICWC can be used for measurement.						
PLAN FOR DATA COLLECTION						
Data Source: www.cawater-info.net/index_e.htm						
www.icwc-aral.uz/resources.htm , www.bwosyrdarya.org , www.amudarya-bwo.org , www.usaid.gov/central-asia-regional , www.sdc-water.ch						
Method of Data Collection and Construction:						
The measurement of this indicator will be determined in the phase of desktop analysis of the statistic and hydro met data from all five countries, newsletters from ICWC, in the section of “International news” and other sources above, reports of other Donor Organizations’ activities in the region and interview with ICWC and other stakeholders.						
WAVE can compile or calculate available fresh water (m3 /capita) by country.						
Country	2020	2021	2022	2023	2024	
Kazakhstan	6490					
Kyrgyzstan	8480					
Tajikistan	13500					
Turkmenistan	4090					
Uzbekistan	1870					
Reporting Frequency: Annually						

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Individual(s) Responsible at USAID: TBD (Mission selected)	
TRIGGER AND BASELINE	
Baseline Timeframe: 2020 Reports	
Trigger: TBD, but Mission determined and unlikely	
Rationale for Trigger: TBD, but Mission determined and unlikely	
DATA QUALITY	
Known Data Limitations: the IPs Reports and publication of ICWC provides extensive documentation on the components of the two indices	
CHANGES TO CONTEXT INDICATOR	
Changes to Indicator: TBD (Mission tracked and determined)	
Other Notes:	
THIS SHEET LAST UPDATED ON: 11/12/2021	

USAID CAR RCDS PMP Context Indicator Reference Sheet

Name of Context Indicator:

Change in Ability of Central Asian States and Societies to Reduce VE Risks

Name of Relevant Result(s) (IR, sub-IR,):

IR 2.2 Ability of Central Asian Actors to Reduce Violent Extremism Risks Strengthened

DESCRIPTION

Precise Definition(s): *Change in annual average of sum of 5 Central Asian countries' individual scores from two Pew Forum annual composite measures, inverted sign.* The indicator is created by adding together annual country-level Government Restrictions Index (GRI) and social hostilities index (SHI) scores for a year, then comparing them to these scores from the year before, inverting the numbers so that the change from year to year is negative if a country has a lower score in year 2 compared to year 1 (doing better in the expected relationship with VE) or positive if a country has a higher score in year 2 compared to year 1 (doing worse in the expected relationship with VE), then averaged across the five Central Asian states covered by the Regional Mission

Unit of Measure: Average annual change across the five countries

Data Type: Numeric

Disaggregated by: Geography - Country

Rationale for the Context Indicator (how it will be used by the Mission): Key drivers that lead people to turn to violent extremism are thought to include government restrictions on religious freedom and the extent to which societies are restrictive of religious freedom, including through support for violent extremism (itself a way of limiting religious freedom). A reliable, valid composite indicator for this concept exists and is measured by Pew annually with data that lag two years behind. The way the two indices can work together are for example by capturing hate crimes, mob violence and sectarian fighting that occur in the aftermath of a terrorist attack or in the context of a religion-related conflict would be counted in the Social Hostilities Index, and laws or policies that clearly discriminate against any particular religious group would be registered on the Government Restrictions Index. Both of these types of events, we expect, increase the risks that some people will turn to violent extremism. Both these events would increase scores on the respective index that measures it, demonstrating rising VE risks at the country and when averaged the regional levels.

Change in Ability of Central Asian States and Societies to Reduce VE Risks (inverted scale)*

Country	2017	2018	Annual Change 2018	2019	Annual Change 2019	2020	Annual Change 2020	2021	Annual Change 2021	2022
Kazakhstan	7.9	8.2	-0.3	9	-0.8					
Kyrgyzstan	9.7	11.1	-1.4	8.8	2.3					
Tajikistan	9.5	11	-1.5	10.8	0.2					
Turkmenistan	8.3	9.9	-1.6	8.8	1.1					
Uzbekistan	9.7	9.7	0	10.1	-0.4					
Average	9.02	9.98	-0.96	9.5	0.48					

USAID CAR RCDS PMP Context Indicator Reference Sheet

*inverted scale so change in sum of GRI and SHI scores is negative if data demonstrate worsening situation (more government and social restrictions on religion with social violence present around religion), which has increased the score for the merged GRI/SRI measure. The change in the number is positive, but the anticipated effect of this annual measure of change is negative on the capacity to reduce VE risks. So the indicator value is inverted to be negative for reporting on the context indicator to clearly reflect the change in the capacity of CA societies and states to reduce VE risks - the indicator for the CI.

Here for example, Kazakhstan scores a 7.9 in 2017 from a 7.1 GRI and 0.8 SHI score, and 8.2 in 2018 from a 7.0 GRI and 1.2 SHI. Subtracting 2017 from 2018 produces 0.3 ($8.2 - 7.9 = 0.3$). Invert this by changing the sign (+ or -) on the result to get the annual change to report for the country (-0.3), indicating that conditions have gotten a bit worse over 2018 in the country in the context – change in the ability of Central Asian States and Societies to Reduce VE risks.

PLAN FOR DATA COLLECTION

Data Source: Pew Research Center, <https://www.pewforum.org/>. For 2020, https://www.pewforum.org/wp-content/uploads/sites/7/2020/11/PF_11.10.20_religious_restrictions.full_report.pdf, for 2021, https://www.pewforum.org/wp-content/uploads/sites/7/2021/09/PF_09.30.21_religious_restrictions-Full_PDF.pdf

Method of Data Collection and Construction: The Pew Research Center describes the methodologies that it uses to develop and measure the 20 indicators that go into the GRI and the 13 indicators that make up the SHI each year (example here is 2021), each of which are based on coding of a range of systematically produced documents by two staff members and then discussed with lead researchers using methodologies that are explained in the report. Coding is done on a standard 0-10 scale. Averaging these individual indices, which were first tested to validate that they are reliable enough to aggregate together, produces the composite GRI and SHI indices also on a standard 0-10 scale. The indicator adds together these two different scales to aggregate the ways governments and societies together restrict religious freedom. The indicator, like the IR, then measures annual change in these restrictions to provide a simple reference point for how the ability of Central Asian States and Societies to Reduce VE risks is changing (with an inverted scale, changing negative to positive and vice versa, so that a negative score in a year indicates a worsening environment and a positive score for change in a year indicates an improving environment for countering VE).

Reporting Frequency: Annually in Fall by Pew Forum (<https://www.pewforum.org/>), measured by country, in Appendix C (for 2021, p. 68 and 69 are on Asia Pacific, in 2020, p. 64 and 65 cover the Asia Pacific). The last two columns are the most recent year's GRI and SHI measures, and the prior two columns are the comparison last year).

Individual(s) Responsible at USAID: TBD (Mission selected)

TRIGGER AND BASELINE

Baseline Timeframe: 2020 report provides data on 2018, which is appropriate for the baseline, as the effects of government and social restrictions on religious freedom are expected to take time to affect the incidence of VE.

Baseline (2020) is **-0.96**

2021 measure to report is **0.48**

Trigger: TBD, but Mission determined and unlikely

Rationale for Trigger: TBD, but Mission determined and unlikely

USAID CAR RCDS PMP Context Indicator Reference Sheet	
DATA QUALITY	
Known Data Limitations: Pew provides extensive documentation on the components of the two indices, GRI and SHI	
CHANGES TO CONTEXT INDICATOR	
Changes to Indicator: TBD (Mission tracked and determined)	
Other Notes:	
THIS SHEET LAST UPDATED ON: 9/23/2021	

IR 2.1 Central Asian Cooperation on Addressing Trafficking in Persons Strengthened

USAID CAR RDCS PMP Context Indicator Reference Sheet																				
Name of Context Indicator:																				
Trafficking in Persons (TIP) Report tier ranking																				
Name of Relevant Result(s) (IR, sub-IR,):																				
IR 2.1 Central Asian Cooperation on Addressing Trafficking in Persons Strengthened																				
DESCRIPTION																				
Precise Definition(s): This context indicator shows the placement of each CA country by the US Department of State TIP Report for government's efforts to combat trafficking in persons measured against the Trafficking Victims Protection Act, 2000. The measure focuses on minimum standards compared to country's efforts in the preceding year.																				
Unit of Measure: The tier's number (from 1 to 4)																				
Data Type: Number																				
Disaggregated by: Geography – Country																				
Rationale for the Context Indicator (how it will be used by the Mission):																				
The U.S. Department of State TIP Report reflects the level of government anti-trafficking efforts in the three pillars of prevention, prosecution and protection. Although the TIP Report identifies the achievements of each country individually (rather than regionally), domestic efforts are directly linked to regional accomplishments and RDCS performance indicators due to the transnational nature of the trafficking phenomenon. Legal assistance or return assistance provided to trafficked persons, like preventive measures, usually require the efforts of partners from more than one country. Adopting policies and laws to prosecute and punish perpetrators, identifying and protecting victims of trafficking in persons, etc. based on recognized international legal standards are steps toward harmonizing regional legislation in Central Asia. This indicator can be used to monitor the situation in IR 2.1. which will allow tracking changes on an annual basis and comparing accomplishments with previous years (through each country's efforts). In 2021, 4 of the 5 CA countries: Kazakhstan, Uzbekistan, Kyrgyzstan and Tajikistan are at Tier 2, while Turkmenistan is still at Tier 3 because the country "does not fully meet the minimum standards for the elimination of trafficking and is not making significant efforts to do so", despite some trafficking prevention activities.																				
The US TIP Report ranking of CA countries, Baseline <table border="1"> <thead> <tr> <th>Country</th><th>2020</th><th>2021</th></tr> </thead> <tbody> <tr> <td>Kazakhstan</td><td>Tier 2 WL</td><td>Tier 2</td></tr> <tr> <td>Kyrgyzstan</td><td>Tier 2 WL</td><td>Tier 2</td></tr> <tr> <td>Tajikistan</td><td>Tier 2</td><td>Tier 2</td></tr> <tr> <td>Turkmenistan</td><td>Tier 3</td><td>Tier 3</td></tr> <tr> <td>Uzbekistan</td><td>Tier 2 WL</td><td>Tier 2</td></tr> </tbody> </table>			Country	2020	2021	Kazakhstan	Tier 2 WL	Tier 2	Kyrgyzstan	Tier 2 WL	Tier 2	Tajikistan	Tier 2	Tier 2	Turkmenistan	Tier 3	Tier 3	Uzbekistan	Tier 2 WL	Tier 2
Country	2020	2021																		
Kazakhstan	Tier 2 WL	Tier 2																		
Kyrgyzstan	Tier 2 WL	Tier 2																		
Tajikistan	Tier 2	Tier 2																		
Turkmenistan	Tier 3	Tier 3																		
Uzbekistan	Tier 2 WL	Tier 2																		
PLAN FOR DATA COLLECTION																				
Data Source:																				
The main source of information will be the US Department of State TIP Report published annually at Trafficking in Persons Report - United States Department of State. For 2021 - 2021 Trafficking in Persons Report - United States Department of State and for 2020 2020 Trafficking in Persons Report - United States Department of State																				

USAID CAR RDCS PMP Context Indicator Reference Sheet

Method of Data Collection and Construction:

Data will be collected through an annual review and analysis of the US Department of State TIP Report. To compile the report, the US Department of State relies on data from US embassies abroad, government officials, nongovernment and international organizations, experts' opinions, and other data. Bureau for International Narcotics and Law enforcement (INL) offices in the embassies abroad are the main focal point for data collection within each country.

When analyzing the data, it is important to pay attention to the Report methodology - how placement of each is made – and the specific sections such as:

- A Guide to the tiers (p.52 – 54. TIP Report, 2021)
- TVPA minimum standards for the elimination of trafficking in persons (p.56-58. TIP Report, 2021)
- How to read a country narrative (p.74. TIP Report, 2021)

Regarding governments' efforts, it is important to analyze the laws and policies of the Central Asian countries for their compliance with the [2000 Palermo Protocol](#), as also highlighted in the US Department of State TIP Report.

Country rankings briefly are:

Tier 1, where governments fully comply with the TVPA's minimum standards.

Tier 2, where governments do not fully comply with all of TVPA's minimum standards but are making significant efforts to bring themselves into compliance with those standards.

Tier 2 watchlist (WL), where governments do not fully comply with the TVPA's minimum standards, but are making significant efforts to bring themselves into compliance with those standards and meet one or more of the following three conditions:

The absolute number of victims of severe forms of trafficking is very significant or is significantly increasing; or

There is a failure to provide evidence of increasing efforts to combat severe forms of trafficking in persons from the previous year; or

The determination that a country is making significant efforts to bring themselves into compliance with minimum standards was based on commitments by the country to take additional future steps over the next year.

Tier 3, where governments do not fully comply with the minimum standards and are not making significant efforts to do so.

Reporting Frequency: Annually

Individual(s) Responsible at USAID: TBD (Mission selected)

TRIGGER AND BASELINE

Baseline Timeframe: The baseline year is 2021 which presents data for each of the countries. When collecting and analyzing data, it is important to pay attention to the data presented in the previous year's report, as comparisons are made with the efforts made by the government in the previous year as well.

Trigger: TBD, but Mission determined and unlikely

Rationale for Trigger: TBD, but Mission determined and unlikely

DATA QUALITY

Known Data Limitations: The US Department of State TIP report is based more on the TVPA standards, which is a domestic legal act of the US, while the CA countries are currently to a greater extent guided by the standards of the Palermo Protocol, which has been [ratified](#) by each of these countries

USAID CAR RDCS PMP Context Indicator Reference Sheet	
CHANGES TO CONTEXT INDICATOR	
Changes to Indicator:	TBD (Mission tracked and determined)
Other Notes:	
THIS SHEET LAST UPDATED ON: 11/12/2021	

USAID CAR RDCS PMP Context Indicator Reference Sheet																															
Name of Context Indicator:																															
Global Organized Crime Index (OCINDEX) Trafficking in Persons Index																															
Name of Relevant Result(s) (IR, sub-IR,):																															
IR 2.1 Central Asian Cooperation on Addressing Trafficking in Persons Strengthened																															
DESCRIPTION																															
Precise Definition(s): The Global Organized Crime Index (tool) evaluates 193 UN member states (including all 5 CA countries) according to two metrics - their criminality on a score from 1 to 10 (lowest to highest organized crime levels), which in turn is based on their criminal markets score and criminal actors score; and according to their resilience to organized crime, from 1 to 10 (lowest to highest resilience levels). Two component indices measure human trafficking markets and human smuggling markets. The TIP index averages these two markets together by country.																															
Unit of Measure: 1 to 10 (lowest to highest level)																															
Data Type: Decimal number																															
Disaggregated by: Country																															
Rationale for the Context Indicator (how it will be used by the Mission): This indicator provides a reference framework to the market for human trafficking and human smuggling across CA and within CA countries. The indicator also allows the RM to indirectly assess the level of interaction and cooperation between the 5 CA countries through the ways this affects the national challenges of human trafficking and human smuggling in the region. Collecting data on this context indicator will allow the RM and IPs to analyze and compare the market for TIP crimes that CTIP programming endeavors to degrade. As criminal legislation of the CA countries is not sufficiently harmonized and uses different definitions, categories and types of crimes in the field of trafficking in persons; data collection under this indicator will allow the RM and stakeholders to facilitate the data collection and analysis of TIP related crimes (as part of the transnational organized crimes) and level of the countries / region resilience and improve the countries/region legislation and responses accordingly. The table below indicates the OCINDEX/TIP scores generated for each Central Asian country and the average across the CA region in 2021.																															
<table border="1"> <thead> <tr> <th>Country</th><th>Human Trafficking score, 2021</th><th>Human Smuggling score, 2021</th><th>Combined TIP score, (Average) 2021</th></tr> </thead> <tbody> <tr> <td>Kazakhstan</td><td>5.50</td><td>4</td><td>4.75</td></tr> <tr> <td>Kyrgyzstan</td><td>6.50</td><td>4</td><td>5.25</td></tr> <tr> <td>Tajikistan</td><td>6.5</td><td>6</td><td>6.25</td></tr> <tr> <td>Turkmenistan</td><td>8.50</td><td>5</td><td>6.75</td></tr> <tr> <td>Uzbekistan</td><td>7.50</td><td>6</td><td>6.75</td></tr> <tr> <td>Average</td><td>6.9</td><td>5</td><td>5.95</td></tr> </tbody> </table>				Country	Human Trafficking score, 2021	Human Smuggling score, 2021	Combined TIP score, (Average) 2021	Kazakhstan	5.50	4	4.75	Kyrgyzstan	6.50	4	5.25	Tajikistan	6.5	6	6.25	Turkmenistan	8.50	5	6.75	Uzbekistan	7.50	6	6.75	Average	6.9	5	5.95
Country	Human Trafficking score, 2021	Human Smuggling score, 2021	Combined TIP score, (Average) 2021																												
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Kyrgyzstan	6.50	4	5.25																												
Tajikistan	6.5	6	6.25																												
Turkmenistan	8.50	5	6.75																												
Uzbekistan	7.50	6	6.75																												
Average	6.9	5	5.95																												
PLAN FOR DATA COLLECTION																															
Data Source: Global Initiative against Transnational Organized Crime. The Global Organized Crimes Index																															

USAID CAR RDCS PMP Context Indicator Reference Sheet	
Method of Data Collection and Construction:	
The U.S. Department of State, as well as the ENACT program funded by the European Union, supported the development and construction of the index, which is implemented by the Institute for Security Studies and INTERPOL, in affiliation with the Global Initiative Against Transnational Organized Crime. The OCINDEX assesses levels of organized crime and resilience to organized criminal activity by country. It includes in its rankings all the UN member states – 193 countries, including all CA countries. The Index provides assessment to date of the pervasiveness of criminal markets, the dynamics of criminal actors, and of countries' effectiveness in establishing the defense mechanisms and responses needed to ensure operational resilience to organized crime. The Index metrics are based on three constituent parts: the scope, scale and impact of specific criminal markets; the structure and influence of criminal actors; and the extent and effectiveness of countries' resilience measures – the antibodies that protect against the threat of organized crime. To get the criminality score the index evaluates the 10 criminal markets, including the human trafficking and human smuggling; each market is given its own score for each market based on an expert survey. The Human Trafficking scores and the Human Smuggling scores for 2021 are reported as the second and third columns of the Criminal Market Scores reported starting from p. 154. The Average TIP score is generated by averaging the country scores for a year in the two criminal markets within TIP, human trafficking and human smuggling. This average number can serve as the context indicator representing the nature and scale of the challenge faced in Central Asia in combating the TIP markets through measuring the scale and size of the TIP market by country. Scores are estimates made and validated by experts using Global Initiative training, guidance, and tools.	
Reporting Frequency: Anticipated to be every two years.	
Individual(s) Responsible at USAID: TBD (Mission selected)	
TRIGGER AND BASELINE	
Baseline Timeframe: Baseline Year is 2021. TIP criminality score average across CA is 5.95 :	
Trigger: TBD, but Mission determined and unlikely	
Rationale for Trigger: TBD, but Mission determined and unlikely	
DATA QUALITY	
Known Data Limitations:	
The main limitations associated with the use of this indicator are: - it is a long-term mechanism to collect data (two years, which is necessary to collect such an extensive information) and - the lack of a breakdown by law enforcement measures important for further strengthening of efforts to combat trafficking in persons.	
CHANGES TO CONTEXT INDICATOR	
Changes to Indicator: TBD (Mission tracked and determined)	
Other Notes:	
THIS SHEET LAST UPDATED ON: 11/12/2021	

ANNEX 4: PERFORMANCE INDICATOR REFERENCE SHEETS (PIRS)

IR 1.1: Barriers to Trade Reduced

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: EG.2.1-2 Average time (in hours) to trade goods along trade corridor receiving USG assistance
Name of Result Measured (IR, sub-IR): <i>IR 1.1: Barriers to Trade Reduced</i>
Is This a Performance Plan and Report Indicator? No ___ for Reporting Year(s) ___ If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): This indicator measures the average time taken to trade goods in target value chains along the main, defined trade corridor receiving USG assistance from the point of origin to the destination. The time is measured from the date and time of arrival to the border until the date and time of the release. The trade corridor should (1) span at least two countries to count for this indicator, and (2) receive USG assistance in the year of reporting. The corridor may cover land or sea, or a combination of both.
Unit of Measure: Hours
Data Type: Decimal
Disaggregated by: corridor
Rationale for Indicator: The rationale is that reducing the time to trade goods along trade corridors reduces the cost to traders, facilitating growth in both the value and participation in international trade, and ultimately broad-based economic growth in the host country/countries. A simpler and smoother trading process minimizes dead-times, unnecessary inspections and paperwork at borders, which in turn reduce indirect costs of the goods.
PLAN FOR DATA COLLECTION
Data Source: Project's Time Release Studies.
Method of Data Collection and Construction: To collect data on the cost and days to trade across borders, implementing partners(s) will need to work with transporters and shippers involved in the trade of targeted value chains to note departure and arrival days and times, and delays at the border(s), whether land, sea, or airports. If a procedure can be accelerated for an additional cost, the fastest legal procedure is chosen. Procedures that can be completed in parallel are measured as simultaneous. The indicator includes the waiting time between procedures, including during unloading of cargo. In the narrative accompanying the indicator in the PPR, the reporting OU should briefly define the trade corridor reported against, and the good(s)/container size selected to calculate the average time. The corridor and good(s) selected for this indicator should remain constant throughout a project's or activity's performance period, i.e. across PPRs, to the extent feasible.
Reporting Frequency: Annual
Individual(s) Responsible at USAID: TBD (Mission selected)

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
TARGETS AND BASELINE	
Baseline Timeframe: 2021, TBD	
Rationale for Targets: TBD (Mission selected)	
DATA QUALITY ISSUES	
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)	
Date of Future Data Quality Assessments : TBD (Mission determined)	
Known Data Limitations: Challenges to examine with this indicator include the definition of terms with respect to defining “trade corridor receiving USG assistance from the point of origin to the destination” as well as how to determine that a particular trend in the time reduction was improved with USAID support as other factors could drive in parallel these changes. Information on Time Release Studies may be treated as confidential by some Governments in the region.	
CHANGES TO INDICATOR	
Changes to Indicator: TBD (Mission determined)	
Other Notes: <i>This indicator is subject to revision due to challenges in defining “trade corridor receiving USG assistance”. Another alternative indicator could be selected, such as EG 2.2.-1 “Number of firms receiving USG-funded technical assistance to export”.</i>	
THIS SHEET LAST UPDATED ON: 10/11/2021	

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: EG.2.1-1 Number of WTO Trade Facilitation Agreement provisions supported by USG assistance
Name of Result Measured (IR, sub-IR): <i>Sub-IR 1.1.1 Customs and border procedures harmonized</i>
Is This a Performance Plan and Report Indicator? No ___ Yes ___ for Reporting Year(s) ___ If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): The World Trade Organization (WTO) Bali Ministerial Conference concluded on December 7, 2013 with agreement on a package of issues designed to streamline trade, boost developing countries' trade, and spur economic growth, particularly in least developed countries (LDCs)—the Trade Facilitation Agreement (TFA). The TFA contains 13 articles with a combined total of 41 specific provisions. The maximum number of provisions that could be reported against this indicator would therefore be 41. These include provisions for expediting the movement, release and clearance of goods, including goods in transit. The TFA also sets out measures for effective cooperation between customs and other appropriate authorities on trade facilitation and customs compliance issues. The TFA further contains provisions for technical assistance and capacity building in this area. Refer to for more information http://www.tfafacility.org/trade-facilitation-agreement-facility and the full text of the TFA. USG assistance may include training, technical assistance, information collection and dissemination, public-private dialogue, improvement of hardware/infrastructure or development of information systems, the delivery of which was made possible in part or full by USG funding or in-kind assistance.
Unit of Measure: Number of Provisions
Data Type: Number
Disaggregated by: Country
Rationale for Indicator: Implementation of WTO TFA provisions improves trade performance and therefore competitiveness of countries and the region, and ultimately, supporting broad-based economic growth in the countries of the region. Measuring an activity's support for country-based new and continuing TFA provisions indicates how USAID activities support stronger trade performance.
PLAN FOR DATA COLLECTION
Data Source: Official reports from the current RM activity Trade Central Asia (TCA); the Competitiveness, Trade, and Jobs activity (CTJ), now closed, may also contribute data for 2021. USAID and IPs may use the WTO Trade Facilitation Agreement Database at https://www.tfadatabase.org/members/
Method of Data Collection and Construction: Official reports from TCA on the revision of regulations and official documents that set forth the adoption and implementation of the WTO TFA provisions. TCA, now in start up and developing its work plan and AMELP, anticipates working to support TFAs in countries of the region and to delivering data to measure this indicator.
Reporting Frequency: Annual for PMP
Individual(s) Responsible at USAID: TBD (Mission selected)

USAID CAR RDCS PMP Performance Indicator Reference Sheet
TARGETS AND BASELINE
Baseline Timeframe: 2021, 0 (although some regulations developed under former CTJ activity contributed to TFA)
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments: TBD (Mission determined)
Known Data Limitations: Timeliness of the information.
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes: The provisions will be supported according to the pace of implementation of Project's activities and annual work plans
THIS SHEET LAST UPDATED ON: 10/11/2021

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: Number of firms or organizations participating in public-private dialogue as a result of USAID assistance
Name of Result Measured (IR, sub-IR): Sub-IR 1.1.2 Public/private dialogue on regional trade and investment increased
Is This a Performance Plan and Report Indicator? No __ Yes _ for Reporting Year(s) __ If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): This indicator is a count of the number of entities participating in the public-private interaction organized with USG assistance to advance regional trade and investment. The public-private interaction on regional trade and investment can be institutionalized to various degrees and includes: (i) formal discussion meetings/forums bringing together civil servants and private sector stakeholders; (ii) seminars/workshops organized for government officials and business sector, (iii) working group meetings, and (iv) others. Entities can be public (line ministries, investment councils, National Trade Facilitation Committees and other government agencies) and private (firms, private companies or associations, transportation companies and brokers, etc.).
Unit of Measure: Number of entities
Data Type: Number
Disaggregated by: Public Sector Entity/Private Sector Entity, Country
Rationale for Indicator: Public-private dialogue presents a platform for public and private stakeholders to define and analyze problems, find solutions and agree on specific reforms. Dialogue in trade and investment should improve the participants' capacity to facilitate increased trade and investment, and ultimately, broad-based economic growth in the target country/countries.
PLAN FOR DATA COLLECTION
Data Source: Attendance lists from TCA and FGI events Information collected from implementing partners of Trade Central Asia (TCA) and Future Growth Initiative Project (FGI) who record the entities attending events on public-private partnerships in trade.
Method of Data Collection and Construction: Lists of attendees and records of each training/seminar/ workshop/formal meetings/forums/working group meetings on PPD by TCA. FGI has an indicator "Number of partner government officials attending USG sponsored meetings on competitiveness and public private dialogue." USAID will need to add together the attendees of FGI to those of TCA as recorded by the IPs.
Reporting Frequency: Quarterly by TCA and FGI through AMELPs, annually for PMP
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: 2021 TBD

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments : TBD (Mission determined)
Known Data Limitations:
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes:
THIS SHEET LAST UPDATED ON: 10/11/2021

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: Value of cross-border transactions with firms receiving U.S. assistance – Suggest change to Number of cross-border agreements made by firms receiving U.S. assistance
Name of Result Measured (IR, sub-IR): Sub-IR 1.1.3 Cross-border firm-to-firm connectivity increased
Is This a Performance Plan and Report Indicator? No __ Yes _ for Reporting Year(s) __ If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): The indicator measures the value in U.S. dollars of the total amount of cross-border transactions with firms receiving USG assistance. For the purposes of this indicator, “assisted firms” are defined as firms receiving USG-funded assistance for improvement of their business, whether formal or informal. The suggested change of reporting the Number of cross-border agreements with firms receiving U.S. assistance instead is to avoid the data and reporting challenges presented by requesting financial data from assisted firms.
Unit of Measure: USD
Data Type: : Number
Disaggregated by: Between region counties/ Beyond region
Rationale for Indicator: The rationale is that increased cross-border transactions are one of the indications of trade extent. The indicator provides a reference framework to analyze improved access to trade within the Central Asia region and to external markets beyond the region.
PLAN FOR DATA COLLECTION
Data Source: Information collected from implementing partner (DAI Project on Trade Central Asia (TCA))
Method of Data Collection and Construction: TCA records
Reporting Frequency: Annual
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: 2022 TBD
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments : TBD (Mission determined)

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Known Data Limitations: Challenges in collecting data on this indicator reflect the sensitive nature of the subject and information on transaction value which may be treated as confidential by firms. The measure was supported to some extent in a previous period by the recently closed Competitiveness, Trade, and Jobs Activity (CTJ) activity through collecting data on numbers and values of Letters of Intent signed, and information on number of deals. Although there were also some attempts to collect data on actual value of deals by previous project activity, the CTJ Project had little success in this area as not all firms were willing to disclosure value transactions data. <i>This indicator and its measurement needs support by the regional mission and IPs for finalization.</i>	
CHANGES TO INDICATOR	
Changes to Indicator: TBD (Mission determined)	
Other Notes:	
THIS SHEET LAST UPDATED ON: 10/11/2021	

IR 1.2: Regional Energy Modernization Increased

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Name of Performance Indicator: Number of technological solutions or new management practices applied as a result of U.S. assistance	
Name of Result Measured (DO, IR, sub-IR, Project Purpose, Project Outcome, Project Output, etc.): IR 1.2 Regional Energy Modernization Increased	
Is This a Performance Plan and Report Indicator? No ___ Yes ___ for Reporting Year(s) _ If yes, link to foreign assistance framework	
DESCRIPTION	
Precise	Definition(s):
Number of technology solution are professional services designed to facilitate the use of technology by enterprises and end users of modern energy. Technology services provide specialized technology-oriented solutions by combining the processes and functions of software, hardware, networks, telecommunications, and electronics. New management practices are the working methods and innovations that managers use to make the organization more efficient.	
Unit of Measure:	Integer
Data Type:	Number
Disaggregated by:	N.A.
Rationale	for Indicator:
Measure, report and reduce the environmental footprint (including the reduction of greenhouse gas emissions) of technological and / or ICT infrastructure products and services: 1) end devices, 2) information and data access and distribution networks, 3) data centers and business networks. Reduce the generation of e-waste, promote the circularity of technological products, identify traceability, extend their useful life indicator 4, "Number of tools, approaches, methodologies, models and systems developed for improved renewable energy (RE) and energy efficiency (EE) planning and operation, for example, with a life cycle approach, and / or facilitate its reuse, repair, renovation, remanufacturing and recycling. Improve energy efficiency, promote the use of renewable energy, and incorporate sustainability criteria in the use and management of storage centers in data and / or in fixed and mobile data networks. Optimize data consumption and transmission and the performance of software and hardware applications (for example, the use of green coding, also called clean coding, and refactoring).	
PLAN FOR DATA COLLECTION	
Data Source:	
RM activities in regional energy modernization (PCA and CAREM) should provide these performance data based on their work with national and regional partners across CA. This indicator is not measured at present in the PCA or CAREM AMELPs and was not measured by PtF.	

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Method of Data Collection and Construction: PCA could develop an indicator to measure this PMP indicator. For 2021, PtF had a similar indicator that measured the development of new technological solutions (Indicator 4, “Number of tools, approaches, methodologies, models and systems developed for improved renewable energy (RE) and energy efficiency (EE) planning and operation.”) The RM could request data on the application of these tools from the IP at close-out. CAREM’s indicator “Number of tools (e.g. models, concepts, analyses, methodologies, etc.) developed in support of the creation of a regional electricity market as supported by USAID” could be followed up on by CAREM to collect data and report on the number of times these tools are used. <i>Additional work is required by IPs to develop the methods of data collection and construction on this indicator.</i>
Reporting Frequency: Annually for PMP.
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: 2021
Rationale for Targets : TBD (Mission determined)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s):
Date of Future Data Quality Assessments : TBD (Mission determined)
Known Data Limitations:
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes:
THIS SHEET LAST UPDATED ON: 11/12/2021

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Name of Performance Indicator:	EG 7.1.1- Number of beneficiaries with improved energy services due to USG assistance
Name of Result Measured (DO, IR, sub-IR, Project Purpose, Project Outcome, Project Output, etc.):	IR 1.2: Regional Energy Modernization Increased
Is This a Performance Plan and Report Indicator? No ___ Yes ___ for Reporting Year(s) _ If yes, link to foreign assistance framework	
DESCRIPTION	
Precise Definition(s):	The number of people who benefit from improved energy services due to USAID assistance. Guidance on standard indicators provides illustrative examples of improved energy service that include a new electricity connection, improved cook stove, or access to gas, increased number of hours of electricity service, and reduced outages and voltage fluctuations. A limitation of this indicator is estimating the number of beneficiaries of energy services for public facilities (schools, health clinics, etc.). The guidance notes that IPs will be asked to identify the infrastructure or service that has been supported with USAID funding, and to estimate using reasonable methods the number of beneficiaries. This indicator can be extrapolated from the average number of persons per household, which will vary by country. Beneficiaries may be counted each time they receive an improved energy service so may appropriately be counted more than once. This indicator includes disaggregates for whether the improved energy service is from clean energy or non-clean energy sources, and for the sex of the beneficiaries.
Unit of Measure:	Number of people
Data Type:	Integer
Disaggregated by:	By country, then by: • Clean energy male • Clean energy female • Non-clean energy male • Non-clean energy female
Rationale for Indicator :	The number of beneficiaries of USAID- assisted energy services demonstrates the impact of USAID assistance. indicate increased availability of energy for more rapid and sustained economic growth and social development.
PLAN FOR DATA COLLECTION	
Data Source:	This indicator is not measured at present in the RM's activities in the sector, PCA or CAREM and was not measured by PtF in its last year of implementation 2021. PCA and CAREM could use the data collected on the specific partners that deliver improved energy services to estimate the number of beneficiaries they reach with these improved energy services. PCA and CAREM
Method of Data Collection and Construction:	The RM should work with PCA and CAREM M&E to determine reasonable assumptions and appropriate methodologies to estimate the beneficiaries reached with improved energy services due to these activities. These estimates can then be reported. These methodologies need to comprehensively explain the logic and data that produce these estimates.

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Reporting Frequency: Annually
Individual(s) Responsible at USAID: TBD (Mission determined)
TARGETS AND BASELINE
Baseline Timeframe: 2021, the first year of implementation of the RDCS. Data not available.
Rationale for Targets : TBD (Mission determined)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s):
Date of Future Data Quality Assessments:
Known Data Limitations:
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes:
THIS SHEET LAST UPDATED ON: 11/12/2021

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Name of Performance Indicator: Number of laws, policies, regulations, or standards to enhance energy sector governance formally proposed, adopted, or implemented as supported by USG assistance (EG.7.3-1)	
Name of Result Measured (IR, sub-IR): Project Purpose, Project Outcome, Project Output, etc.): Sub-IR 1.2.1 - Targeted, Harmonized market liberalization policy reforms across the regional adopted	
Is This a Performance Plan and Report Indicator? No ___ Yes ___ for Reporting Year(s) _ If yes, link to foreign assistance framework	
DESCRIPTION	
Precise	Definition(s):
PCA has developed clear definitions for use of this indicator based on the guidance for standard indicators. Energy plans or strategies and other nationally significant measures may be reported under this indicator. Nationally significant measures may include sector specific or provincial plans, strategies, policies, or industrial standards which, if successfully implemented, could have a significant impact on the country's energy sector. "Formally proposed" means that a relevant government official or agency, organization, or non-governmental entity with decision-making authority has proposed the measure, according to established procedures, preferably publicly when this is appropriate to the given context. One example of a non-governmental entity could be a standard-setting body for a profession or industry. "Adopted" means officially codified or enacted by a government, organization, or non-governmental entity with decision-making authority in its respective legal, regulatory, policy, or non-governmental system. "Implemented" means that a measure is in force or being executed in the intended geographic locations and at the intended administrative levels. If a measure is not yet adopted, it must at least be formally proposed within an official process to be reported. Each measure can be counted once as "proposed," once as "adopted," and once as "implemented," if applicable, within the same reporting period or across multiple reporting periods, as each stage makes progress in energy modernization. The indicator narrative should include a brief explanation of the stage of each measure as reported. Legal, regulatory and policy reform and new industry standards that enhance sector governance may include such measures that, for example, protect consumer interests, enhance transparency, attract private sector investment, and stimulate more efficient and competitive markets. Measures reported under Program Area EG.12 (clean energy programs) should not be reported under this indicator.	
Unit of Measure: Number of measures	
Data Type: Integer	

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Disaggregated by: By administrative level and policy stage: • National, proposed • National, adopted • National, implemented • Sub-national, proposed • Sub-national, adopted • Sub-national, implemented • Regional or international, proposed • Regional or international, adopted • Regional or international, implemented	
Rationale for Indicator: Increasing the number of laws, policies, regulations, standards that enhance regulatory systems ensures transparent energy governance, energy security and sustainable economic growth that is responsive to energy demand in the region while ensuring that natural resources are used efficiently.	
PLAN FOR DATA COLLECTION	
Data Source: RM IPs in energy modernization will collect performance data. ; PCA Objective I: Targeted, harmonized liberalization policy reforms across the region adopted is measured through PCA Indicator 1A that is this PMP indicator precisely. IP (WI) project reports, IPs and Sub-IPs' assessment results, survey findings.	
Method of Data Collection and Construction: TBD with implementing partners. In all cases, the narrative and each implementer's internal documentation should be specific about what the reported number represents, particularly: • What is the title of the measure? • At what stage is it? (Officially proposed, adopted, or implemented) • What is/are the institution(s) that will be implementing or enforcing the measure?	
Reporting Frequency: Annual for PMP	
Individual(s) Responsible at USAID: TBD (Mission selected)	
TARGETS AND BASELINE	
Baseline Timeframe: 2021 result to be reported by PCA will set baseline.	
Rationale for Targets: TBD (Mission determined)	
DATA QUALITY ISSUES	
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)	
Date of Future Data Quality Assessments : TBD (Mission determined)	
Known Data Limitations:	

USAID CAR RDCS PMP Performance Indicator Reference Sheet
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes:
THIS SHEET LAST UPDATED ON: 11/12/2021

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Name of Performance Indicator:	E.G. 7.3-1: Number of laws, policies, regulations, or standards to enhance energy sector governance
Name of Result Measured (DO, IR, sub-IR, Project Purpose, Project Outcome, Project Output, etc.):	Sub-IR 1.2.2 - Regional private investment in clean energy increased
Is This a Performance Plan and Report Indicator?	No ☐ Yes ☐ for Reporting Year(s) If yes, link to foreign assistance framework
DESCRIPTION	
Precise Definition(s): As a standard indicator, the definition of the indicator is also standardized. Dollars leveraged must be attributable to USG efforts in that they would not have been leveraged without USG involvement. Finance may be mobilized from the public sector (e.g., other governments or public multilateral entities) or private sector (e.g., corporate investments) and should help to advance the objectives established by the USG-supported program. USG funding should not be counted under this indicator. Mobilized finance reported under this indicator should be disaggregated as domestic or international. Domestic finance is investment which originated within the country in which it is implemented (e.g. national government funds to support implementation of a project within that country) and international finance is cross-border finance (e.g. a private company based in one country contributing funds for a project in a different country). Mobilized finance reported under this indicator should be disaggregated as domestic or international. Domestic finance is investment which originated within the country in which it is implemented (e.g. national government funds to support implementation of a project within that country) and international finance is cross-border finance (e.g. a private company based in one country contributing funds for a project in a different country). Finance can be mobilized through a variety of instruments and vehicles, including common funding instruments, parallel investments, or in-kind support. Examples of the types of U.S. assistance that could mobilize finance include: Investments made possible by finance interventions, such as: • Grants (or in-kind support) for technical assistance • Loans • Equity or investment shares • Support for development and structuring of other financial instruments • Political, regulatory, or credit risk insurance and guarantees Investments made possible by policy interventions and technical assistance interventions, such as: • Market assessments, financier credit product development, project incubation and preparation; • Market commercialization improvements such as grid code and access laws, transparent and fair permitting and approvals, competitive procurement platforms (e.g. - reverse auctions); • Regulatory policy support for the creation or implementation of feed-in-tariffs, renewables purchase obligations, land-use planning; • Fiscal policy support to develop preferential tax treatment for climate-friendly technologies and environmentally related taxes; and • Information or data-based interventions such as setting up technology centers of excellence, labeling schemes, wind speed or solar radiation mapping. Funds reported under Program Area EG 12 (clean energy programs) should not be reported under this indicator.	
Unit of Measure:	US Dollars

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Data Type:	Integer
Disaggregated by: Disaggregation, by investment source and type:	• Public domestic • Private domestic • Public international • Private international
Rationale for Indicator:	This indicator measures the USG's ability to attract additional resources for energy security and enhance cost-effectiveness by leveraging external like-minded partners. Increased mobilization of private investment would show that the USG is supporting efforts to address the increasing demand for clean energy and consumption issues in the Central Asia. This indicator does not precisely measure the PMP sub-IR. The indicator does not precisely align with the language of the RDCS PMP. The language of Sub-IR 1.2.2 Regional private investment in clean energy increased focuses only on private investment, one of the ways the standard indicator is disaggregated. Regional private investment would be private investment from national and international sources invested in national and regional clean energy projects. Data collection and reporting can focus on this subset and report precisely on national and international private investment in clean energy in the region.
PLAN FOR DATA COLLECTION	
Data Source:	Tetra Tech, under PCA Objective 2: Regional private investment in clean energy increased, will collect data to measure this PMP indicator; it is the same as PCA Indicator 6A. PCA will collect data from public and private sector partners to measure the indicator.
Method of Data Collection and Construction:	PCA will collect data from its partners. The RM should decide whether to: • report on the standard indicator, with the indicator disaggregated and report on the overall standard indicator as private national and international investment in clean energy in the region to accurately reflect the goal of the sub-IR Regional private investment, • change the indicator to only report on a custom indicator – private national and international investment in clean energy in the region; or • change sub-IR 1.2.2 to Regional public and private investment in clean energy increased, which accurately fit the standard indicator by including public investment. Procedures for measurement by PCA depend on the formulation chosen. M&E staff will need to generate these data through work with technical teams.
Reporting Frequency:	Annually for PMP
Individual(s) Responsible at USAID:	TBD (Mission determined)
TARGETS AND BASELINE	
Baseline Timeframe:	2021 as reported in first PCA annual report
Rationale for Targets :	TBD (Mission determined)

USAID CAR RDCS PMP Performance Indicator Reference Sheet
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s):
Date of Future Data Quality Assessments:
Known Data Limitations: Aggregating data to the regional level when actions may be happening at a national or local level which require more nuance/context. Isolating investments by other organizations, institutions, or people will be critical to understand what other positive outcomes have emerged as a result of the PCA activity.
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes:
THIS SHEET LAST UPDATED ON: 11/12/2021

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: Number of agreements on cross-border or regional energy trade proposed, signed, or implemented with U.S. assistance
Name of Result Measured (IR, sub-IR): Project Purpose, Project Outcome, Project Output, etc.): Sub-IR 1.2.3 Regional electricity-market established and functional
Is This a Performance Plan and Report Indicator? No ___ Yes ___ for Reporting Year(s) _ If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): Regional and cross-border energy trades or strategies and other nationally significant measures may be reported under this indicator. Nationally significant measures may include sector specific or provincial plans, strategies, policies, or industrial standards which, if successfully implemented, could have a significant impact on the country's energy sector and on energy trade to neighboring countries. "Proposed" means that a relevant government official or agency, organization, or non-governmental entity with decision-making authority has proposed the measure. One example of a non-governmental entity could be a standard-setting body for a profession or industry. "Adopted" means officially codified or enacted by a government, organization, or non-governmental entity with decision-making authority in its respective legal, regulatory, policy, or non-governmental system. "Implemented" means that a measure is in force or being executed in the intended geographic locations and at the intended administrative levels. If a measure is not yet adopted, it must at least be formally proposed within an official process to be reported. Each measure can be counted once as "proposed," once as "adopted," and once as "implemented," if applicable, within the same reporting period or across multiple reporting periods. The indicator narrative should include an explanation of when each measure is being reported. Legal, regulatory and policy reform and new industry standards that enhance sector governance may include such measures that, for example, protect consumer interests, enhance transparency, attract private sector investment, and stimulate more efficient and competitive markets.
Unit of Measure: Number of agreements, measures
Data Type: Integer
Disaggregated by: By administrative level and policy stage: • National, proposed • National, adopted • National, implemented • Sub-national, proposed • Sub-national, adopted • Sub-national, implemented • Regional or international, proposed • Regional or international, adopted • Regional or international, implemented
Rationale for Indicator: Increasing the number of regional laws, policies, regulations, standards that enhance regulatory systems ensures transparent energy governance, energy security and sustainable economic growth that is responsive to energy demand in the region while ensuring that natural resources are used efficiently.
PLAN FOR DATA COLLECTION

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Data Source: collect data from government/private sector counterparts as relevant to their programming.
Method of Data Collection and Construction: This indicator is not measured at present; under PCA Objective 3, Regional Electricity Market Established and Functional, PCA has in its AMELP a measure that instead assesses the growth of energy trading across borders since the start of the activity. The proposed indicator from the AMELP is Intra- and inter-state energy trading increased, measured in percent of kilowatt hours (% kWh) since PCA inception To report on the PMP indicator, PCA should develop procedures to continuously monitor agreement proposals, agreements, and their implementation as PCA is implemented. This measurement would be needed to set the baseline, the 2021 level achieved with the support of PCA.
Reporting Frequency: Annual
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: 2021 in first PCA annual report
Rationale for Targets TBD (Mission determined)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments : TBD (Mission determined)
Known Data Limitations:
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes:
THIS SHEET LAST UPDATED ON: 11/12/2021

IR 1.3: Transboundary Cooperation on Water and Environment Improved

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Name of Performance Indicator:	
HL.8.5-1 Number of people benefiting from the adoption and implementation of measures to improve water resources management as a result of USG assistance.	
Name of Result Measured (IR, sub-IR):	
IR1.3 Transboundary Cooperation on Water and Environment Improved	
Is This a Performance Plan and Report Indicator? No __ Yes __ for Reporting Year(s) _ If yes, link to foreign assistance framework	
DESCRIPTION	
Precise Definition(s): This standard indicator measures the	
Unit of Measure: Number of Individuals	
Data Type: Number	
Disaggregated by: Type of individual, WEFE- related STIP activities/management practices; geographic location /Country	
Rationale for Indicator: This indicator measures the total number of beneficiaries of the WAVE activity. Wave proposes to measure the standard indicator through an indicator developed in the initial WAVE AMELP, "Number of individuals who applied WEFE-related Science, Technology and Innovation Policy (STIP) activities and/or management practices as a result of USG assistance." WAVE seeks to use the total number of people engaged by WAVE who have applied WEFE-related STIP activities and/or management practices during the reporting year instead. Individuals can be from a variety of sectors (public or private; water, food, energy and environment) that apply WEFE related STIP activities or management practices at local, national and regional levels. Individuals or organizations that have received capacity building training or are exposed to a new technology are counted for this indicator if the person is only putting into practice what he / she has learned. WAVE will count and track individuals or organizations that have received capacity building training or are exposed to a new technology WEFE-related STIP activities and management practices promote coordinated development and management of water, land and related resources to maximize economic and social welfare equitably without compromising the sustainability of vital ecosystems and the environment. Wave argues that these measures can thus be reported towards a broader common indicator in the PMP, HL.8.5-1 Number of people benefiting from the adoption and implementation of measures to improve water resources management as a result of USG assistance. Examples of promising WEFE-related STIP activities and/or management practices include: water flow and water quality monitoring; soil moisture monitoring; evapotranspiration monitoring; environmental flow assessment; pollution/soil salinity monitoring; watershed health monitoring; land and aquatic ecosystem monitoring; irrigation systems operations; energy monitoring/savings; disaster risk and reduction (floods, droughts, excessive temperature); hydro met applications; systems modeling (WEAP-LEAP systems model); small-scale hydropower (in irrigation canals); IoT, satellite, and AI applications; afforestation (riparian buffer); sedimentation (rivers and reservoirs); dam safety; alternative irrigation techniques (drip, sprinkler); crop selection; climate adaptation measures; horticulture; no-till farming; perennial crops; fishing (nets recycling); water treatment/reuse/recycling; solar-powered water infrastructure (e.g., pumps; gauge stations) etc.	
PLAN FOR DATA COLLECTION	

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Data Source: WAVE activity. Indicator should be placed in next activity AMELP and developed further with precision.
Method of Data Collection and Construction: This indicator uses the revised specification of the indicator from the WAVE AMELP rather than the way the indicator was originally written in the PMP ("HL.8.5-1 Number of people benefiting from the adoption and implementation of measures to improve water resources management as a result of USG assistance.") Data will be collected through the review of Activity reports/records, post-event forms and monitoring field visits and through the representative sample surveys conducted of the target stakeholders from each country. This indicator is linked to PMP indicator 1.3.1 and will be measured through the same methodology. The WAVE MEL Manager will apply USAID/Feed the Future Participant-Based Survey Sampling Guide for sampling design. This approach will allow for direct measurements of key data point (e.g., number of individuals supported and technologies promoted by the Activity). The MEL Manager will collect data from the countries with support from the trained field enumerators using a mobile data collection platform (e.g., KoBoToolbox). Data will be aggregated in an Excel database, analyzed and displayed in a dashboard using an interactive visualization tool (e.g., Power BI). The MEL Manager will ensure all datasets and other supporting documents (e.g., records and photos) are collected and saved in Microsoft Egnyte.
Reporting Frequency: Annual for PMP
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: 2021, 0
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments (optional): TBD (Mission determined)
Known Data Limitations: Narrative reporting should capture and explain changes that are influenced by or result from the use of USAID-supported WEFE tools and processes to provide a more complete story of the impact of these tools and processes to complement this to foster transboundary cooperation on water and environment.
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes: Could consider reporting the number of national CA actors that use WAVE tools and processes improved with USAID support across the five countries of CA.
THIS SHEET LAST UPDATED ON: 11/12/2021

USAID WAE RCDS PMP Performance Indicator Reference Sheet	
Name of Performance Indicator:	Number of joint actions developed and implemented by regional and national bodies as a result of U.S. assistance to foster transboundary cooperation on water and environment
Name of Result Measured (IR, sub-IR):	<i>IR 1.3 Transboundary Cooperation on Water and Environment Improved</i>
Is This a Performance Plan and Report Indicator? No ___ Yes ___ for Reporting Year(s) ____ If yes, link to foreign assistance framework	
DESCRIPTION	
Precise Definition(s): This indicator measures government-led actions including policies, laws, regulations, strategies, or standards addressing IWRM and/or WEFE-related issues (either formally proposed, adopted, or implemented); expert design or other technical assistance; implementation of on-the-ground WEFE-related improvements; NIC platform priorities/activities; expanded stakeholder dialogues that support transboundary water cooperation. Also counted are actions that specifically address water-energy linkages, water-irrigation linkages, and water-environment linkages; and coordination, co-design, and collaborative implementation of activities that add value and synergize with other USAID, other donor-funded programs, and regional organizations. Draft policies and legislations at various stages of development are counted. The legal drafts may include the Ministry's level regulations, bylaws, or other documents of policy level. If a measure is not yet adopted, it must at least be formally proposed within an official government process to be reported. "Formally proposed" means that a relevant government official or agency with decision-making authority has proposed the measure according to established procedures, preferably publicly when this is appropriate to the given context. Adopted/implemented" means officially codified or enacted by the national government with decision-making authority in their national legal, regulatory, or policy system and having authority to vote laws or establish a policy/strategy. Each measure can be counted once as "formally proposed," once as "adopted," if applicable, within the same reporting period or across multiple reporting periods. The indicator narrative will include an explanation of when each measure is being reported. Examples of regional and national-level initiatives include but are not limited to laws, policies, regulations or standards (either formally proposed, adopted or implemented) addressing WEFE and IWRM related issues; participation in joint trans boundary IWRM/WEFE trainings and initiatives on WEFE investment ideas/projects/feasibility studies, study tours or exchanges; implementation of on-the-ground WEFE-related improvements.	
Unit of Measure: Number of joint actions	
Data Type: Number	Number of government joint initiatives relating with WEFE processes developed or improved with USAID support (laws, polices, regulations or standards addressing WEFE and IWRM related issues adopted or implemented)

USAID WAE RCDS PMP Performance Indicator Reference Sheet
Disaggregated by: Type of action, Geographic location, Contributing partners; Stages of implementation (formally proposed, adopted)
Rationale for Indicator: Activities under the IR will enhance the water-energy-food nexus regulatory framework and agreements across the region by building technical capacity of water stakeholders and institutions, such as academic, training and research institutes, and water agencies to work collaboratively and share disseminate information, to promote the broad-based benefits of resource access, while simultaneously promoting environmental safeguards to minimize and reduce potential adverse impacts on the environment and biodiversity This indicator measures number of regional and national level initiatives relating with WEFE processes developed or improved whether the low, policies, regulations or standards (either formally proposed, adopted or implemented) addressing WEFE and IWRM related issues, joint initiatives on WEFE investment ideas/projects/feasibility studies, study tours or exchanges: implementation of on-the ground WEFE related improvements.
PLAN FOR DATA COLLECTION
Data Source: NIC protocols, meeting minutes, participants lists, requests from governments, grantee reports, Activity tracker Project reports, protocols, meeting minutes, participants lists, data from government and ministries and agencies, concept and research documents. WEFE activity IP currently Tetra Tech for WAVE. Indicator should be placed in next activity AMELP and developed further with precision.
Method of Data Collection and Construction: Data will be collected through the review of Activity reports/records, post-event forms and monitoring field visits, official news and web resources. The MEL Manager will work with the National Policy Engagement Specialists and other relevant technical staff to ensure they document/note all qualified priority actions related to the WEFE nexus. The status on implementation of joint actions will be tracked in the indicator tracker/database maintained by the MEL Manager and saved in Microsoft Egnyte To collect data IP. will use legal/regulatory tracking sheets to monitor the progress of policies, procedures, protocols or agreements adopted, implemented or strengthened and their enforcement date. Legal/regulatory tracking will be performed through collecting country progress report, via stakeholders involvement and meetings including governments' ministries and agencies, monitoring media and web reports interview of experts <i>This indicator and its measurement still needs support and development by the regional mission and IPs for finalization and use.</i>
Reporting Frequency: Annual
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE

USAID WAE RCDS PMP Performance Indicator Reference Sheet			
Baseline Timeframe: 2021, 0 (WEFE products are still being piloted under CA WAVEA)			
Fiscal Year	Target	Actual Value	Explanation of Deviation in Comparison to Annual Target
Baseline		0	
FY21(Y1)	0		
FY22(Y2)	4		
FY23(Y3)	6		
FY24(Y4)	6		
FY25(Y5)	4		
LOA	20		
Rationale for Targets: Targets are based on a reasonable number of priority actions generated and implemented by five national governments that address WEFE nexus issues and promote cooperation I and national levels for the benefit of regional cooperation			
DATA QUALITY ISSUES			
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)			
Date of Future Data Quality Assessments (optional): TBD (Mission determined)			
Known Data Limitations: Official data sources (copies of NIC protocols, participants lists, meeting notes and requests from governments) may not be readily available as forms of documentation. Advocacy materials, third-party reports, or media (e.g., news articles) may be used in place of official data			
CHANGES TO INDICATOR			
Changes to Indicator: TBD (Mission determined)			
Other Notes: Could consider reporting the number of national CA actors that use WEFE tools and processes improved with USAID support across the five countries of CA.			
THIS SHEET LAST UPDATED ON: 11/12/2021			

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: Number of technologies or new management practices applied as a result of U.S. assistance
Name of Result Measured (IR, sub-IR): <i>Sub-IR 1.3.1 Trans-boundary water governance increased</i>
Is This a Performance Plan and Report Indicator? No ___ Yes ___ for Reporting Year(s) _ If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): This indicator counts the number of WEFE technologies or new management practices related to STIP that have demonstrated uptake at any point during the reporting period (including those whose uptake is ongoing) applied by the public and/or private sector - The public sector includes nongovernmental organizations, higher education institutions, recipient country governments (including any department, office, subdivision, or other entity within the national or sub-national government of the country where the technologies or new management practices are supported/applied), and other organizations that are part of the public sector but not included in the categories above. - The private sector includes: private organizations and individuals (including businesses and corporations; business, industry and trade associations; corporate foundations; social enterprises; financial institutions, investors, impact investors, farmers), private philanthropy (including private foundations and philanthropists), and other organizations that are part of the private sector but not included in the categories above.
Unit of Measure: Number of technologies or new management practices applied
Data Type: number
Disaggregated by: Country, direct and indirect beneficiaries
Rationale for Indicator: This indicator measures number of technologies or new management practices related to STIP that have demonstrated uptake at any point during the reporting period. This indicator also linked to indicator above- Number of individuals who applied WEFE- related STIP activities and/or management practices as a result of USG assistance. Climate-smart adaptation Technologies or new management practices are those promoted by the Activity project as a way to support stronger and better functioning systems for mutual economic benefits. Examples of Illustrative climate-smart adaptation technologies and new management practices include: water flow and water quality monitoring; soil moisture monitoring; evapotranspiration monitoring; environmental flow assessment; pollution/soil salinity monitoring; watershed health monitoring; land and aquatic ecosystem monitoring; improved irrigation systems operations; energy monitoring/savings; disaster risk and reduction (floods, droughts, excessive temperature); hydro met applications; systems modelling etc.
PLAN FOR DATA COLLECTION
Data Source: WAVE activity, which as of September/October was revising its activity-level PIRS in the AMELP. Indicator should be placed in next activity AMELP and developed further with precision on how WAVE will collect this data.

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Method of Data Collection and Construction: Data will be collected through the review of Activity reports/records, post-event forms and monitoring field visits and through the representative sample surveys conducted in each country, which can collect data on the use of these of technologies or new management practices among organizations that did not themselves participate directly in WAVE activities. To collect data IP will use the Feed the Future Participant-Based Survey (PBS) Sampling Guide for sampling design. This approach will allow for direct measurements of key data point (e.g., technologies promoted by the Activity) The MEL Manager will collect data from the countries with support from the trained field enumerators and/or grantees using mobile data collection platform (e.g., KoBoToolbox). Data will be aggregated in an Excel database, analyzed and displayed in a dashboard using an interactive visualization tool (e.g., Power BI). The MEL Manager will ensure that all survey datasets and other relevant supporting documents (e.g., records and photos) will be collected and stored in Egnyte
Reporting Frequency: Annual
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: 2020, 0 (prior to the start of WAVE)
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments (optional): TBD (Mission determined)
Known Data Limitations: Narrative reporting should capture and explain changes that are influenced by or result from the use of USAID-supported WEFE tools and processes to provide a more complete story of the impact of these tools and processes to complement this to trans-boundary water governance increased. As the indicator is purposefully defined broadly to ensure that the full range of uptake modalities can be captured, no assumptions should be made regarding the comparability of the level or type of uptake across technologies, nor regarding the value or depth of support for the public and/or private sectors for any technologies
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes: Could consider reporting the number of Climate-smart adaptation Technologies or new management practices are those promoted by the Activity project as a way to support stronger and better functioning systems for mutual economic benefits that use WEFE tools and processes improved with USAID support across the five countries of CA.
THIS SHEET LAST UPDATED ON: 11/12/2021

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: Number of institutions that have incorporated improved curricula, tools and other improvements in their programs as a result of USG support
Name of Result Measured (IR, sub-IR): <i>Sub-IR 1.3.2 Regional professional capacities and networks strengthened</i>
Is This a Performance Plan and Report Indicator? No __ Yes __ for Reporting Year(s) __ If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): This indicator measures the number of institutions that have incorporated improved curricula, tools and other improvements in their program related to Integrated Water Resource Management (IWRM) and the Water, Energy, Food and Environment (WEFE) nexus through the WAVE activity. It will include the number of institutions that have incorporated new/improved training modules based on benchmarking results; Training of Trainers; formal/informal and mostly practical and professional training programs; partnerships/exchanges (regionally or internationally); equipment; tools; private-sector partnerships on specific topics. Building upon an education/training needs assessment and consultation process to identify needs for improved capacity development opportunities for water professionals. The Activity will develop and support improved curricula integration in universities, government re-training centers and technical colleges
Unit of Measure: Number
Data Type: Number of Institutions
Disaggregated by: Country
Rationale for Indicator: This indicator measures number of institutions that have incorporated improved curricula, tools and other improvements for IWRM and WEFE nexus supported by USAID are used by Central Asian actors. The indicator assesses the influence of USAID WEFE technical support across Central Asian actors engaged in WEFE by examining whether they are widely used among the organizations engaged in WEFE. USAID aims to support the use of the WEFE tools and processes developed or improved with USAID project support across the region
PLAN FOR DATA COLLECTION
Data Source: WAVE activity, which as of September/October was revising its activity-level PIRS in the AMELP. Indicator should be placed in next activity AMELP and developed further with precision.
Method of Data Collection and Construction: WAVE's M&E specialist will use direct counting methods for data collection. Data will be collected through the review of Activity reports/records, post-event forms and supplemented by supporting documents (e.g., curricula, tools, meetings notes, etc.). Teams will submit the reports to Capacity Development and Education (CDE) Lead for review along with supporting documents. The CDE Lead will review the documents for completeness and submit the documents to the MEL Manager, who then enters data into the internal Excel database for analysis and reporting. <i>This indicator and its measurement still needs agreement between the regional mission and IP and approval by USAID for finalization and use.</i>
Reporting Frequency: Annual
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: 2021, 0

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Rationale for Targets: TBD (Mission selected)	
DATA QUALITY ISSUES	
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)	
Date of Future Data Quality Assessments (optional): TBD (Mission determined)	
Known Data Limitations: Narrative reporting should capture and explain changes that are influenced by or result from the use of USAID-supported WEFE tools and processes to provide a more complete story of the impact of these tools and processes to complement this to Regional professional capacities and networks strengthened	
CHANGES TO INDICATOR	
Changes to Indicator: TBD (Mission determined)	
Other Notes: Could consider reporting the number of national CA actors that use WEFE tools and processes improved with USAID support across the five countries of CA.	
THIS SHEET LAST UPDATED ON: 11/12/2021	

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: Number of joint actions as a result of WEFE nexus analyses developed and socialized by local stakeholders together from two or more countries with USG support Original PMP indicator was WEF-nexus; WAVE proposes to modify to WEFE to more accurately reflect the activity's work.
Name of Result Measured (IR, sub-IR): <i>Sub-IR 1.3.3 Regional cooperation on WEF nexus enhanced</i> USAID may also want to change sub-IR language to WEFE-nexus
Is This a Performance Plan and Report Indicator? No ☐ Yes ☐ for Reporting Year(s) ☐ If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): This indicator measures the number of transboundary and regional joint events that may lead to specific actions. These may include but are not limited to activities with regional water organizations, benefit-sharing regional workshops resulting in demo projects, bilateral /trilateral agreements or activities, research competition, Forum of basin organizations, River Days etc. The joint activities will be implemented at the request of the Central Asian national governments and regional water organizations, stemming from the WEFE nexus and benefit-sharing approaches. The events will not be limited by the scope of themes and category of participants that will strengthen regional cooperation and economic connectivity through improved trust-building measures.
Unit of Measure: Number of events/actions
Data Type: number Number of joint initiatives/actions relating with WEFE processes developed or improved with USAID support (regional workshops resulting in demonstration projects, bilateral /trilateral agreements or activities, research competition, Forum of basin organizations, River Days)
Disaggregated by: Country
Rationale for Indicator: This indicator measures number of the transboundary events/actions in regional level initiatives relating with WEFE processes developed or improved whether regional cooperation and good governance in the water-related sectors. Thus, some of the activities will be implemented with the focus on bilateral and trilateral frameworks that exist in the Central Asian region, promoting ownership of actions by regional and national partners. The indicator assesses the influence of USAID WEFE technical support across Central Asian actors engaged in WEFE by examining whether they are widely used among the organizations engaged in WEFE.
PLAN FOR DATA COLLECTION
Data Source: WAVE data. Event registration forms, Stakeholder meeting notes, project reports
Method of Data Collection and Construction: Data will be collected by the technical team. Sources include event registration forms, government documentation/reports and notes from meetings where joint events and priority actions are discussed, project monitoring reports and observations. The technical team will document progress using a tracking worksheet developed by the MEL Manager. The updated tracker, along with supporting documentation, will be submitted to the MEL Manager for further analysis and reporting. The MEL Manager will review and consolidate the data for reporting and save the documentation on Egnyte.

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Reporting Frequency: Annual
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: 2021, 0 (Targets are based on requests from the regional and national authorities. The actions can last more than one year and potentially will be implemented throughout the Activity life cycle.)
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments (optional): TBD (Mission determined)
Known Data Limitations: There are no known limitations with this indicator, which is a simple count
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes: None to date
THIS SHEET LAST UPDATED ON: 11/12/2021

IR 2.1: Central Asian Cooperation on Addressing Trafficking in Persons Strengthened

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Name of Performance Indicator:	Number of regional CTIP agreements developed or adopted by Central Asian states to safely facilitate necessary migration and combat TIP at the regional level
Name of Result Measured (IR, sub-IR):	<i>IR 2.1 Central Asian Cooperation on Addressing Trafficking in Persons Strengthened</i>
Is This a Performance Plan and Report Indicator? No __ Yes __ for Reporting Year(s) __ If yes, link to foreign assistance framework	
DESCRIPTION	
Precise Definition(s):	Number of bilateral or multilateral agreements adopted, implemented, or strengthened by Central Asian Republics to promote safe migration and effectively prosecute and combat TIP, developed with the Safe Migration in Central Asia project assistance
Unit of Measure:	Integer
Data Type:	Number of bilateral and multilateral agreements developed or improved with USAID support
Disaggregated by:	Country
Rationale for Indicator:	This indicator measures the extent to which USAID assistance has contributed to the development and adoption of regional (bilateral and multilateral) agreements on safe migration and combating trafficking in persons. The indicator assesses not only the direct assistance in the development / adoption of these agreements, but also the indirect measures that contributed to this in cooperation with other USAID international partners or stakeholders. The indicator 1.1.1 is included in the SMICA AMELP to measure the activity's IR 1.1: "Approaches to CTIP and labor migration are coordinated among source and destination countries."
PLAN FOR DATA COLLECTION	
Data Source:	IP (currently Winrock International for SMICA) project reports; data from government ministries and agencies, concept and research documents
Method of Data Collection and Construction:	SMICA AMELP sets up methods such as: • Legal / regulatory tracking sheets to monitor the progress of policies, procedures, protocols, or agreements adopted, implemented and their enforcement date; • Meetings with the stakeholders, ministries and agencies It is suggested to expand the methods and include - participation in interagency meetings of stakeholders and international partners (IOM, ILO, UNODC, OSCE, etc.) on safe migration and combating trafficking in persons at the national and regional levels. At the regional level, such meetings are possible within the framework of the Almaty Process (in cooperation with IOM, UNHCR and representatives of foreign ministries and other relevant government agencies), as well as the Prague Process. Both platforms go beyond the Central Asian region, but include countries of receiving and transit of labor migrants, victims of human trafficking. <i>This indicator and its measurement still needs support and development by the regional mission or IP for finalization and use. USAID should consider revising the PMP indicator modestly by adding "through USAID assistance" to strictly measure performance.</i>
Reporting Frequency:	Annual

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: 2020, 0
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments: TBD (Mission determined)
Known Data Limitations: Access to data from stakeholders may be limited. The process of developing and adopting regional (both bilateral and multilateral) agreements is lengthy and can go beyond one year. SMICA AMELP has indicated this indicator together with national legal acts.
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes:
THIS SHEET LAST UPDATED ON: 11/12/2021

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: PS 5.1 Number of victims of TIP receiving services with USG assistance
Name of Result Measured (IR, sub-IR): <i>IR 2.1 Central Asian Cooperation on Addressing Trafficking in Persons Strengthened</i>
Is This a Performance Plan and Report Indicator? No __ Yes __ for Reporting Year(s) __ If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): Number of individuals accessing services to address comprehensive needs with USG assistance (psychosocial, legal, livelihood, safe migration, etc.). This indicator will measure the total number of individuals – victims of trafficking (potential migrants, existing migrants, survivors may also be counted) – receiving various services supported by the SMICA activity. Individuals will be counted only once during the life of the project regardless of how many different services that they receive through SMICA.
Unit of Measure: Number
Data Type: Integer
Disaggregated by: Country, gender
Rationale for Indicator: This indicator directly measures the number of individual victims of trafficking that receive support as a result of the RM's activity in CTIP. Individual victims of trafficking are critical to reach for human rights purposes, as they need support to recover from victimization, as well as towards success in a systematic approach to countering trafficking.
PLAN FOR DATA COLLECTION
Data Source: SMICA lists of victim beneficiaries.
Method of Data Collection and Construction: In the SMICA AMELP, an indicator under Sub-IR3.2: Improved availability, quality, and access to victim services is 3.2.2 “Number of victims receiving services (medical, repatriation, legal, transportation, etc.).” This performance data from SMICA can be reported against the PMP indicator. The data will be collected through SMICA and reported at least annually for PMP purposes. SMICA must track individual victims that receive services to avoid counting a beneficiary more than once if they receive more than one type of support through SMICA. SMICA tracks individual victims supported by the activity in this manner to avoid this problem.
Reporting Frequency: Quarterly in AMELP, Annually for PMP
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: The baseline year for IP is 2020 – 0; 2021 target is 155 under SMICA
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments : TBD (Mission determined)

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Known Data Limitations: Care must be taken to ensure individuals will be counted only once during the life of the project regardless of how many different services that they receive through SMICA. These data underestimate the benefits to victims that receive more than one type of service, and do not explore how receipt of several services may produce more resilience.	
CHANGES TO INDICATOR	
Changes to Indicator: TBD (Mission determined)	
Other Notes:	
THIS SHEET LAST UPDATED ON: 11/12/2021	

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: Percentage of service providers (that received training, technical assistance, or capacity building in victim-centered and trauma-informed services) with improved performance.
Name of Result Measured (IR, sub-IR): <i>Sub-IR 2.1.1 Capacity of all migration and CTIP stakeholders to coordinate efforts on safe migration increased.</i>
Is This a Performance Plan and Report Indicator? No ☐ Yes ☐ for Reporting Year(s) If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): This indicator measures the percentage of all of individual service providers that receive training, technical assistance, or capacity building through USAID RM activities on the provision of protection services for victims of human trafficking that report their performance has improved following this engagement. This could include a formal learning event with a curriculum, ongoing as-needed technical assistance, an embedded mentor, or other models to bolster capacity. "Protection services" refers to the provision of protection services to victims of trafficking, such as the provision of shelter, and the types of services that human trafficking shelters typically provide such as mental or physical health care, repatriation assistance, vocational training, education, legal assistance, etc. Individuals trained could include government officials, , civil society, educators, religious or community leaders, etc. The improved capacity can be assessed through self-assessment (through post-training surveys, pre post tests). CBLD-9 defines that improved performance is measured through a self-assessment against performance improvement plan for an organization. The narrative as written here would imply that the service providers are the individuals trained, not the organization.
Unit of Measure: Percentage
Data Type: Decimal Numerator – the number of service providers that that received training, technical assistance, or capacity building in victim-centered and trauma-informed services that report their performance has improved. Denominator - the Number of service providers that receive training, technical assistance, or capacity building in victim-centered and trauma-informed services (reported on for SMICA Sub-IR3.2: Improved availability, quality, and access to victim services through indicator 3.2.1 in the AMELP).
Disaggregated by: Country, Sex
Rationale for Indicator: USAID seeks to improve the availability, quality, and access to victim services by training and providing TA or capacity building in victim-centered and trauma-informed services to service providers. This indicator will measure whether service providers do have improved performance after this USAID support.
PLAN FOR DATA COLLECTION
Data Source: SMICA for the denominator, number of service providers trained. The numerator, improved performance, is not measured at present.

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Method of Data Collection and Construction:	
This indicator is not measured at present. SMICA does collect the Number of service providers that receive training, technical assistance, or capacity building in victim-centered and trauma-informed services. Data on improved performance in the wake of this support is not collected according to the SMICA AMELP. These data could be collected by SMICA. This collection would require additional effort from SMICA. To collect the missing data on improved performance at reasonable level of effort, SMICA can use the information collected from beneficiaries of training, technical assistance, or capacity building in victim-centered and trauma-informed services during the training to survey all beneficiaries after some delay following the training to ask them whether their performance has improved. Self-reported performance can be feasibly collected and will reflect whether service providers believe that their capacity to provide victim-centered and trauma-informed services is now stronger. A suitable interval for beneficiaries to use to assess whether their performance has improved may be three months. Beneficiaries should be informed at the training that SMICA will solicit their feedback on this issue three months after the training; prior agreement to provide this feedback may increase the response rate on call backs. <i>This indicator and its measurement still needs support and development by the regional mission and IPs for finalization and use.</i>	
Reporting Frequency: Quarterly	
Individual(s) Responsible at USAID: TBD (Mission selected)	
TARGETS AND BASELINE	
Baseline Timeframe: The baseline year for IP is 2020	
Rationale for Targets: TBD (Mission selected)	
DATA QUALITY ISSUES	
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)	
Date of Future Data Quality Assessments : TBD (Mission determined)	
Known Data Limitations: Using a self-assessment tool to assess the level of improved capacity of service providers can be subjective	
CHANGES TO INDICATOR	
Changes to Indicator: TBD (Mission determined)	
Other Notes:	
THIS SHEET LAST UPDATED ON: 11/12/2021	

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Name of Performance Indicator: Percent change of target population that shows an awareness of trafficking in persons (TIP), disaggregated by sex and age.	
Name of Result Measured (IR, sub-IR): <i>Sub-IR 2.1.2 Regional information and evidence sharing enhanced</i>	
Is This a Performance Plan and Report Indicator? No __ Yes __ for Reporting Year(s) __ If yes, link to foreign assistance framework	
DESCRIPTION	
Precise Definition(s): Percent of target population reached through targeted public awareness campaigns (online and offline), outreach materials, or training related to safe and responsible migration with changed awareness of trafficking in persons and safe migration. (in order to have a percent of the target population, one needs to have a defined quantified population. There may be a need to identify proxy populations). “Target population” is at-risk individuals, trafficked persons, or existing migrants. Risk factors relate to individual, family-related, socioeconomic, structural (culture of tolerance towards violence, inequality, discrimination, etc.) factors. “Shows awareness” means that target population know (learned) about trafficking in persons risks, how to migrate safely, where to approach for assistance/additional information, etc.	
Unit of Measure: Percent	
Data Type: Percentage Numerator: Number of target population surveyed that show awareness of TIP. Denominator: Total number of the target population surveyed on the information campaigns and other kind of awareness raising activities.	
Disaggregated by: Country, sex, age (under 15, 15-29, 30+)	
Rationale for Indicator: Raising awareness about the risks of trafficking and providing information about resiliencies can help reduce the number of people being trafficked.	
PLAN FOR DATA COLLECTION	
Data Source: SMICA.	
Method of Data Collection and Construction: The SMICA AMELP includes indicator 5. Number of at-risk individuals, trafficked persons, or existing migrants reached through targeted public awareness, outreach materials, or training related to safe and responsible migration. SMICA could survey these beneficiaries after SMICA information provision to measure the percentage that report they now know more about TIP. <i>This indicator and its measurement still needs support and development by the regional mission and IPs for finalization and use.</i> <i>The RM may want to define target population in the indicator as the people directly reached through training per the SMICA AMELP indicator above. This will require revising this PIRS.</i>	
Reporting Frequency: annually for PMP	
Individual(s) Responsible at USAID: TBD (Mission selected)	

USAID CAR RDCS PMP Performance Indicator Reference Sheet
TARGETS AND BASELINE
Baseline Timeframe: For percent change, the first year will be the baseline, the subsequent ones show the changes from the first year
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments : TBD (Mission determined)
Known Data Limitations: Limitations in the measurement of this indicator are related to the number of the baseline, on the basis of which the Target will be determined and the indicators for subsequent years will be measured.
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes:
THIS SHEET LAST UPDATED ON: 11/12/2021

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: PS.5.2-23 Number of CTIP policies, laws, or international agreements developed or strengthened in Central Asia countries with U.S. assistance.
Name of Result Measured (IR, sub-IR): <i>Sub-IR 2.1.3 Legal Frameworks in Central Asia countries harmonized across the region</i>
Is This a Performance Plan and Report Indicator? No ___ Yes ___ for Reporting Year(s) _ If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): This is a standard indicator. Number of sub-national, national, bilateral or multilateral policies, procedures, protocols, or agreements adopted, implemented, or strengthened by Central Asian Republics to promote safe migration and effectively prosecute and combat TIP, developed with the IP assistance (in the framework of SIMCA) and aimed to improve the legal framework for rights-based migration and anti-trafficking. This includes assistance with drafting and reviewing new or revised laws as well as advocacy work to encourage the passage of new or amended labor, social protection, migration and anti-trafficking legislation. CTIP, policies are defined as guiding principles, political activities, or official plans. They can be developed through formal legislation, a formal decree by the head of state, or passed by relevant bodies or ministries through national plans. A “new” policy is defined by a policy that is passed or endorsed by highest level of government responsible for the first time. Drafts of policies cannot be counted. A “strengthened” policy is defined by a pre-existing policy where improvements and recommendations are taken up to make the policy more actionable or effective.
Unit of Measure: Number
Data Type: Integer
Disaggregated by: Country
Rationale for Indicator: Advancing the fight against trafficking in persons by strengthening the legal framework against trafficking is a proven methodology to reduce TIP. Strong legal frameworks hold traffickers accountable for the crimes that they have committed and ensure justice for victims. Improved legal systems are also more likely to generate information useful for raising public awareness of TIP and building resiliencies.
PLAN FOR DATA COLLECTION
Data Source: SMICA, through the indicator to measure the activity’s sub-IR 1.1, “Number of anti-TIP policies, laws, or international agreements developed or strengthened.”
Method of Data Collection and Construction: The SMICA M&E team is tasked in the AMELP for the activity with collecting data through legal / regulatory tracking sheets to monitor the progress of policies, procedures, protocols, or agreements adopted, implemented or strengthened and their enforcement date. Legal/regulatory tracking will be performed through collecting country progress reports, via stakeholders’ involvement and meetings including governments’ ministries and agencies, monitoring media reports, interviewing experts, and collecting the drafts/ documents developed. The AMELP does not develop these processes with precision. SMICA should develop a system for USAID review to track the traction of the activity’s efforts to improve the legal framework shape national, regional, and even national CTIP frameworks. <i>USAID should work closely with SMICA to determine how the activity can systematically monitor the influence of its support for changes in the legal framework against trafficking on developing or strengthening the policies, laws, and international agreements in CTIP in the region and in the countries of the region.</i>

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Reporting Frequency: Annually
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: baseline year is 2019, with a baseline of 0 prior to activity implementation. 2020 data should be provided by SMICA.
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments : TBD (Mission determined)
Known Data Limitations: The measurement may be limited due to limited of coordination and collaboration of stakeholders and other international partners in CTIP in CA.
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes:
THIS SHEET LAST UPDATED ON: 11/12/2021

IR 2.2: Ability of Central Asian Actors to Reduce Violent Extremism Risks Strengthened

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Name of Performance Indicator:	
PS.1.2-1 Number of projects directly related to U.S. preventing and countering violent extremism objectives implemented in Central Asia by civil society and partner groups	
Name of Result Measured (IR, sub-IR):	
<i>IR 2.2 Ability of Central Asian Actors to Reduce Violent Extremism Risks Strengthened</i>	
Is This a Performance Plan and Report Indicator? No ___ Yes ___ for Reporting Year(s) _ If yes, link to foreign assistance framework	
DESCRIPTION	
Precise Definition(s): The standard indicator measures the discrete number of projects in PCVE that are being implemented in CA by USAID partners. Precision could be needed to define PCVE objectives that are directly served by projects, and to clarify and determine that as a performance indicator, “civil society and partner groups” that implement these projects are the partners that work with USAID activities in CVE. As long as only CASSS does PVE, and CASSS does not implement towards objectives that are not PCVE, all CASSS supported projects fit this indicator and only CASSS supported projects fit this indicator. This indicator can be measured by CASSS through the AMELP’s 3.1.1, Number of pilot interventions implemented.” This can be the same as number of projects directly related to PCVE objectives as long as USAID PVE interventions are only through CASSS and all interventions are defined as pilots to fit the AMELP. Project can be defined as a discrete organization working a geographic site or thematic area through one financial arrangement with CASSS/future activity or an organization that receives CASSS/future activity technical assistance towards one geographic or thematic area in PCVE (e.g. digital critical thinking training for youth CSO leaders through CASSS staff would count as one activity delivered through TA; a grant for a CSO to implement PCVE activities in four villages in a province could also count as one activity. A larger activity that supported a single CSO for activities in three provinces could count as three projects).	
Unit of Measure: project	
Data Type: Number	
Disaggregated by: Country	
Rationale for Indicator: This indicator measures the extent RM activities in PCVE work with partners through grants or technical assistance towards PCVE supported by CASSS. CASSS is developing and piloting tools and processes through TA and grants. Per the design of CASSS, the Mission anticipates rolling out successful or more successful tools and processes from pilots to a larger group of actors across Central Asia to have a larger impact on CVE in an anticipated follow-on CVE project.	
PLAN FOR DATA COLLECTION	
Data Source: CVE activity IP, currently DAI for CASSS. The indicator should also be placed in next activity AMELP and developed further with precision.	

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Method of Data Collection and Construction: The CASSS M&E team needs to: 1. Track, count and report on the specific, discrete TA delivered by CASSS as individual projects. 2. Track, count, and report on the specific, discrete number of projects implemented through CASSS assistance by the organizations that receive grants from CASSS.
Reporting Frequency: Annual for PMP
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: 2021, 0 (CVE products are still being piloted under CASSS)
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments: TBD (Mission determined)
Known Data Limitations: Narrative reporting should capture and explain the set of TA and grants to partners under CASSS listed as projects under CASSS indicator 3.1.1.
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes:
THIS SHEET LAST UPDATED ON: 11/12/2021

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Name of Performance Indicator:	
Percentage of Central Asian actors surveyed who report using tools and processes developed or improved with USAID support	
Name of Result Measured (IR, sub-IR):	
<i>IR 2.2 Ability of Central Asian Actors to Reduce Violent Extremism Risks Strengthened</i>	
Is This a Performance Plan and Report Indicator? No __ Yes __ for Reporting Year(s) _ If yes, link to foreign assistance framework	
DESCRIPTION	
Precise Definition(s): The indicator measures what proportion (percentage) of Central Asian actors that the Mission and its IPs choose to survey note that they use CVE tools and processes that have been created or strengthened with USAID support.	
Unit of Measure: Central Asian CVE actor (organization)	
Data Type: percentage	
Numerator – number of CA actors surveyed who report using CVE tools and processes developed or improved with USAID support	
Denominator - – number of CA actors surveyed on CVE on whether they use CVE tools and processes developed or improved with USAID support	
Disaggregated by: Country	
Rationale for Indicator: This indicator measures whether tools and processes for CVE supported by USAID are used by Central Asian actors. The indicator assesses the influence of USAID CVE technical support across Central Asian actors engaged in CVE by examining whether they are widely used among the organizations engaged in CVE. USAID aims to support the use of the CVE tools and processes developed or improved with USAID project support across the region. The CASSS project is developing and piloting tools and processes. Per the design of CASSS, the Mission anticipates rolling out successful or more successful tools and processes from pilots to a larger group of actors across Central Asia to have a larger impact on CVE in an anticipated follow-on CVE project.	
PLAN FOR DATA COLLECTION	
Data Source: CVE activity IP, currently DAI for CASSS. Indicator should be placed in next activity AMELP and developed further with precision.	

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Method of Data Collection and Construction: Future CVE IP, if a goal of the CVE activity as expected is to expand the use of CVE tools and processes developed, tested, and validated under CASSS or the follow-on activity itself, needs to: 3. Track and report on the specific, discrete CVE tools and processes developed or improved under the new activity or CASSS (since 2021), such as community capacity profiles. 4. Track and count the specific, discrete CA actors engaged by the activities and report on the number of CA actors engaged in CVE that CASSS and the next activity engage with; 5. Survey, track, and count the specific, discrete CA actors engaged by CASSS and the new CVE activity, asking whether they use specific tools and processes that have been supported by CASSS or the next USAID activity and report; and 6. Calculate and report percentage use by dividing the number of specific, discrete CA actors engaged by CASSS and the new CVE activity that reported that they use at least one USAID-supported tool or process (#3 above) by the total number of CA CVE actors that engage with USAID on CVE across the region (#2 above) Categorize by country on both CA actors engaged in CVE and CA actors that report using USAID-supported tools and processes so may also report at national level; Sum national levels to report CA regional totals. <i>This indicator and its measurement still needs support and development by the Regional Mission and IPs for finalization and use.</i>
Reporting Frequency: Annual
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: 2021, 0 (CVE products are still being piloted under CASSS)
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments: TBD (Mission determined)
Known Data Limitations: Narrative reporting should capture and explain changes that are influenced by or result from the use of USAID-supported CVE tools and processes to provide a more complete story of the impact of these tools and processes to complement this percentage indicator that measures the breadth of the impact of technical assistance across organizations in CVE.
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes: USAID could consider reporting the number of national CA actors that use CVE tools and processes improved with USAID support across the five countries of CA instead to avoid the difficulties of determining the denominator in this percentage measure.
THIS SHEET LAST UPDATED ON: 11/12/2021

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: Number of USAID supported regional products, tools, and processes developed and adopted by regional stakeholders
Name of Result Measured (IR, sub-IR): <i>Sub-IR 2.2.1 Capacity of key regional stakeholders to collaborate on and share evidence-based information on CVE increased</i>
Is This a Performance Plan and Report Indicator? No __ Yes __ for Reporting Year(s) __ If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): The indicator measures the discrete products produced by the RM's CVE partner or by grantees of that partner that are developed or used by stakeholders in the region.
Unit of Measure: CVE product
Data Type: Number
Disaggregated by: N/A
Rationale for Indicator: This indicator measures whether tools and processes for CVE supported by USAID are used by Central Asian actors. The indicator assesses the influence of USAID CVE technical support across Central Asian actors engaged in CVE by examining whether they are widely used among the organizations engaged in CVE. Under CASSS, USAID aims to pilot the development and use of PVE tools. Under a possible extension and a possible next PVE activity, USAID would support the use of the CVE tools and processes from the pilot CASSS as well as potentially support the development or improvement of additional tools through with USAID activity support across the region. The CASSS project is developing and piloting products, tools and processes. Per the design of CASSS, the Mission anticipates rolling out successful or more successful products, tools and processes from pilots to a larger group of actors across Central Asia to have a larger impact on CVE in an anticipated follow-on CVE project.
PLAN FOR DATA COLLECTION
Data Source: CASSS and a future CVE activity TBD. The indicator should be measured of a CASSS cost extension moves to implement and spread CASSS-developed products, tools, and processes. The indicator should be placed in the AMELP of any next PVE activity and developed further with precision.

USAID CAR RDCS PMP Performance Indicator Reference Sheet

Method of Data Collection and Construction:

CASSS under a cost extension and a follow-on PVE activity- needs to:

1. Track and report on the specific, discrete CVE products, tools and processes developed or improved under CASSS (since 2021), such as community capacity profiles, and those of any new PVE activity.
2. Track and count by product, tool, and process whether any actor in the region is using the particular tool, product, and process - halting the count at 1 for any particular tool, product or process once use by an organization in the region is identified to avoid counting the use of one tool by more than one actor as more than 1.
3. Sum the number of products, tools, and processes that have been used by an actor.

CASSS reports under the original AMELP on:

1.2.1 Number of background research reports produced

2.2.1 Number of risk and protective factors for VE identified on the individual level – which is referred to as an individual risk and resilience study (a product that could be counted and used towards this indicator).

2.3.1 Number of risk and protective factors for VE identified at the community level Measured by a community risk and resilience comparative study (a product that could be counted and used towards this indicator).

Note that this measurement system does not allow for disaggregation by country, which may be desirable. If desired, a second round of review could examine country by country the use of each specific product, tool, and process, stopping the review of a product, tool, or process only within a country once its use is identified and recording a 1. Then the rater moves on to the next CA country to use the same procedure. At the end, sum, record, and report the totals per country.

This indicator and its measurement still needs support and development by the Regional Mission and IPs for finalization and use.

Reporting Frequency: Annual

Individual(s) Responsible at USAID: TBD (Mission selected)

TARGETS AND BASELINE

Baseline Timeframe: 2021, 0 (CVE products are still being piloted under CASSS)

Rationale for Targets: TBD (Mission selected)

DATA QUALITY ISSUES

Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)

Date of Future Data Quality Assessments: TBD (Mission determined)

Known Data Limitations: CASSS designs and pilots PVE interventions and products. CASSS thus does not have indicators under the AMELP to measure the use of CASSS developed products by other actors in the region. For example, CASSS indicator 1.2.1 is the “number of background research reports produced.” The PMP indicator needs to measure if a background research report is used by an organization in the region, which is currently not a part of the CASSS AMELP.

To measure this indicator and avoid this limitation, narrative reporting by CASSS and any future activity should capture and explain how products reach and are used by other regional actors in PVE which would provide a more complete story of the impact of these tools and processes to complement the indicator that measures the breadth of the impact only in terms of number of products.

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
CHANGES TO INDICATOR	
Changes to Indicator:	TBD (Mission determined)
Other Notes:	
THIS SHEET LAST UPDATED ON: 11/12/2021	

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: Number of context driven VE assessments conducted to address the VE knowledge gap collaboratively created by regional stakeholders
Name of Result Measured (IR, sub-IR): Sub-IR 2.2.1 Capacity of key regional stakeholders to collaborate on and share evidence-based information on CVE increased
Is This a Performance Plan and Report Indicator? No ☐ Yes ☐ for Reporting Year(s) If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): The indicator can be measured by counting the number of CASSS community risk and resilience comparative studies conducted. These studies are not measured directly by the CASSS AMELP, which measures the processes that go into these studies. The CASSS AMELP implies that community risk and resilience comparative studies are created by CASSS and its partners within CA, making them collaboratively created by regional stakeholders.
Unit of Measure: Assessments
Data Type: Number
Disaggregated by: Country
Rationale for Indicator: This measures how many context-driven VE assessments, a particular type of CASSS product, are produced. Individual and community risk and resilience studies can be described as two different types of context-driven VE assessments. Individual and community risk and resilience studies are critical processes in CASSS's AMELP, to be followed by activities to reduce risks and increase resiliencies based on the factors identified in these assessments. The prominence of the indicator, through USAID's choice to make it a PMP indicator, suggests that USAID envisions that a future CVE activity designed to build on CASSS would also use context-driven VE assessments as a diagnostic tool before developing and implementing CVE programming.
PLAN FOR DATA COLLECTION
Data Source: CASSS and a future RM PVE activity. The Indicator should be placed in next activity AMELP and developed further with precision.
Method of Data Collection and Construction: An IR of CASSS is Community risk and resilience comparative study is conducted. This IR is measured in the AMELP through indicators that measure components of this study. To report on the PMP indicator, CASSS could count and report on the number of community risk and resilience comparative studies conducted with regional partners, as could any future CVE IP, if a component of any next CVE activity as expected includes VE assessments. CASSS can use Indicator 2.2.1 from the AMELP, Number of protective factors for VE identified on the individual level, comes from the individual risk and resilience studies conducted, which CASSS could count for the PMP indicator. This can be added to Indicators 2.3.1 and 2.4.1 from the AMELP, "Number of risk/protective factors for VE identified on the community level" and "Number of protective factors for VE identified on the community level" comes from the community risk and resilience studies conducted, which CASSS could count for the PMP indicator. With care not to double count, these three measures can then be added together for the PMP indicator. <i>This indicator and its measurement still needs support and development by the Regional Mission and IPs for finalization and use.</i>
Reporting Frequency: Annual
Individual(s) Responsible at USAID: TBD (Mission selected)

USAID CAR RDCS PMP Performance Indicator Reference Sheet
TARGETS AND BASELINE
Baseline Timeframe: 2020, 0
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments: TBD (Mission determined)
Known Data Limitations: Narrative reporting should capture and explain the value of conducting and using context-driven VE assessments to provide more detail to accompany the number of assessments reported under the indicator.
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes:
THIS SHEET LAST UPDATED ON: 11/12/2021

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: Percentage of community members in target communities who report greater awareness of risk and remedies for extremism
Name of Result Measured (IR, sub-IR): <i>Percentage of community members in target communities who report greater awareness of risk and remedies for extremism</i>
Is This a Performance Plan and Report Indicator? No __ Yes __ for Reporting Year(s) __ If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): The indicator measures what proportion (percentage) of people in communities targeted for RM PVE programming state that their knowledge of VE risks and resiliencies has grown.
Unit of Measure: community members in target communities
Data Type: percentage Numerator – number of community members in target communities surveyed who report greater awareness of risk and remedies for extremism Denominator - – number of community members in target communities surveyed on their awareness of risk and remedies for extremism
Disaggregated by: Country, Gender
Rationale for Indicator: This indicator measures whether tools and processes for CVE supported by USAID are effective in building the awareness of community members in targeted communities on risks and resiliencies to VE. This indicator can be generated as part of collecting the data for a broader indicator from the CASSS AMELP, Indicator 3.1.3: Number of pilot interventions shown to be effective in reducing VE risk. The AMELP explains that after the risk and protective factors and common pathways to extremism are identified, CASSS will partner with local communities to design, pilot, and evaluate effective interventions across digital and real world environments to address extremism risk, and then these activities will be evaluated to judge their effectiveness at reducing identified VE risks. These evaluations can focus on the effectiveness of awareness raising on VE and survey a sample of the community to determine whether and how much awareness has grown of VE risks and resiliencies to VE among community members.
PLAN FOR DATA COLLECTION
Data Source: CASSS and any future CVE activity. Indicator should be placed CASSS AMELP and in the next activity AMELP and developed further with precision.

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Method of Data Collection and Construction:	
This indicator is not measured at present. A future CVE IP, if a goal of the CVE activity as expected is to raise awareness of VE risks and resiliencies at the community level, should report on this indicator. To report on this indicator, CASSS and any next PVE activity needs to: 1. Implement activities focused on awareness raising on the risks of VE and resiliencies in communities; 2. Conduct surveys of individuals or households in communities targeted for awareness raising on the risks of VE and resiliencies to VE on awareness; 3. Calculate and report on awareness by dividing the number of people surveyed that report increased awareness raising on the risks of VE and VE resiliencies by the total number of people surveyed. Report by country, and with sex-disaggregated as well as overall data. <i>This indicator and its measurement still needs support and development by the Regional Mission and IPs for finalization and use.</i>	
Reporting Frequency: Annual	
Individual(s) Responsible at USAID: TBD (Mission selected)	
TARGETS AND BASELINE	
Baseline Timeframe: 2021, 0 (CVE products are still being piloted under CASSS)	
Rationale for Targets: TBD (Mission selected)	
DATA QUALITY ISSUES	
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)	
Date of Future Data Quality Assessments: TBD (Mission determined)	
Known Data Limitations: Narrative reporting should capture and explain changes that are influenced by or result from the use of USAID-supported CVE tools and processes to provide a more complete story of the impact of these tools and processes to complement this percentage indicator that measures the breadth of the impact of technical assistance across organizations in CVE.	
CHANGES TO INDICATOR	
Changes to Indicator: TBD (Mission determined)	
Other Notes:	
THIS SHEET LAST UPDATED ON: 11/12/2021	

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Name of Performance Indicator: Number of sustainable CVE regional networks established with the USAID support
Name of Result Measured (IR, sub-IR): <i>Sub-IR 2.2.2 Regional cooperation and networks of CVE actors improved</i>
Is This a Performance Plan and Report Indicator? No __ Yes __ for Reporting Year(s) __ If yes, link to foreign assistance framework
DESCRIPTION
Precise Definition(s): The indicator measures the number of new CVE networks established in the region with USAID support that are sustainable.
Unit of Measure: Regional CVE network
Data Type: Number
Disaggregated by: Country membership in Network
Rationale for Indicator: This indicator measures whether tools and processes for CVE supported by USAID are used by Central Asian actors. The indicator assesses the influence of USAID CVE technical support across Central Asian actors engaged in CVE by examining whether they are widely used among the organizations engaged in CVE. USAID aims to support the use of the CVE tools and processes developed or improved with USAID project support across the region. The CASSS project is developing and piloting tools and processes. Per the design of CASSS, the Mission anticipates rolling out successful or more successful tools and processes from pilots to a larger group of actors across Central Asia to have a larger impact on CVE in an anticipated follow-on CVE project.
PLAN FOR DATA COLLECTION
Data Source: Future CVE activity AMELP. and developed further with precision.
Method of Data Collection and Construction: This indicator is not measured at present. A future CVE IP, if a goal of the CVE activity as expected is to establish and support the sustainability of regional CVE networks, needs to define, track and measure, and report on this indicator. <i>This indicator and its measurement still needs support and development by the Regional Mission and IPs for finalization and use.</i>
Reporting Frequency: Annual
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: 2021, 0 (CVE products are still being piloted under CASSS)
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments: TBD (Mission determined)
Known Data Limitations:
CHANGES TO INDICATOR

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Changes to Indicator:	TBD (Mission determined)
Other Notes:	
THIS SHEET LAST UPDATED ON: 11/12/2021	

USAID CAR RDCS PMP Performance Indicator Reference Sheet	
Name of Performance Indicator:	
Percent of USG assisted regional networks or organizations with improved performance in CVE programming	
Name of Result Measured (IR, sub-IR):	
<i>Sub-IR 2.2.2 Regional cooperation and networks of CVE actors improved</i>	
Is This a Performance Plan and Report Indicator? No __ Yes __ for Reporting Year(s) _ If yes, link to foreign assistance framework	
DESCRIPTION	
Precise Definition(s): The indicator measures what proportion (percentage) of Central Asian actors that the Mission and its IPs choose to survey note that they use CVE tools and processes that have been created or strengthened with USAID support.	
Unit of Measure: Central Asian CVE actor (organization)	
Data Type: percentage	
Numerator – number of USG assisted regional networks or organizations with improved performance in CVE programming	
Denominator - – number of regional networks or organizations that USAID provides assistance to improved on CVE programming	
Disaggregated by: Country/Country where networks are headed	
Rationale for Indicator: This indicator measures whether USAID-supported partners (both organizations and networks) are more effective in their CVE activities after being assisted by the RM's CVE activity. The indicator is designed to assesses the influence of CVE support on the programming of Central Asian partners' activities. CASSS is developing and piloting products, tools and processes. The Regional Mission anticipates rolling out successful or more successful products, tools and processes through a next CVE activity to organizational partners and networks of actors across Central Asia to increase the capacity of these partners and networks in CVE and thus have a larger impact on CVE.	
PLAN FOR DATA COLLECTION	
Data Source: Future CVE activity IP, currently DAI for CASSS. This Indicator should be included in the next CVE activity AMELP and developed further with precision.	

USAID CAR RDCS PMP Performance Indicator Reference Sheet
Method of Data Collection and Construction: This indicator is not measured a present. A future CVE IP, if a goal of the RM's next CVE activity as expected in the PMP is to build the expand the use of CVE products, tools and processes developed, tested, and validated under CASSS - or CVE products, tools and processes from the follow-on activity itself, needs to: 1. Track and report on the organizations and networks using USAID-supported CVE products, tools and processes developed or improved under the new activity or CASSS (since 2021); 2. Survey, track, and count the number of the organizations and network that use USAID-supported CVE products, tools and processes developed or improved under the new activity or CASSS (since 2021) that report their performance in terms of CVE programming has improved; and 3. Calculate and report percentage improved by dividing the number using USAID-supported CVE products, tools and processes; (#2 above) by the number that report improved performance (#1 above) Categorize by country on organizations and networks, based on the location of headquarters; Sum national levels to report CA regional totals. <i>This indicator and its measurement still needs support and development by the Regional Mission and IPs for finalization and use.</i>
Reporting Frequency: Annual
Individual(s) Responsible at USAID: TBD (Mission selected)
TARGETS AND BASELINE
Baseline Timeframe: 2021, 0 (CVE products are still being piloted under CASSS)
Rationale for Targets: TBD (Mission selected)
DATA QUALITY ISSUES
Dates of Previous Data Quality Assessments and Name of Reviewer(s): TBD (Mission determined)
Date of Future Data Quality Assessments: TBD (Mission determined)
Known Data Limitations:
CHANGES TO INDICATOR
Changes to Indicator: TBD (Mission determined)
Other Notes:
THIS SHEET LAST UPDATED ON: 11/12/2021

ANNEX 5: BIBLIOGRAPHY OF SOURCES

IR 1.1: BARRIERS TO TRADE REDUCED

Policy or research papers

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Region: Europe and Central Asia / Kyrgyzstan

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ANNEX 6: LIST OF INTERVIEWS

IR 1.1: Barriers to Trade Reduced

Organization	Location	Position	Name	E-mail	Telephone
USAID Central Asia	USAID Central Asia Regional Office, Kazakhstan, Almaty	Project Management Specialist	Svetlana Golovatskaya	sgolovatskaya@usaid.gov	+7 701 731 6050
USAID/DAI Regional Project on Competitiveness, Trade, and Jobs Activity (CTJ) / Project on Trade Central Asia (TCA)	USAID/DAI Office in Kazakhstan, Almaty	1. Deputy Director Project (Kazakhstan)	Lyudmila Firsova	Lyudmila_Firsova@dai.com	
	USAID/DAI Office in Kyrgyzstan, Bishkek	2. Project Director (Kyrgyzstan)	Artem Zozulinsky	Artyom_Zozulinsky@dai.com	
	USAID/DAI Office in Tajikistan, Dushanbe	3. Project Director (Tajikistan)	Parviz Kamoletdinov	Parviz_Kamoletdinov@dai.com	
	USAID/DAI Office in Turkmenistan, Ashgabat	4. Project Director (Turkmenistan)	Rustam Bekmuradov	Rustam_Bekmuradov@dai.com	
	USAID/DAI Office in Uzbekistan, Tashkent	5. Project Director (Uzbekistan)	Alfiya Musina	Alfiya_Musina@dai.com	
SECO Project on Tajikistan Trade Information	International Trade Centre (ITC) Office in Tajikistan, Dushanbe (IP)	Associate Programme Officer, ITC	Alina Fetisova	afetisova@intracen.org	(+992 37) 2219870
		ITC's National Project Manager	Saidmumin Kamolov	skamolov@intracen.org	(+992) 900010155
EU Regional Project "Ready4 Trade Central Asia"	EU/ITC Project "Ready4 Trade Central Asia" in Tajikistan, Dushanbe	Senior Trade Facilitation Lead, ITC	Alidjon Aliev	alidjon.aliev@gmail.com	(+992) 988439022 Ready4Trade@intracen.org
	EU/ITC Project "Ready4 Trade Central Asia" in Kazakhstan, Almaty				
	EU/ITC Project "Ready4 Trade Central Asia" in Kyrgyzstan, Bishkek				

Organization	Location	Position	Name	E-mail	Telephone
	EU/ITC Project “Ready4 Trade Central Asia” In Uzbekistan, Tashkent				
	EU/ITC Project “Ready4 Trade Central Asia” in Turkmenistan, Ashgabat				
National Trade Facilitation Committee (NTFC)	Coordination Committee on Trade Facilitation, Ministry of Economic Development and Trade of Tajikistan, Dushanbe	National Consultant	Najibulloi Zaydullo	najib_eko11@mail.ru	881 112 212
	NTFC in Kazakhstan				
	NTFC in Kyrgyzstan				
	NTFC in Uzbekistan				
The GIZ Regional Project “Trade Facilitation in Central Asia”	GIZ Office in Uzbekistan	Country coordinator of GIZ Programme “Trade Facilitation in Central Asia” in Uzbekistan	Guzal Kahharova	guzal.kahharova@giz.de	
	GIZ Office in Tajikistan	TBT Coordinator	Zarina Nigmatova		935-708-003
	GIZ Office in Kazakhstan				
	GIZ Office in Kyrgyzstan				

IR 2.2: Regional Energy Modernization Increased

Organization	Location	Position	Name	E-mail	Telephone
Ministry of Energy and Water Resources	Tajikistan	Head of International Relation Department	Parviz Atoev	atoevparviz@gmail.com	Cell: +992 917 182323
World Bank office	Tajikistan	Energy Specialist	Farida Mamadaslamova	fmamadaslamova@worldbank.org	Cell: +992 93 508 7056
Asian Development Bank	Tajikistan	Energy Officer	Shukhrat Khojaev	skhojaev@adb.org	Cell: +992 90 555 5650
European Development Reconstruction Bank	Tajikistan	Associate Banker	Jamshed Rahmonberdiev	RahmonbJ@ebrd.com	Cell: +992 90 5004434
Tetra Tech – Power Central Asia	Kazakhstan	Chief of Party COP for PtF/CAREM	Armen Arzumanyan	Armen.Arzumanyan@tetrattech.com	Cell: +7 (701) 51 88 222
Tetra Tech – Power The Future	Kazakhstan	Energy Expert	Oleg Ryskov	Oleg.Ryaskov@tetrattech.com	Cell: +7 701 781 3134; Phone: +7 747 298 6203
Tetra Tech – Power Central Asia		Chief of Party	Himesh Dhungel	Himesh.Dhungel@tetrattech.com	
Energy Security Group – CASA 1000		COP for CASA-1000 Secretariat	Greg Osadetz	greg.osadetz@casa-1000.org	Phone: +7 727 293 0120 Cell: +7 771 502 9998 International: +1 617 849 8515
Energy Security Group	Kazakhstan/US	Director, Energy & Infrastructure Svcs.	Kashan Saeed	ksaeed@energyandsecurity.com	Cell US. +1 703-789-4096 Cell Almaty. +7771 406 2598
USAID Tajikistan	Tajikistan	Energy Specialist	Daler Asrorov	dasrorov@usaid.gov	Cell: +992 985802158
European Commission	Tajikistan	Head of the Delegation	Marilyn Josefson	Delegation-Tajikistan@eeas.europa.eu	Cell: (+992 37) 221 74 07

IR 3.3: Transboundary Cooperation on Water and Environment Improved

Organization	Location	Position	Name	E-mail	Telephone
Ministry of Energy and Water Resources	Tajikistan	Head of International Relation Department	Parviz Atoev	atoevparviz@gmail.com	Cell: +992 917 182323
World Bank office	Tajikistan	Task Manager/ Water Specialist	Farzona Mukhitdinova	fmukhitdinova@worldbank.org	Cell: +992 900727707
Asian Development Bank	Tajikistan	Environmental Safeguards Consultant	Malika Babadjanova	mbabadjanova1.consultant@adb.org	Cell: +992 91 8420944
European Development Reconstruction Bank	Tajikistan	Associate Banker	Jamshed Rahmonberdiev	RahmonbJ@ebrd.com	Cell: +992 90 5004434
CTJ	Kazakhstan	DCOP	Lyudmila Firsova,	Lyudmila_Firsova@dai.com	
Tetra Tech – Water Central Asia	Kazakhstan	COP, PtF/CAREM	Armen Arzumanyan	Armen.Arzumanyan@tetrattech.com	Cell: +7 (701) 51 88 222
Tetra Tech Central Asia Water and Vulnerable Environment Activity	Kazakhstan	Water Policy Lead, USAID	Madina Ibrasheva	linkedin.com/in/madina-ibrasheva-207a45b0	
Secretariat ICWC	Tajikistan				Cell: 992 37 236 51 56
Branch of the Executive Committee of the Fund for Saving the Aral Sea in the Republic of Tajikistan	Tajikistan	Director	Kazakov Mavlon Hakimovich	tfec-ifas@mail.ru	Cell: +992 44 625 52 52
Basin Water Organization “Amudarya”	Uzbekistan			amudarya-bwo.org	Cell: +998 62 227 23 46, (998 90) 559 61 52
Basin Water Organization “Syrdarya”	Uzbekistan			bwosyrdarya.org	Cell: +998 71 265 82 42
USAID Tajikistan	Tajikistan	Project officer	Daler Asrorov	dasrorov@usaid.gov	Cell: +992 985802158

Organization	Location	Position	Name	E-mail	Telephone
European Commission	Tajikistan	Head of the Delegation	Marilyn Josefson	Delegation-Tajikistan@eeas.europa.eu	Cell: (+992 37) 221 74 07

IR 2.1: Resilience to Regional Vulnerabilities Advanced

Organization	Location	Position	Name	E-mail	Telephone
USAID	Missions to Kazakhstan, Uzbekistan, Tajikistan, Kyrgyzstan, Turkmenistan	Country managers on CTiP			
INL departments of USA embassies	Tajikistan 109, I.Somoni Dushanbe 734019	INL, US emb in Tajikistan	Sita Farrel		+992985807017
	Kyrgyzstan 171 Prospect Mira, Bishkek 720016	INL US emb in Kyrgyzstan	Sarvat Ansori		+996 312 597 000
Winrock International	100 Nazarbayev Ave.050000 Almaty, Kazakhstan	Chief of Party, Safe Migration in Central Asia	Eleanor Valentine	Eleanor.Valentine@winrock.org	+1 713035064
NGOs – Winrock implementing partners for the USAID Safe Migration In Central Asia project	Kazakhstan Kyrgyzstan Uzbekistan Turkmenistan				
International Organization for Migration (IOM) Sub Regional Coordination Office for Central Asia	14, Mambetov Street, UN Building, Nur-Sultan, 010000, Republic of Kazakhstan	Sub-Regional Coordinator for Central Asia	Zeynal Hajiyev	zhajiyev@iom.int	+7 7172 69 6553
	303, Baizakov Street, UN Building, Almaty, 050040, Republic of Kazakhstan				

Organization	Location	Position	Name	E-mail	Telephone
IOM Tajikistan	734013, 22A Azizbekov Street, 2nd Driveway, Dushanbe, Republic of Tajikistan	Counter trafficking Project Manager	Bahrom Rahmatjonov	brahmatjonov@iom.int	+992 48 701 0202, 701 0303, 701 0222
UNODC, regional Office in Central Asia	30a, Abdulla Kahhor Street Tashkent, 700100 Uzbekistan	UNODC Regional Representative to Central Asia	Ashita Mittal		Tel: +(998-78) 120-80-50
OSCE Program Office in Nur-Sultan	10, Beibitsheilik Street Z10K8H4 Nur-Sultan, Kazakhstan	Gender and CTiP Officer		poin@osce.org	Office: +7 7172 580070
OSCE Program Office in Dushanbe	18A , Ahmadi Donish Street, Dushanbe	Gender and CTiP Officer	Violeta Velkoska	Violeta.Velkoska@osce.org	Office: +992 37 2265014 /15 /16 /17 /18 Mobile: +992 988886568 (Program Assistant, Jamshed Haydarov)
Winrock Int project beneficiaries	Kazakhstan Uzbekistan Kyrgyzstan Turkmenistan				

IR 2.2: Ability of Central Asian Actors to Reduce Violent Extremism Risks Strengthened

Organization	Location	Position	Name	E-mail	Telephone
USAID	Missions to Kazakhstan, Uzbekistan, Tajikistan, Kyrgyzstan, Turkmenistan	Focal points for CASSS project			
INL departments of US embassies	Tajikistan 109, I.Somoni Dushanbe 734019	INL, US emb in Tajikistan	Sita Farrel		+992985807017
	Kyrgyzstan 171 Prospect Mira, Bishkek 720016	INL US emb in Kyrgyzstan	Sarvat Ansori		+996 312 597 000
DAI Global	Almaty, Kazakhstan				
NGOs – DAI implementing partners for the USAID CASSS project	Kazakhstan Kyrgyzstan Uzbekistan Tajikistan Turkmenistan				
UNODC, regional Office in Central Asia	30a, Abdulla Kahhor Street Tashkent, 700100 Uzbekistan	UNODC Regional Representative to Central Asia	Ashita Mittal		Tel: +(998-78) 120-80-50
OSCE Program Office in Nur-Sultan	10, Beibitsheilik Street Z10K8H4 Nur-Sultan, Kazakhstan	PVE Officer		poin@osce.org	Office: +7 7172 580070
OSCE Program Office in Dushanbe	18A , Ahmadi Donish Street, Dushanbe	PVE Officer	Abdumannon Saidov		Office: +992 37 2265014 /15 /16 /17 /18
GIZ project in Central Asia “Preventing Violent Extremism in Central Asia”	Uzbekistan and Kazakhstan (the project is implemented just in these two countries)	Project focal point	Katja Setzkorn	katja.setzkorn@giz.de	

ANNEX 7: DATA COLLECTION TOOLS

USAID KII Questions

For the IR

What were you thinking on how this could be measured?

What about _____

Who is or could be measuring this indicator?

We have already had meetings with _____ [summarize] and consulted written sources. Who else should we talk to further towards examining this indicator and its measurement?

Do you have any thoughts for us on possible context indicators in this area?

What about _____

For each sub-IR – SAME QUESTIONS, just for sub-IRs

What were you thinking on how this could be measured?

What about _____

Who is or could be measuring this indicator?

We have already had meetings with _____ [summarize] and consulted written sources. Who should we talk to further towards examining this indicator and its measurement?

For the learning agenda

Our team is also asked to start developing thoughts towards the Mission's learning agenda in your technical area. In this area, as you and your IPs make progress towards these results, are there things that you would like to learn more about that could be appropriate questions for evaluations?

Are there emerging themes and questions that could alternatively be potential subjects for Mission reflection in your review of the PMP due in two years time?

IP KII Questions

IP meetings will focus on gathering data from IPs on:

1. what indicators and data measure the outputs and outcomes of their activities;
2. how they were a part of the generation of PMP indicators (or not);
3. what they think about the PMP indicators in the area(s) where they work;
4. how they think these indicators should be measured;
5. what data exists to measure them, and the positives and negatives of these data;
6. what could be useful context indicators for this area, and their measurement and data; and
7. what stakeholders we should talk to to learn more on these PMP and context indicators.

Date

Name of Key Informant

Organization/Position in

E-mail and Phone number

Please briefly tell us, what indicators and data are used to measure the outputs and outcomes of your activity? How and how often do you generate these data?

Were you and your team part of the process of generating performance indicators for USAID for the PMP? If so, how?

We would like to learn from you work and experience towards refining the PMP indicators and their measurement.

For IR _____:

how could this be measured?

Who is or could be measuring _____?

Who else should we talk to in examining this area, indicator, and data?

Do you have any thoughts for us on possible context indicators and data for these indicators in this area?

Can you connect us through e-mail/telephone to these other organizations/individuals that you have suggested?

We will also call them to follow up to set up meetings and request documents from them towards going further into the indicators, data, and areas we've discussed.

For sub-IR _____:

how could this be measured?

Who is or could be measuring _____?

Who else should we talk to in examining this area, indicator, and data?

Do you have any thoughts for us on possible context indicators and data for these indicators in this area?

Can you connect us through e-mail/telephone to these other organizations/individuals that you have suggested?

We will also call them to follow up to set up meetings and request documents from them towards going further into the indicators, data, and areas we've discussed.

Our team is also asked to start developing thoughts towards the Mission's learning agenda in your technical area. In this area, as you make progress towards these results, are there things that you would like to learn more about that could be appropriate questions for evaluations?

Are there emerging themes and questions that could alternatively be potential subjects for Mission reflection in your review of the PMP due in two years time?

Stakeholder KII Questions

Stakeholder meetings will focus on gathering data from key stakeholders on:

1. the indicators and data sources they use to assess conditions and change in their area of work;
2. what they think about the PMP indicators in the area(s) where they work;
3. how they think these indicators should be measured;
4. what data exists to measure them, and the positives and negatives of these data; plus
5. possible context indicators for this area, and the measurement and data for context indicators.

TEAM MEMBER TASKS IN ITALICS, WITH SOME EXPLANATION. Questions to ask in plain text.

DEMOGRAPHIC INFORMATION - Team to Record

Date

Name of Key Informant(s)

Organization/Position(s) in

E-mail and Phone number

INTERVIEW QUESTIONS – ask the following questions, taking detailed notes of responses, following up when necessary or where possible to gather more specific, directly applicable data.

Please briefly tell us, what indicators and data are used to measure conditions and change in your area of work? How and how often do you use or generate these data?

We would like to learn from you work and experience in _____ [technical area] towards refining the indicators and their measurement for USAID.

For [IR] _____:

How could this be measured?

Who is or could be measuring _____?

Who else should we talk to in examining this area, indicator, and data?

Do you have any thoughts for us on possible context indicators and data for these indicators in this area?

Can you connect us through e-mail/telephone to these other organizations/individuals that you have suggested as further sources of information on _____? We will also call them to follow up to set up meetings and request documents from them towards going further into the indicators, data, and areas we've discussed.

VALIDATION QUESTION(S) - when appropriate, based on where we are in our baseline assessment study and data analysis – and if this indicator and data that we are close to recommending have not already been discussed

What about _____ for an indicator, measured through data from _____ on _____?

What about _____ for a context indicator, measured through data from _____ on _____?

NEXT SET OF QUESTIONS - same questions, now for sub-IRs.

For [sub-IR] _____:

how could this be measured?

Who is or could be measuring _____?

Who else should we talk in addition to the organizations and people previously discussed to examine this area, indicator, and data?

Do you have any thoughts for us on possible context indicators and data for these indicators in this area?

Can you connect us through e-mail/telephone to these other organizations/individuals that you have suggested as further sources of information on _____? We will also call them to follow up to set up meetings and request documents from them towards going further into the indicators, data, and areas we've discussed.

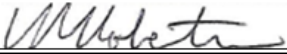
VALIDATION QUESTIONS - when appropriate if this indicator and data have not already been discussed.

What about _____ for an indicator, measured through data from _____ on _____?

What about _____ for a context indicator, measured through data from _____ on _____?

ANNEX 8: CONFLICT OF INTEREST STATEMENTS

Name	Lawrence Robertson
Title	Team Leader
Organization	ME&A
Evaluation Position?	☒ Team Leader ☐ Team member
Evaluation Award Number (or RFTOP or other appropriate instrument number)	72011518D00003/ 72011521R00006
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	RDCS 2020-2025 Baseline Assessment
I have real or potential conflict of interest to disclose.	☐ Yes ☒ No
If yes answered above, I disclose the following facts: Real or potential conflicts of interest may include, but are not limited to: 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	

Signature	
Date	May 21, 2021

Name	Anvar Atabaev
Title	Water Resource Expert
Organization	ME&A
Evaluation Position?	☐ Team Leader ☒ Team member
Evaluation Award Number (or RFTOP or other appropriate instrument number)	72011518D00003/ 72011521R00006
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	RDCS 2020-2025 Baseline Assessment
I have real or potential conflict of interest to disclose.	☐ Yes ☒ No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	

Signature	
Date	May 21, 2021

Name	Mukarama Burkhanova
Title	Human Rights and Anti-Human Trafficking Expert
Organization	ME&A
Evaluation Position?	Team Leader X Team member
Evaluation Award Number (or RFTOP or other appropriate instrument number)	72011518D00003/ 72011521R00006
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	RDCS 2020-2025 Baseline Assessment
I have real or potential conflict of interest to disclose.	☐ Yes ☒ No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	

Signature	
Date	May 21, 2021

Name	Ussat Furkat Kadyrov
Title	Energy Expert
Organization	ME&A
Evaluation Position?	☐ Team Leader ☒ Team member
Evaluation Award Number (or RFTOP or other appropriate instrument number)	72011518D00003/ 72011521R00006
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	RDCS 2020-2025 Baseline Assessment
I have real or potential conflict of interest to disclose.	☐ <u>Yes</u> ☒ No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	

Signature	
Date	May 21, 2021

Name	Zuhra Kurbanova
Title	Economic Growth and Trade Expert
Organization	ME&A
Evaluation Position?	☐ Team Leader x Team member
Evaluation Award Number (or RFTOP or other appropriate instrument number)	72011518D00003/ 72011521R00006
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	RDCS 2020-2025 Baseline Assessment
I have real or potential conflict of interest to disclose.	☐ Yes X No
If yes answered above, I disclose the following facts: Real or potential conflicts of interest may include, but are not limited to: 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	

Signature	<i>Zuhra Kurbanova</i>
Date	May 21, 2021

Name	Alfira Senkina
Title	Logistician/Translator
Organization	ME&A
Evaluation Position?	☐ Team Leader ☒ Team member
Evaluation Award Number (or RFTOP or <u>other</u> appropriate instrument number)	72011518D00003/ 72011521R00006
USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)	RDCS 2020-2025 Baseline Assessment
I have real or potential conflict of interest to disclose.	☐ <u>Yes</u> ☒ No
If yes answered above, I disclose the following facts: <i>Real or potential conflicts of interest may include, but are not limited to:</i> 1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated. 2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation. 3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project. 4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated. 5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated. 6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.	

Signature	
Date	May 21, 2021